

U.S. Department of Transportation

DRAFT Workforce Plan (March Version) 2003-2008

ADD DOT LOGO

***“Safer, Simpler, Smarter
Transportation Solutions”***

March 2004

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I. INTRODUCTION

The Department faces new challenges as never before due to persistent budget cuts and an aging workforce. Our recent strategic planning efforts make it clear that as we look towards the future, we are focused on a very different U.S. Department of Transportation (DOT). Making our vision a reality will require a special kind of workforce -- a workforce willing to engage in new activities, work across organizations as ONE DOT, employ new skills, and move through a variety of career paths. Many requirements must be satisfied if we are to survive in a fiercely competitive and dynamic environment. One key requirement is that replacements must be available to assume critically important positions as they become vacant. Workforce planning, like a relay race, has to do with passing on responsibility...drop the baton and you lose the race.

Systematic workforce planning helps organizations implement cross-organizational placement and retraining as alternatives to reduction-in-force actions, do a better job of career counseling and development, training or retraining, and recruiting; and assess and improve their diversity profile. DOT has applied a systematic approach to workforce planning that facilitates a more efficient and accurate alignment of the workforce to meet its strategic and organizational goals, commitments, and priorities. All DOT's Operating Administrations (OAs) have consistently applied an eight step, three phased process, in order to provide information and forecasts related to their respective current and future workforce needs (see illustration below).

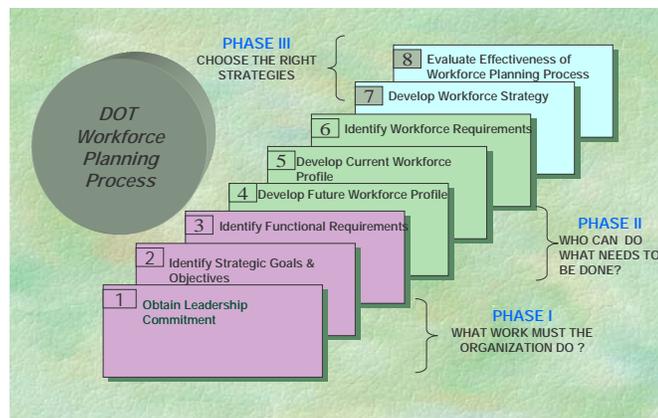
This ONEDOT Workforce Plan presents an overview of past and projected workforce trends; serves as an integrated approach to address future changes in business needs, provides details on DOT's workforce planning efforts and links these efforts to our strategic and human capital planning processes. Working under the guidance of the U.S.

Office of Personnel

Management's Human Capital

Assessment and Accountability Framework, DOT's Office of Human Resource

Management, and an intermodal Human Capital Planning Council, all OAs developed workforce plans to respond to overarching challenges as they relate to their specific programs and other unique, mission-based workforce requirements. These challenges and solutions presented in these plans range from in-depth workforce analysis for their mission-related occupations and respective competencies to succession planning for key leadership positions.



By integrating workforce planning with our strategic and human capital planning, DOT is positioned to achieve the organizational transformation needed for effective, responsive service to the Nation.

II. DOT’S OVERALL MISSION AND STRATEGIC DIRECTION

The U.S. Department of Transportation (DOT) occupies a leadership role in the global transportation network. The people of DOT are nearly 58,000 strong, dedicated to improving transportation in the U.S. and around the world by making it safer, simpler and smarter. Safer - because we will place a greater emphasis than ever before on saving lives and reducing accidents. Simpler - because we will consolidate and streamline our programs. And smarter - because we will focus on efficiency, achieving results and increasing accountability. DOT’s mission, as stated in Section 101 of Title 49, United States Code, is as follows:

The national objectives of general welfare, economic growth and stability, and the security of the United States require the development of transportation policies and programs that contribute to providing fast, safe, efficient, and convenient transportation at the lowest cost consistent with those and other national objectives, including the efficient use and conservation of the resources of the United States.

Since its first official day of operation in 1967, DOT’s transportation programs have evolved to meet the economic and security demands of the Nation. The Bush Administration has proposed a \$54.2 billion investment in our National transportation network in FY 2004, an investment in the Nation’s future. Today DOT is comprised of the Office of the Secretary, the Surface Transportation Board, the Office of the Inspector General and 10 Operating Administrations (OAs):

Federal Aviation Administration (FAA)
Federal Highway Administration (FHWA)
Federal Motor Carrier Safety Administration (FMCSA)
Federal Railroad Administration (FRA)
Federal Transit Administration (FTA)
Maritime Administration (MARAD)
National Highway Traffic Safety Administration (NHTSA)
Research and Special Programs Administration (RSPA)
Saint Lawrence Seaway Development Corporation (SLSDC)
Bureau of Transportation Statistics (BTS)

Vision

“Safer, Simpler, Smarter Transportation Solutions”

Mission

To develop and administer policies and programs that contribute to providing fast, safe, efficient, and convenient transportation at the lowest cost consistent with the national

objectives of general welfare, economic growth and stability, the security of the United States and the efficient use and conservation of the resources of the United States.

Strategic Objectives

Safety: *Enhance public health and safety by working toward the elimination of transportation-related deaths and injuries.*

Mobility: *Advance accessible, efficient, intermodal transportation for the movement of people and goods.*

Global Connectivity: *Facilitate a more efficient domestic and global transportation system that enables economic growth and development.*

Environmental Stewardship: *Promote transportation solutions that enhance communities and protect the natural and built environment.*

Security: *Balance homeland and national security transportation requirements with the mobility needs of the Nation for personal travel and commerce.*

Organizational Excellence Advance the Department's ability to manage for results and achieve the goals of the President's Management Agenda.

III. STRATEGIC PLANNING AND WORKFORCE PLANNING LINKAGE

DOT's Strategic Plan (2003-2008) provides a clear vision that guides the planning, investment, and management of human capital to achieve performance improvements consistent with each mission-specific goal. To make DOT the most desirable place to work in the Federal Government and the internationally recognized focal point for transportation core competencies, we must face a number of challenges in the years ahead. Most critically, we must attract the best and the brightest people to our workforce and inspire a new generation of innovators and pioneers in transportation careers. Our Secretary's vision calls for DOT to become the employer of choice not only within the transportation enterprise but also within the Federal Government. We will build our expertise in the **safety and mobility** strategic objectives by attracting individuals seeking careers in transportation safety or in the planning, designing, engineering, managing and financing of transportation infrastructure in all modes of transportation. We will emphasize job opportunities, internships, training and rotational assignments in safety and mobility core competencies.

The GAO has highlighted the nationwide shortfall in human capital with the requisite skills to meet transportation's changing needs throughout the Nation. The GAO stated that "*DOT's leadership and active involvement are essential to coordinate a strategic response by promoting agreement among high-level stakeholders on successful performance by transportation agencies and the competencies these agencies will need to*

achieve this performance and information sharing on best practices, lessons learned, human capital research, and benchmarking against other industries and countries that face issues related to an aging workforce.”

The Office of the Secretary and the OAs have acknowledged this challenge and, working in partnership with transportation providers, will demonstrate progress in meeting it through the following milestones:

- *Milestone:* In fiscal year 2004, establish a strong DOT leadership role for transportation workforce development, training and education as a convener for the transportation industry.
- *Milestone:* In fiscal year 2004, establish partnerships throughout the transportation industry and the education community for transportation workforce development.
- *Milestone:* In fiscal year 2005, in cooperation with the transportation industry and the education community, assist in coordinating efforts to assure that young people are attracted to transportation jobs of the future.

We expect to build our expertise in support of our **global connectivity** objective by investing in the capabilities of DOT’s international program staff, recruiting a multilingual transportation workforce, and developing core competencies in subjects related to international transportation. We also plan to invest in the capabilities of the DOT workforce by hiring individuals with education and experience related to the nexus of transportation, energy and the environment such as urban and regional planning, economic development, environmental sciences and environmental law which supports our **Environmental Stewardship** strategic objective.

In order to advance the Department’s ability to manage for results and achieve the goals of the President’s Management Agenda, our Organizational Excellence goal objectives presented below extends from the present through fiscal year 2008.

Leadership

- 1) Exert leadership throughout the Department by articulating a long-range vision; setting clear strategic objectives; being accountable for achieving results; and maintaining a strong customer focus.
- 2) Utilize human capital in support of DOT’s mission and strategic objectives, while empowering individual workers to realize their full potential.
- 3) Conduct workforce planning to identify mission-related core competencies and implement plans to close gaps through vigorous outreach, recruiting and succession planning.
- 4) Sustain a learning environment that drives continuous improvement in performance through knowledge management, performance feedback, training, coaching and mentoring.

- 5) Foster a results-oriented workforce through performance management and awards systems that link individual/team/unit performance to organizational goals and results.
- 6) Use secure IT to automate, simplify and streamline processing of job applications and associated personnel information.
- 7) Continuously consult internal program staff, industry and other external sources (e.g., University Transportation Centers) to update the core competencies that will be needed by DOT in the future and modify vacancy announcements and position descriptions announcements to reflect these skill sets.
- 8) Implement a diversity management plan to sustain a workforce that represents the face of America in all occupations and at all grade levels.
- 9) Achieve organizational and economic efficiencies by competing commercial functions between public and private entities
- 10) Find the best business solutions to accomplish the Department's mission through world-class acquisition and grants business processes.
- 11) Develop and execute plans to improve the protection of DOT people, facilities and equipment from intentional harm and to perform the essential functions of the Department even when key facilities are temporarily unavailable or unusable due to natural disaster or intentional harm.

Building Expertise

- 12) Improve workforce equity by providing training, guidance, and service on conflict prevention, dispute resolution and anti-discrimination laws to all employees.
- 13) Provide accurate and timely financial information that links resources to results to program managers for their use in improving performance and accountability.
- 14) Reduce delay in rulemaking proceedings by establishing Department-wide priorities and schedules, coordinating rulemaking actions, providing rulemaking process training and adopting best practices.

Technology

- 15) Integrate e-government concepts in mission performance.
- 16) Undertake a rigorous analysis of the contribution of IT to each strategic objective to identify opportunities to support mission performance.
- 17) Leverage the Federal and Departmental Enterprise Architecture to improve services to citizens.
- 18) Expand the use of IT to enable faster, simpler and more efficient ways for citizens, state and local government, industry and other stakeholders to transact business with DOT.

- 19) Integrate effective IT security programs with critical business functions and systems to protect the confidentiality, integrity and availability of mission critical information.

These and other human capital strategies are addressed in Section XIII: Strategies to Resolve Gaps of this workforce plan.

IV. CRITICAL SUCCESS FACTORS

In order for this plan to achieve our expected outcomes and affect organizational and workforce change, a number of factors are critical to success:

There are several critical success factors for the ONEDOT Workforce Plan.

- Top level leadership's acceptance and commitment to implementing the workforce plan.
 - ✓ A key indicator will be whether the agency's human capital, workforce planning, budget, strategic planning, and competitive sourcing processes are fully integrated and cascaded to all levels of the organization.
 - ✓ Another indicator will be whether there is broad recognition of systematic decision-making at the leadership team level with respect to such areas as organizational alignment, succession planning, staffing, and investment of resources in employee development.
- Strategies drive improvements in workforce development and employee retention. Strategies formulated in the workforce plan yield measurable and progressive results that help the DOT achieve its core mission. The plan functions as a broad tool to ensure the DOT is headed in generally the right direction and not whether it is on an exact azimuth. The targets on which the strategies are based may change from year to year.
- Documented results that clearly indicate that workforce planning has been fully deployed and is considered as an on-going organizational function throughout DOT.
- A strong, well-understood, and easily accessed Information Systems Infrastructure that includes technical connectivity to state, local, and industry partners; a strong e-Government backbone; and modern equipment.
- While the plan outlines human capital priorities, our ability to achieve the goals outlined in this plan depends upon the availability of resources, including training and contract funds. If resources are not available, our ability to meet our mission and strategic direction may be impacted.

- We will continue to measure DOT successes by measuring our performance culture. DOT must foster a dynamic, forward-thinking, performance-oriented organizational culture. Our top leadership must lead the organization to:
 - ✓ Empower the workforce by decreasing decision-layers and increasing authority/ delegations to front line workers,
 - ✓ Become a learning organization that embraces innovation and change,
 - ✓ Become outward focused and future oriented while delivering value to stakeholders and taxpayers today,
 - ✓ Increase organizational focus on performance metrics and measures, and
 - ✓ Improve internal communications organization-wide, office-wide, and between supervisors and employees.

V. WORKFORCE ANALYSIS

This workforce analysis section examines the overall DOT workforce followed by analysis of mission related “cross-cutting” occupations. The analysis includes demographic profiles, employment by grade, and predicted attrition. The predicted attrition identifies occupational gaps and diversity under-representation in the five year period (e.g., FY 2004-2008). For example, predicted attrition for females, minorities, persons with disabilities (PWD), and the overall DOT workforce are illustrated in the table below and can be used when making comparisons with the cross-cutting occupations.

Projected Attrition as % of FY 2003 Onboard					
	FY 2004	FY 2005	FY 2006	FY 2007	FY2008
Female	4.2%	4.2%	4.9%	5.6%	6.3%
Minority	4.9%	4.8%	5.5%	6.1%	6.8%
PWD ¹	6.4%	6.1%	7.3%	8.1%	9.0%
Total	5.0%	4.8%	5.6%	6.3%	7.0%

Section VII: Gap Analysis Summary (PAGES xx) and Section XIII: Strategies to Resolve Gaps (PAGES XX) provide strategies for addressing these gaps.

1. DOT Demographic Profile

Permanent Employees
Snapshot – End of FY 2003

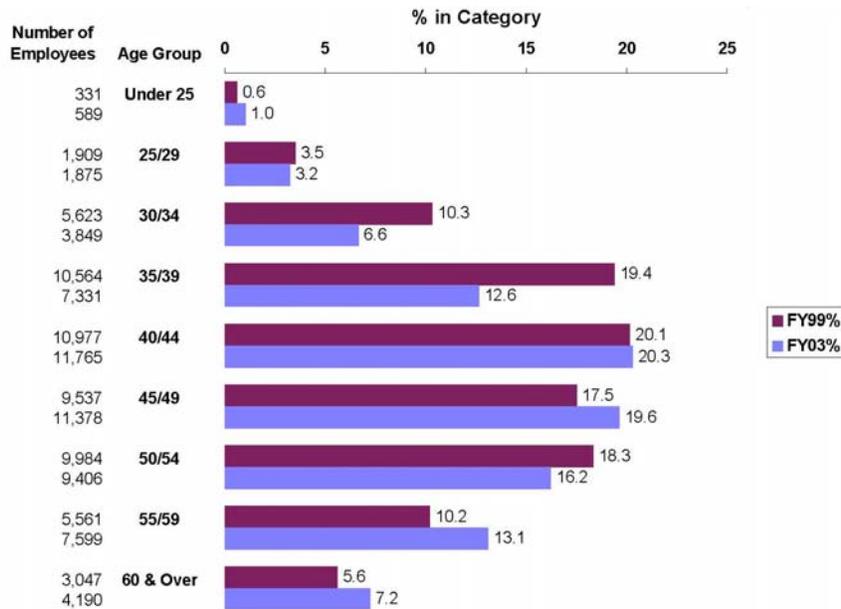
Operating Admin	On Board End FY 03		Avg Age	Avg Grade	Avg Salary (\$000)	Supv & Mgr		Female		Minority		Persons with Disabilities	
	#	%				#	%	#	%	#	%	#	%
OST	748	1.3	47.9	12.4	84.3	111	14.8	411	54.9	332	44.4	53	7.1
FAA	48,819	84.2	46.0	12.6	89.6	5,564	11.4	11,813	24.2	9,517	19.5	2,242	4.6
FHWA	2,892	5.0	45.5	11.7	72.6	265	9.2	1,028	35.5	705	24.4	189	6.5
FMCSA	1,019	1.8	45.3	10.7	61.6	91	8.9	353	34.6	457	44.8	74	7.3
FRA	777	1.3	51.1	12.2	75.9	67	8.6	205	26.4	141	18.1	72	9.3
SLSDC	154	0.3	47.8	10.6	52.2	16	10.4	39	25.3	7	4.5	10	6.5
FTA	518	0.9	48.1	12.3	82.9	69	13.3	297	57.3	273	52.7	48	9.3
NHTSA	643	1.1	47.2	12.4	82.1	83	12.9	299	46.5	265	41.2	30	4.7
RSPA	934	1.6	45.5	12.1	79.4	88	9.4	355	38.0	209	22.4	52	5.6
OIG	400	0.7	43.1	12.3	76.3	85	21.3	166	41.5	130	32.5	20	5.0
MARAD	804	1.4	50.9	11.5	71.9	110	13.7	252	31.3	256	31.8	41	5.1
STB	142	0.2	50.4	12.7	90.3	24	16.9	62	43.7	36	25.4	5	3.5
BTS	132	0.2	46.5	12.7	81.8	12	9.1	66	50.0	42	31.8	5	3.8
DOT	57,982	100.0	46.1	12.5	87.2	6,585	11.4	15,346	26.5	12,370	21.3	2,841	4.9

As indicated in the table above, at the end of FY 2003 the Federal Aviation Administration (FAA) population was 84.2 percent of DOT and, thus, significantly affected overall DOT workforce demographics. For example, the table below reflects the

percent of onboard for females, minorities, and persons with disabilities in DOT including and excluding FAA compared with the Federal Civilian Workforce (FCW) and the National Civilian Labor Force (NCLF).

	DOT Including FAA	DOT Excluding FAA	FCW (FY 2001) ¹	NCLF (FY 2001)
% of Females	26.5%	38.6%	44.1%	46.5% ¹
% of Minority	21.3%	31.1%	30.8%	28.0% ¹
% of Persons with Disabilities	4.9%	6.5%	7.1%	11.4% ²

2. DOT Age Profile



DOT has an aging workforce. The average age of DOT employees has increased from 44.7 in FY 1999 to 46.2 in FY 2003. The chart above shows significant decreases in the 30/34 and 35/39 groups and increases in the 40/44, 55/59, and 60 & Over groups. Only 10.8 percent of the workforce is in the lowest three age groups while 36.5 percent is in the top three age groups.

The leading edge of the Baby Boomer generation turns 58 years old in FY 2004, and the average age of all DOT retirees in FY 2003 was 58. This “bulge” of the DOT population being age 45 and older is due primarily to the lean hiring years of the 1990’s when few new employees were hired. Departmental hiring strategies (outlined later in this document) will clearly need to include targeting recent college graduates to populate the “pipeline that supplies the pipeline” to senior management. That is, we probably have sufficient staff in the middle years to move up to senior management but we will need to recruit a greater percentage of new hires at entry level grades to learn and prepare to

¹ Source is OPM 2002 edition of Fact Book.

² Source is National Center for Health Statistics for 2000.

backfill the middle of our workforce in approximately FY 2006 and beyond. This hiring trend has apparently already begun as reflected in the Age Profile chart category Under 25 which has grown from 331 employees in FY 1999 to 559 employees at the end of FY 2003, a 68.8% increase.

The Bureau of Labor Statistics (BLS) notes that the labor force participation rates for the youth labor force (age 16 to 24) is expected to grow more rapidly than the overall workforce for the first time in 25 years. This is good news in terms of supporting a strategy to target recent college graduates to staff our entry level career positions.

3. Employment by Grade by Administration

Permanent Employees
Snapshot - End of Fiscal Year 2003

	OST	FAA	FHWA	FMCSA	FRA	SLSDC	FTA	NHTSA	RSPA	OIG	MARAD	STB	BTS	DOT	% in Grade
GS-01	0	0	0	0	0	0	0	0	1	0	0	0	0	1	0.0%
GS-02	0	1	0	0	0	0	0	0	0	0	0	0	0	1	0.0%
GS-03	1	26	6	0	0	1	0	0	9	0	2	0	0	45	0.1%
GS-04	3	21	25	4	0	1	2	1	24	0	15	2	0	98	0.2%
GS-05	8	536	60	32	15	4	6	4	7	5	15	4	0	696	1.2%
GS-06	6	333	69	17	14	2	8	5	15	4	33	0	0	506	0.9%
GS-07	21	1358	190	168	9	9	15	29	65	10	27	1	3	1905	3.3%
GS-08	31	451	49	11	9	3	19	35	7	5	10	1	9	640	1.1%
GS-09	54	998	140	130	17	1	32	25	32	21	41	10	6	1507	2.6%
GS-10	13	1526	3	0	5	0	2	5	3	5	2	0	2	1566	2.7%
GS-11	45	1486	207	80	23	14	20	44	36	25	38	12	6	2036	3.5%
GS-12	73	11583	681	292	358	10	55	52	125	86	51	16	13	13395	23.1%
GS-13	115	8772	807	103	138	11	176	156	266	136	146	20	28	10874	18.8%
GS-14	173	17369	389	121	116	6	101	177	229	59	109	31	33	18913	32.6%
GS-15	142	3864	212	49	59	6	64	83	94	34	63	38	29	4737	8.2%
SES	47	190	50	11	14	2	18	26	13	10	17	6	2	406	0.7%
WAGE GR	11	305	4	0	0	84	0	1	6	0	191	0	0	602	1.0%
OTHER	5	0	0	1	0	0	0	0	2	0	44	1	1	54	0.1%
TOTAL	748	48819	2892	1019	777	154	518	643	934	400	804	142	132	57982	100.0%

Avg Gr 12.4 12.6 11.7 10.7 12.2 10.6 12.3 12.4 12.1 12.3 11.5 12.7 12.7 12.5

NOTE: FAA's employees in Pay Banding pay plans are "crosswalked" to equivalent grades on this chart.

GS1-6	18	917	160	53	29	8	16	10	56	9	65	6	0	1347	2.3
GS7-12	237	17402	1270	681	421	37	143	190	268	152	169	40	39	21049	36.3
GS13-15	430	30005	1408	273	313	23	341	416	589	229	318	89	90	34524	59.5

The Surface Transportation Board (STB) and the Bureau of Transportation Statistics (BTS) have the highest average grade at 12.7. However, these two organizations combined account for less than one half of one percent of DOT's permanent onboard strength. FAA's average grade of 12.6 is what really drives DOT's average grade of 12.5. FAA's 22,731 employees in the Air Traffic Controller (ATC) occupation (including active and non-active controllers) account for 39.2 percent of DOT's total permanent workforce of 57,982 and they have an average grade of 13.2. Moreover, 17,369 (91.8 percent) of DOT's 18,913 employees in grade 14 (or equivalent) are FAA employees.

4. DOT Workforce Trends in Onboard Strength, Hires, and Separations (permanent employees)

Total DOT	Hires		Separations		Onboard End of FY	Difference from Previous FY	
	#	Hire Rate	#	Attrition Rate	#	#	%
FY 1992	3836	5.6%	3568	5.2%	68574		
FY 1993	1677	2.4%	3052	4.5%	68055	-519	-0.8%
FY 1994	765	1.1%	4930	7.2%	64139	-3916	-5.8%
FY 1995	1815	2.8%	3314	5.2%	62789	-1350	-2.1%
FY 1996	2114	3.4%	2919	4.6%	62445	-344	-0.5%
FY 1997	3307	5.3%	2828	4.5%	63184	739	1.2%
FY 1998	3268	5.2%	2796	4.4%	63805	621	1.0%
FY 1999	1833	2.9%	2717	4.3%	63096	-709	-1.1%
FY 2000	2189	3.5%	2882	4.6%	62566	-530	-0.8%
FY 2001	4363	7.0%	2764	4.4%	64472	1906	3.0%
FY 2002	38924	60.4%	2977	4.6%	101036	36564	56.7%
FY 2003	2170	2.1%	43204	42.8%	57982	-43054	-42.6%
Average¹	2485	3.8%	3159	4.9%	63737		

¹ Average without TSA hires in FY 2002 and TSA and USCG losses in FY 2003

During the twelve year period from FY 1992 through FY 2003, the department had a lower average hire rate (3.8 percent) than average employee attrition rate (4.9 percent) which left it with a smaller workforce (63,737) at the end of FY 2003 than it had in FY 1992. In FY 2002 DOT stood up a new administration, the Transportation Security Administration (TSA). In FY 2003, both TSA and the United States Coast Guard (USCG) were transferred to the Department of Homeland Security (DHS). The table above reflects the 38,924 TSA hires in FY 2002 and the 43,204 civilian losses from USCG and TSA in FY 2003 but the averages exclude TSA and USCG in order to portray the more realistic trends over the twelve year period for the department. The low number of hires throughout the twelve year period not only caused the workforce to age significantly but also offered little opportunity to significantly change the gender and ethnic mix of the workforce.

5. DOT Employee Attrition Profile (FY 2003 Separations)

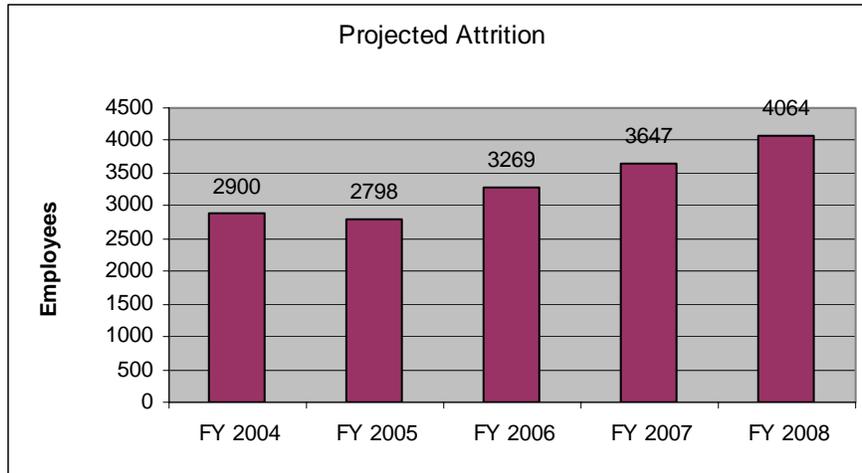
Separation Action Types	Nbr of Actions	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
Resignation	2,260	38.8	6.7	35,071.90	135	6.00%	779	34.50%	668	29.60%	127	5.60%
Retirement	1,846	58	13	94,792.10	402	21.80%	371	20.10%	284	15.40%	139	7.50%
Separations-Other	795	39.4	7.5	42,026.90	89	11.20%	225	28.30%	298	37.50%	80	10.10%
Transfer	37,272	40	7.5	39,493.40	4,490	12.00%	11,618	31.20%	12,367	33.20%	2,330	6.30%
Total DOT	42,173	40.7	7.7	41,726.10	5,116	12.10%	12,993	30.80%	13,617	32.30%	2,676	6.30%

The table above is a profile of employee separations from DOT during FY 2003. The vast majority of separations were from TSA and USCG's civilian transfers to DHS. TSA's workforce was young and diverse. At 33.2 percent, the minority percent of the transfers

was much higher than the department’s onboard percent for minorities of 21.3 percent in FY 2003.

Just under 30 percent of resignations in FY 2003 were minorities. Since that rate is significantly higher than this group’s onboard percent of 21.3 percent, it may be necessary to determine the cause(s) and then consider the findings when formulating new recruitment strategies targeted at enhancing the diversity of DOT’s workforce.

6. DOT Employee Attrition Projections



The chart above predicts total attrition of DOT employees (retirements, resignations, transfers, and all other reasons) in each of the five fiscal years 2004 through 2008. The chart projects a 64 percent increase in attrition from FY 2004 to FY 2008. This increase is attributed to retirements of baby boomers, the leading edge of which turns 58 years old in FY 2004. This trend has both good and potentially bad significance; the potentially bad news is that such heavy losses could impact mission accomplishment in the department. The good news is twofold; 1) we have adequate staffing in the pipeline grades and 2) “boomers” are very heavily white males thus providing the opportunity to recruit more females, minorities, and persons with disabilities.

Projected Attrition as % of FY 2003 Onboard					
	FY 2004	FY 2005	FY 2006	FY 2007	FY2008
Female	4.2%	4.2%	4.9%	5.6%	6.3%
Minority	4.9%	4.8%	5.5%	6.1%	6.8%
PWD ¹	6.4%	6.1%	7.3%	8.1%	9.0%
Total	5.0%	4.8%	5.6%	6.3%	7.0%

¹Persons with Disabilities

The table above depicts total employee attrition as a percent of FY 2003 ending onboard strength. The “Total” row corresponds with the bar chart above the table. For example, the 5.0 percent Total attrition for FY 2004 corresponds with the predicted total losses of 2900 employees in FY 2004 in the chart. For comparison, the average total attrition rate

for DOT for the last twelve years (excluding the loss of TSA and USCG to DHS) is 4.9 percent. Attrition predictions for females and minorities are similar to those for the entire DOT population, including males and non-minorities. However, the attrition predictions for persons with disabilities are higher and should be considered in formulating recruitment strategies because their current percentage of the workforce at 4.9 percent is already considerably below the FCW at 7.1 percent and below the NCLF at 11.4 percent but are also predicted to have higher attrition rates over the next five years than the rest of the department.

7. Gender Demographic Profile

Permanent Employees
Snapshot – End of FY 2003

Females											
	Onboard Employee Count	Onboard %	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
DOT	15,346	26.5%	45.1	11.4	73,046.60	1,344	8.8%	4,859	31.7%	790	5.1%
FCW ¹		44.1%							16.7%		
NCLF ²		46.5%							13.2%		

Males											
	Onboard Employee Count	Onboard %	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
DOT	42,635	73.5%	46.5	13	91,703.90	5,593	13.1%	7,510	17.6%	2,051	4.8%
FCW ¹		44%							14.2%		
NCLF ²		46.5%							14.8%		

DOT Total	57,982	100%	46.2	12.6	86,765.80	6,937	12.0%	12,369	21.3%	2,841	4.9%
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¹ Federal Civilian Workforce, Source is OPM 2002 edition of Fact Book.

² National Civilian Labor Force, Source is OPM 2002 edition of Fact Book.

Comparing female and male profiles in DOT, females are slightly younger, have a lower average grade, considerably lower average salary, and occupy a smaller percentage of supervisory positions in the department. Females are also more diverse with a much higher minority percent (31.7 percent vs. 17.6 percent for males) and also have a slightly higher percentage of employees with disabilities.

Much of the disparity in female and male populations in DOT is due to the size and demographics of occupations that are more technical such as Air Traffic Controllers (ATC's), engineers, and safety occupations. For example, ATC's are more than one third of the entire department's workforce but are only 15.4 percent female. Other technical occupations in the department also tend to have much higher percentages of males than females. For example, the engineering family is only 12.4 percent females in DOT compared with 18 percent in the NCLF. Safety inspectors in DOT and in the NCLF also tend to be heavily male; the female population in the NCLF for the transportation safety family is 17.3 percent compared with DOT's motor carrier safety inspectors at 19.5

percent female, railroad safety inspectors at 4.1 percent female, and aviation safety inspectors at 7.2 percent female.

8. Female Employment by Grade by Administration

Permanent Employees
 Snapshot - End of Fiscal Year 2003

	OST	FAA	FHWA	FMCSA	FRA	SLSDC	FTA	NHTSA	RSPA	OIG	MARAD	STB	BTS	TOTAL	% Females in Grade	% DOT in Grade
GS-01														0	0.0%	0.0%
GS-02		1												1	0.0%	0.0%
GS-03	1	8	2			1	1		3		2			17	0.1%	0.1%
GS-04	1	14	13	4		1	1		9		10	2		55	0.4%	0.2%
GS-05	4	477	40	13	15	4	5	3	5	5	10	2		583	3.8%	1.2%
GS-06	6	303	61	11	14	1	8	4	14	4	27			453	3.0%	0.9%
GS-07	20	1046	147	70	9	9	14	24	53	7	20	1	3	1423	9.3%	3.3%
GS-08	28	225	43	11	9	3	17	32	7	5	10	1	9	400	2.6%	1.1%
GS-09	41	686	80	29	15	1	30	21	21	18	28	7	4	981	6.4%	2.6%
GS-10	11	855	2		5		2	5	3	5	2		2	892	5.8%	2.7%
GS-11	29	438	68	26	17	6	14	29	16	9	24	9	6	691	4.5%	3.5%
GS-12	50	2258	203	94	45	1	36	22	72	33	33	13	6	2866	18.7%	23.1%
GS-13	66	1867	221	36	38	4	101	68	70	50	43	8	10	2582	16.8%	18.8%
GS-14	80	2848	103	35	25	3	42	62	55	18	26	6	16	3319	21.6%	32.6%
GS-15	54	715	32	21	9	2	20	21	24	8	9	12	10	937	6.1%	8.2%
SES	18	50	13	3	4		7	8	3	4	4	1		115	0.7%	0.7%
WAGE GR		22					3					2		27	0.2%	1.0%
OTHER	2										2			4	0.0%	0.1%
TOTAL	411	11813	1028	353	205	39	297	299	355	166	252	62	66	15346	26.5%	100.0%

AVG GR 11.8 11.5 10.6 10.5 10.9 9.2 11.7 11.5 11.0 11.5 10.1 11.8 12.0 11.4

Note 1: Average grade is based on grades 1 - 15 and does not include wage grades.

Note 2: FAA's employees in Pay Banding pay plans are "crosswalked" to equivalent grades on this chart.

GS1-6	12	803	116	28	29	7	14	7	31	9	49	4	0	1109	7.2%	2.3%
GS7-12	179	5508	543	230	100	20	113	133	172	77	117	31	30	7253	47.3%	36.3%
GS13-15	200	5430	356	92	72	9	163	151	149	76	78	26	36	6838	44.6%	59.5%

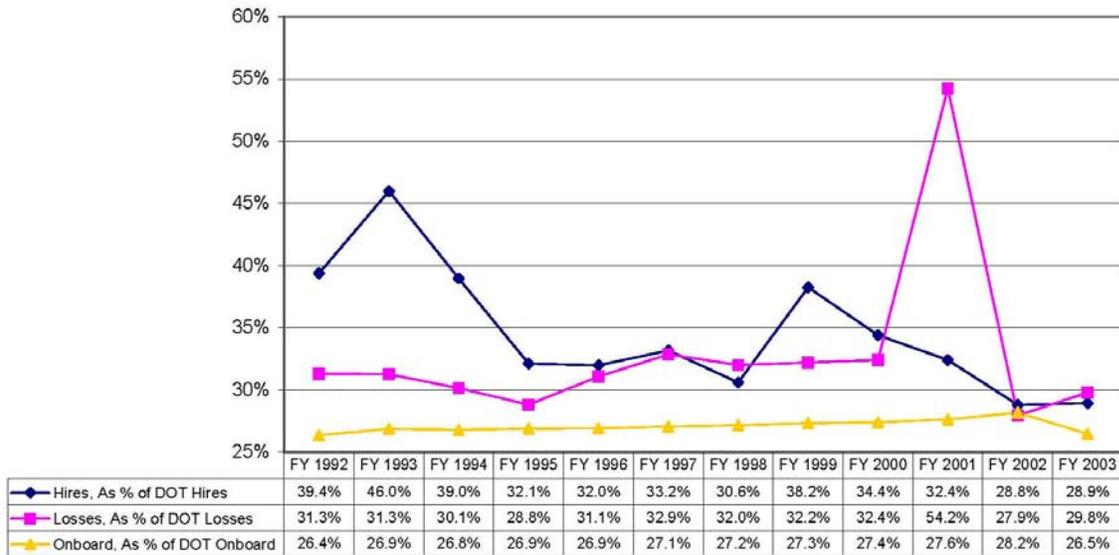
As indicated in the table above, females in the SES (and FAA's equivalent) are .7 percent of their population, the same as SES's in the total DOT population (females and males combined). However, if we round the numbers to a second decimal, females have a slight advantage at .75 percent compared to males at .68 percent of the DOT population.

In the pipeline grades 13-15, females are at 44.6 percent of their population compared to 59.5 percent of the total DOT population. However, this disparity is accounted for in part by the ATC's who account for 39.2 percent of DOT's workforce, are only 15.4 percent female and have an average grade of 13.2.

9. Female Trends in Onboard Strength, Hires, and Separations

The chart below depicts the onboard strength, hires, and separations of females in DOT during the twelve year period from FY 1992 through FY 2003. Overall, the female population was fairly stable at an average of 27 percent. Similar to the Total DOT trend, the average hire rate for females during the twelve year period was lower (4.8%) than the average attrition rate for females (5.8 percent) thus, there was little opportunity to significantly affect the onboard percent of females during the period. However, the

onboard rate for females did increase slightly due to the higher attrition rate among males (9.3 percent).



Female Trends in Onboard Strength, Hires, and Separations

10. Female Attrition Profile (FY 2003 Separations)

	Number of Actions	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female %	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
Resignation	778	37.5	6.6	35,081.70	33	4.20%	34.5%	261	33.50%	30	3.90%
Retirement	371	57.5	11.4	75,180.00	40	10.80%	20.2%	83	22.40%	39	10.50%
Separations-Other	226	37.6	6.8	37,819.80	21	9.30%	28.3%	92	40.70%	20	8.80%
Transfer	11,681	39.4	7	37,364.20	1,014	8.70%	31.2%	4,640	39.70%	654	5.60%
Total	13,056	39.8	7.1	38,311.70	1,108	8.50%	30.7%	5,076	38.90%	743	5.70%

11. DOT Diversity Demographic Profile

Permanent Employees
Snapshot – End of FY 2003

Ethnic Grp	Onboard Employee Count	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority Group %	Employees with Disabilities	Employees with Disabilities (%)
Hispanic	3,199	43.9	11.9	76,951.50	333	10.40%	822	25.70%	5.5%	162	5.10%
African American	6,318	45.4	11.7	74,132.20	681	10.80%	3,275	51.80%	10.9%	321	5.10%
Asian/Pacific Islander	1,969	45	12.4	81,085.00	147	7.50%	513	26.10%	3.4%	91	4.60%
American Indian/Alaskan Native	884	47.4	12.3	80,747.00	128	14.50%	249	28.20%	1.5%	94	10.60%
White	45,312	46.5	12.7	89,718.10	5,640	12.40%	10,397	22.90%	78.1%	2,167	4.80%
Total DOT	57,982	46.2	12.6	86,764.80	6,937	12.00%	15,346	26.50%	21.3%	2,841	4.90%

By comparison, the percent of minorities in the workforce for DOT, FCW¹, and NCLF² are in the table below:

	Hispanic	African American	Asian/Pacific Islander	American Indian/Alaskan Native	Total Minorities	White
DOT	5.5%	10.9%	3.4%	1.5%	21.3%	78.7%
FCW ¹	6.7%	17.7%	4.4%	2.0%	30.8%	69.2%
NCLF ²	11.9%	11.3%	3.9%	.9%	28.0%	72.0%

¹ Federal Civilian Workforce, Source is OPM 2002 edition of Fact Book.

² National Civilian Labor Force, Source is OPM 2002 edition of Fact Book.

The percent of Hispanics in the NCLF at 11.9 percent is more than twice the percent for Hispanics in DOT. However, the NCLF also includes non-citizens and DOT jobs require U.S. citizenship. As compared with the NCLF, all of the ethnic groups except American Indian/Alaskan Native are under-represented and recruitment strategies will target these groups. Although DOT's African American population at 10.9 percent compares favorably with the NCLF at 11.3 percent, this group is significantly under-represented when compared with the FCW at 17.7 percent.

12. DOT Minority Employment by Grade by Administration

Permanent Employees

Snapshot - End of Fiscal Year 2003

	OST	FAA	FHWA	FMCSA	FRA	SLSDC	FTA	NHTSA	RSPA	OIG	MARAD	STB	BTS	TOTAL	% in Grade	% DOT in Grade
GS-01														0	0.0%	0.0%
GS-02														0	0.0%	0.0%
GS-03	1	12	2						4		2			21	0.2%	0.1%
GS-04	3	11	7	4			1	1	5		11	2		45	0.4%	0.2%
GS-05	8	166	14	26	4	1	5	4	1	3	5	1		238	1.9%	1.2%
GS-06	3	120	16	9	7	1	8	3	7	2	12			188	1.5%	0.9%
GS-07	21	452	68	124	4	1	13	23	23	6	6		2	743	6.0%	3.3%
GS-08	26	120	21	8	6	2	14	29	6	4	7	1	6	250	2.0%	1.1%
GS-09	41	353	47	104	12		29	21	8	11	20	5	4	655	5.3%	2.6%
GS-10	9	430			3		2	4	1	1	1		1	452	3.7%	2.7%
GS-11	29	318	56	43	15		10	24	17	11	18	4	1	546	4.4%	3.5%
GS-12	44	2288	168	77	43		33	27	30	37	30	7	4	2788	22.5%	23.1%
GS-13	56	1963	173	30	27		95	60	61	33	36	7	6	2547	20.6%	18.8%
GS-14	53	2444	78	26	18		38	46	35	13	27	3	12	2793	22.6%	32.6%
GS-15	21	697	40	5	2	1	21	18	8	7	7	6	5	838	6.8%	8.2%
SES	7	42	14	1			4	5		2	2		1	78	0.6%	0.7%
WAGE GR	9	101	1			1			3		67			182	1.5%	1.0%
OTHER	1										5			6	0.0%	0.1%
TOTAL	332	9517	705	457	141	7	273	265	209	130	256	36	42	12370	21.3%	100.0%

AVG GR 11.2 12.2 11.4 9.4 11.3 8.2 11.7 11.3 11.3 11.6 10.7 11.6 11.9 11.9

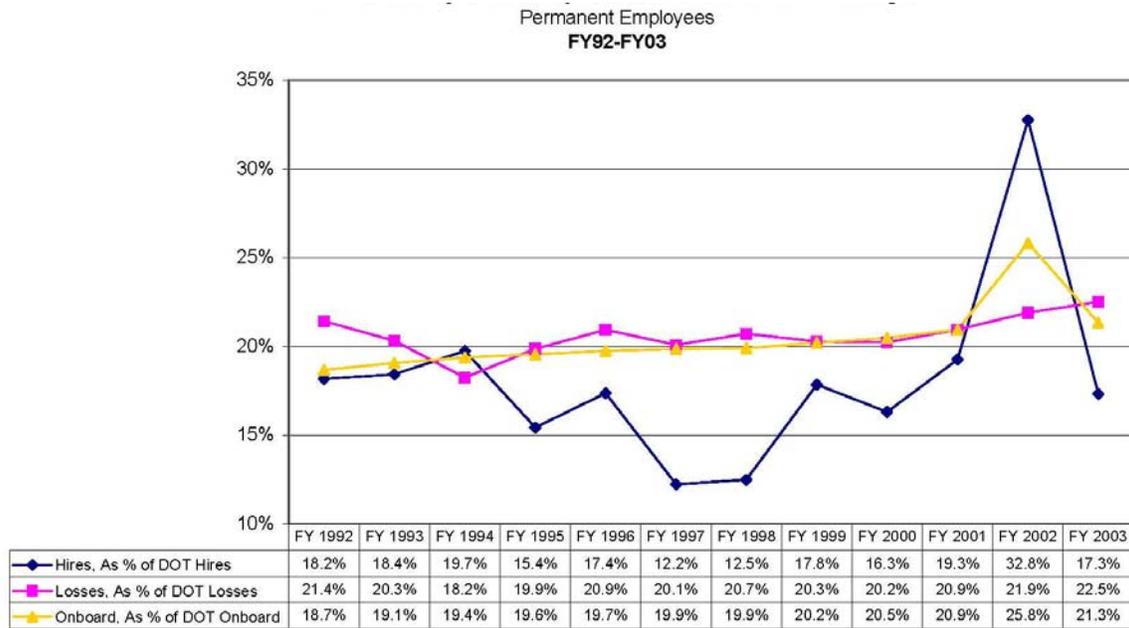
Note 1: Average grade is based on grades 1 - 15 and does not include wage grades.

Note 2: FAA's employees in Pay Banding pay plans are "crosswalked" to equivalent grades on this chart.

GS1-6	15	309	39	39	11	2	14	8	17	5	30	3	0	492	4.0%	2.3%
GS7-12	170	3961	360	356	83	3	101	128	85	70	82	17	18	5434	43.9%	36.3%
GS13-15	130	5104	291	61	47	1	154	124	104	53	70	16	23	6178	49.9%	59.5%

The percent of SES and Equivalent for minorities, at .6 percent, is close to that of all DOT SES at .7 percent. However, the percent of minority employees in grades 13 to 15 at 49.9 percent is well below the department percent of 59.5 percent.

13. DOT Minority Workforce Trends in Onboard Strength, Hires and Separations
(permanent employees)



With the exception of FY 1994 and FY 2002, loss rates for minority employees are consistently higher than their hire rates. The jump in minority hire rates in FY 2002 to 32.8 percent is attributable to hiring at TSA and the fact that the diversity of the screeners hired from private industry tended to be significantly more diverse. The heavy drop in onboard percent for minorities in FY 2003 was primarily due to the transfer of TSA and its diverse workforce to DHS.

14. Attrition Profile by Ethnic Group (FY 2003 Separations)

Ethnic Group	Number of Actions	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
Hispanic	4,136	36.1	7	35,815.00	356	8.60%	1,164	28.10%		9.8%	200	4.80%
African American	7,677	37.5	6.7	36,267.00	581	7.60%	3,351	43.60%		18.1%	435	5.70%
Asian/Pacific Islander	1,500	39.2	7.2	39,042.60	125	8.30%	436	29.10%		3.5%	71	4.70%
American Indian/Alaskan Native	387	41.8	8	43,566.60	50	12.90%	125	32.30%		.9%	36	9.30%
White	26,930	42.3	8	43,836.60	3,421	12.70%	7,507	27.90%		63.5%	1,843	6.80%
Total DOT	42,395	40.7	7.7	41,665.90	5,125	12.10%	13,056	30.80%	13,700	32.30%	2,682	6.30%

Separations of Hispanics and African Americans were both significantly higher than their respective percent of the DOT population. That is, Hispanics accounted for 9.8 percent of separations in FY 2003 compared to Hispanics being 5.5 percent of the DOT workforce.

Moreover, African Americans had 18.1 percent of separations in FY 2003 compared to their 10.9 percent of the workforce.

15. DOT Demographic Profile of Employees with Disabilities

Permanent Employees
Snapshot – End of FY 2003

	Onboard		Avg Age	Avg Grade	Avg Salary (\$000)	Supv & Mgr		Female		Minority	
	#	%				#	%	#	%	#	%
OST	53	1.9%	47.5	12.1	77.7	4	7.5%	24	45.3%	17	32.1%
FAA	2242	78.9%	49	12	77.3	225	10.0%	571	25.5%	500	22.3%
FHWA	189	6.7%	48	11.3	69.5	20	10.6%	69	36.5%	51	27.0%
FMCSA	74	2.6%	50.2	10.9	62.6	6	8.1%	21	28.4%	28	37.8%
FRA	72	2.5%	50.4	11.9	71.2	4	5.6%	24	33.3%	11	15.3%
SLSDC	10	0.4%	46.5	8.8	25.8	0	0.0%	3	30.0%	0	0.0%
FTA	48	1.7%	49.7	11.7	76.9	7	14.6%	26	54.2%	25	52.1%
NHTSA	30	1.1%	46.8	12.5	79.7	4	13.3%	13	43.3%	11	36.7%
RSPA	52	1.8%	50	12.3	77.9	3	5.8%	14	26.9%	6	11.5%
OIG	20	0.7%	47.6	11.6	74.1	3	15.0%	10	50.0%	6	30.0%
MARAD	41	1.4%	52.8	11.3	60.9	3	7.3%	12	29.3%	11	26.8%
STB	5	0.2%	47.6	13.8	108.5	3	60.0%	1	20.0%	1	20.0%
BTS	5	0.2%	56.8	12	76.9	0	0.0%	2	40.0%	1	20.0%
DOT Total	2841	4.9%	49	11.9	75.9	282	9.9%	790	27.8%	668	23.5%
FCW %		7.1%									
NCLF %		11.4%									

16. Employees with Disabilities by Grade by Administration

Permanent Employees
Snapshot - End of Fiscal Year 2003

	OST	FAA	FHWA	FMCSA	FRA	SLSDC	FTA	NHTSA	RSPA	OIG	MARAD	STB	BTS	TOTAL	% in Grade	% DOT in Grade
GS-01									1					1	0.0%	0.0%
GS-02		1												1	0.0%	0.0%
GS-03		5												5	0.2%	0.1%
GS-04	1	3	2						1		1			8	0.3%	0.2%
GS-05		59	8	2	4	1	1		1	1	3			80	2.8%	1.2%
GS-06	1	45	8	6	1		2			1	2			66	2.3%	0.9%
GS-07	2	118	15	10		1	2	2	1	1	1			153	5.4%	3.3%
GS-08	3	26	1		3		3	1	1		1			39	1.4%	1.1%
GS-09	4	71	11	5	1	1	2	2	2		1		2	102	3.6%	2.6%
GS-10	1	131												132	4.6%	2.7%
GS-11	2	50	10	3	2	1	3	2	1		1	1		76	2.7%	3.5%
GS-12	7	580	49	25	34	1	9	3	8	7	1			724	25.5%	23.1%
GS-13	8	434	52	12	14		15	4	16	7	8		1	571	20.1%	18.8%
GS-14	15	519	19	7	9		4	10	12	2	8	1	1	607	21.4%	32.6%
GS-15	7	154	9	3	3		5	4	5		3	2	1	196	6.9%	8.2%
SES	1	7	5	1	1		2	1		1	1	1		21	0.7%	0.7%
WAGE GR	1	39				5		1	2		10			58	2.0%	1.0%
OTHER									1					1	0.0%	0.1%
TOTAL	53	2242	189	74	72	10	48	30	52	20	41	5	5	2841	4.9%	

AVG GR 12.1 12.0 11.3 10.9 11.9 8.8 11.7 12.5 12.3 11.6 11.3 13.8 12.0 11.9

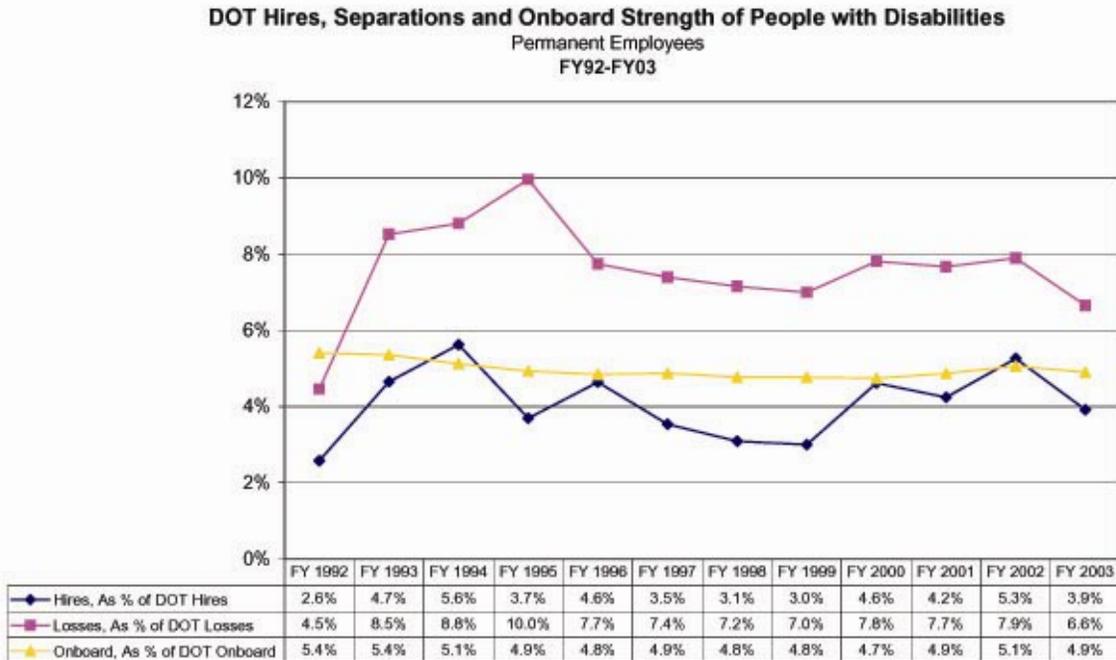
Note 1: Average grade is based on grades 1 - 15 and does not include wage grades.

Note 2: FAA's employees in Pay Banding pay plans are "crosswalked" to equivalent grades on this chart.

GS1-6	2	113	18	8	5	1	3	0	3	2	6	0	0	161	5.7%	2.3%
GS7-12	19	976	86	43	40	4	19	10	13	8	5	1	2	1226	43.2%	36.3%
GS13-15	30	1107	80	22	26	0	24	18	33	9	19	3	3	1374	48.4%	59.5%

Over 67 percent of DOT employees with disabilities are in professional positions in grades 12 to 15 or equivalent.

17. DOT Workforce Trends in Onboard Strength, Hires and Separations of Employees with Disabilities (permanent employees)



Losses of employees with disabilities have consistently been nearly twice that of hires thus, the onboard strength for this group has continuously slipped. The low rate of hires throughout the twelve year period has offered little opportunity to significantly improve the percent of employees with disabilities in the DOT workforce.

18. Mission-related Occupations

DOT’s human capital planners were advised to apply the U.S. Government Accounting Office’s (GAO) definition for mission-related occupations when identifying mission related occupations for their respective OAs (e.g., “occupations that most directly affect the department’s/agency’s ability to accomplish its missions. Those mission-related occupations found in the OAs’ workforce plans are as follows:

<p>Office of the Secretary 2110 Transportation Specialist. 900 Attorney 201 Human Resource Management 1102 Contract Specialist 500 Financial Management</p>	<p>Bureau of Transportation Statistics Series 1529—Mathematical Statistician Series 1530—Survey Methodologist Series 0110—Economist Series 2101—Transportation Specialist Series 2200—Information Technology Series 0301—Geospatial Data Analyst</p>
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<p><u>Office of Inspector General</u> 500 Auditors 343Analysts 1811Investigators 2210 Information Technology</p>	<p><u>Federal Aviation Administration</u> 2152 Air Traffic Controllers 2101 Airway Transportation. System Specialist 800 Engineers 334, 391, 1550, 854 Information Technology 1825 Aviation Safety Inspector</p>
<p><u>Federal Highway Administration</u> 0810 Civil Engineer 0020 Planning 0028 Environment 05xx Financial Mgmt. 0802 Engineer Technician 1170 Reality (Right of Way) 2101 Transportation Specialist</p>	<p><u>Federal Motor Carrier Safety Administration</u> 301 Field Administration 340 Program Management – State Division Admin. 2123 Motor Carrier Specialist – Border and Safety Invest. Border Auditors and Inspectors; Hazardous Material (Hazmat) Sp.; State Program Sp.; Federal Program. Sp. 2125 Hwy Safety Sp.; Federal Program Sp.; Enforcement Sp. 2101 Transportation. Specialist 900 Legal Family</p>
<p><u>Federal Railroad Administration</u> 2121 Railroad Safety Inspectors</p>	<p><u>National Highway Traffic Safety Administration</u> 2125 Highway Safety sp./Program Managers 800 Engineers 1301 Physical Scientists 0180 Psychologists 343 Program Analyst</p>
<p><u>Federal Transit Administration</u> 0020 Community Planning 0334 Computer Specialist 0341 Administrative Officer 0343 Program./Management Analyst 0360 Equal Opportunity Sp. 0801 General Engineering 0905 General Attorney 2101 Transportation. Specialist</p>	<p><u>St. Lawrence Seaway Development Corporation</u> GS-2150 Marine Transportation Specialist GS-2210 Information Technology Specialist WG-2805 Electrician WG-4701 Trades Helper-Relief Linehandler WG-5201 Linehandler WG-5352 Industrial Equipment Mechanic WL-5426 Lock & Dam Operator Leader WG-5426 Lock & Dam Operator WG-5426 Linehandler-Relief LDO</p>
<p><u>Maritime Administration</u> 2101 Transportation Advocate 2110 Transportation Business Analyst 0873 Technical Specialist 340 Project/Program Manager</p>	<p><u>Research and Special Programs Administration</u> GS-0110 Economist GS-0180 Engineering Psychologist GS-300 Pipeline, Hazmat, Transit, Environmental Safety Specialist and Management and Program Analysts GS-0800 Engineer GS-0905 Attorney-Advisor GS-1001 Training and Information Specialist GS-1101 University Programs Specialist GS-1300 Physical Scientist/Chemist GS-1515 Operations Research Analyst GS 1815 Air Safety Investigator GS-2101Transportation Specialist (Pipeline Safety Programs GS-2101Transportation Specialist (Hazmat Regulatory, Enforcement, Standards, Safety)</p>

	<p><u>Research and Special Programs Administration</u> (continued) GS-2101 Emergency Transportation Specialists GS-2110 Transportation Industry Analyst GS-2210 Information Technology Specialist</p>
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19. Mission-Related Cross-Cutting Occupations

The following mission related occupations that exist in more than one OA were determined to be “cross-cutting” occupations. The following tables and charts illustrate those occupations that are “at-risk” or “underrepresented”.

- 0020 Planning (FHWA; FTA)
- 340 Program Management (OIG; FMCSA;NHTSA;FTA; MARAD)
- 500 Financial Management (OST; OIG;FHWA;
- 800 Engineering Family (FAA; FHWA;NHTSA;FTA;RSPA)
- 900 Legal Family (OST;FMCSA; FTA; RSPA)
- 1300 Physical Scientist (NHTSA; RSPA)
- 2101 Transportation Sp. (BTS; FHWA; FMCSA; FTA; MARAD; RSPA)
- 2110 Transportation Industry Analyst (OST; MARAD; RSPA)
- Transportation Safety Family -1825; 2121; 2123; 2125; (FAA, FHWA; FMCSA;FRA;NHTSA;)
- Information Technology Family – 2210 334, 391, 1550, 854 (all modes)

A. Community Planning (occupational series 0020)

a. Demographic Profile

Permanent Employees
Snapshot FY 2003

Operating Admin	Onboard Employee Count	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
BTS	1	58	15	\$124,783	1	100.0%	0	0.0%	0	0.0%	0	0.0%
FAA	26	47.2	13.3	\$84,792	0	0.0%	7	26.9%	1	3.8%	1	3.8%
FHWA	120	42.6	12.8	\$79,039	18	15.0%	46	38.3%	34	28.3%	8	6.7%
FTA	59	44.1	12.9	\$82,027	7	11.9%	23	39.0%	21	35.6%	6	10.2%
RSPA	3	53.7	14	\$99,888	0	0.0%	1	33.3%	0	0.0%	0	0.0%
Total	209	43.8	12.9	\$81,116	26	12.4%	77	36.8%	56	26.8%	15	7.2%
FCW				\$75,328				33.8%				
NCLF								34.2%		15.3%		

b. Community Planners -- Employment by Grade by Administration

Permanent Employees
Snapshot For Period Ending 09/2003

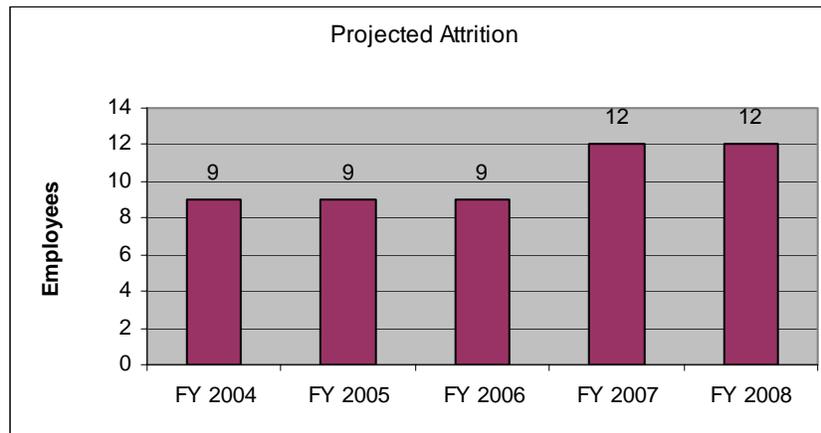
	BTS	FAA	FHWA	FTA	RSPA		
GS 09			7	5.83%	1	1.69%	
GS 11		1	3.85%	4	3.33%	5	8.47%

GS 12			1	3.85%	30	25.00%	10	16.95%		
GS 13			14	53.85%	41	34.17%	30	50.85%		
GS 14			10	38.46%	24	20.00%	5	8.47%	3	100.00%
GS 15	1	100.00%			10	8.33%	7	11.86%		
SES/Equiv					4	3.33%	1	1.69%		
Sum:	1		26		120		59		3	
Percent:	0.5%	1	12.4%	1	57.4%	1	28.2%	1	1.4%	1

c. Community Planners -- Employee Attrition Profile (FY 2003 Separations)

Separation Action Types	Number of Actions	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
Resignation	2	41	13	75,996.50	0	0.00%	0	0.00%	1	50.00%	0	0.00%
Retirement	3	57.7	13	86,493.00	0	0.00%	0	0.00%	0	0.00%	0	0.00%
Transfer	2	31.5	11	61,785.50	0	0.00%	1	50.00%	1	50.00%	0	0.00%
Total	7	45.4	12.4	76,434.70	0	0.00%	1	14.30%	2	28.60%	0	0.00%

d. Community Planners -- Attrition Projections



Projected Attrition as % of FY 2003 Onboard					
	FY 2004	FY 2005	FY 2006	FY 2007	FY2008
Female	2.6%	2.6%	2.6%	3.9%	3.9%
Minority	3.6%	3.6%	3.6%	3.6%	3.6%
PWD ¹	6.7%	6.7%	6.7%	6.7%	6.7%
Total	4.3%	4.3%	4.3%	5.7%	5.7%

The table above depicts total employee attrition as a percent of FY 2003 ending onboard strength. The "Total" row corresponds with the bar chart above the table. For example, the 4.3% Total attrition for FY 2004 corresponds with the predicted total losses of 9 employees in FY 2004 in the chart. For comparison, the average total attrition rate for DOT for the last twelve years (excluding the loss of TSA and USCG to DHS) is 4.9%.

B. Program Managers (Occup Series 0340)
a. Demographic Profile

Operating Admin	Onboard Employee Count	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
BTS	1	55		\$137,543	1	100.0%	0	0.0%	1	100.0%	0	0.0%
FAA	241	52.1	14.8	\$129,463	201	83.4%	87	36.1%	58	24.1%	15	6.2%
FHWA	124	49.9	14.3	\$102,185	91	73.4%	22	17.7%	22	17.7%	6	4.8%
FMCSA	50	45.8	14	\$89,120	44	88.0%	8	16.0%	6	12.0%	2	4.0%
FRA	11	53.2	15	\$128,903	10	90.9%	3	27.3%	1	9.1%	2	18.2%
FTA	9	53	*	\$142,500	9	100.0%	2	22.2%	3	33.3%	1	11.1%
NHTSA	43	53.2	15	\$127,600	39	90.7%	14	32.6%	9	20.9%	2	4.7%
OST	12	49	15	\$140,094	10	83.3%	8	66.7%	1	8.3%	0	0.0%
RSPA	9	57.6	*	\$138,264	9	100.0%	2	22.2%	0	0.0%	0	0.0%
SLSDC	2	48.5	15	\$110,519	1	50.0%	1	50.0%	0	0.0%	0	0.0%
STB	1	55	*	\$142,500	1	100.0%	0	0.0%	0	0.0%	0	0.0%
Total	503	51.1	14.5	\$119,167	416	82.7%	147	29.2%	101	20.1%	28	5.6%
FCW				\$104,864				32.4%				
NCLF								40.3%		18.0%		

* Executive

b. Program Managers -- Employment by Grade by Administration

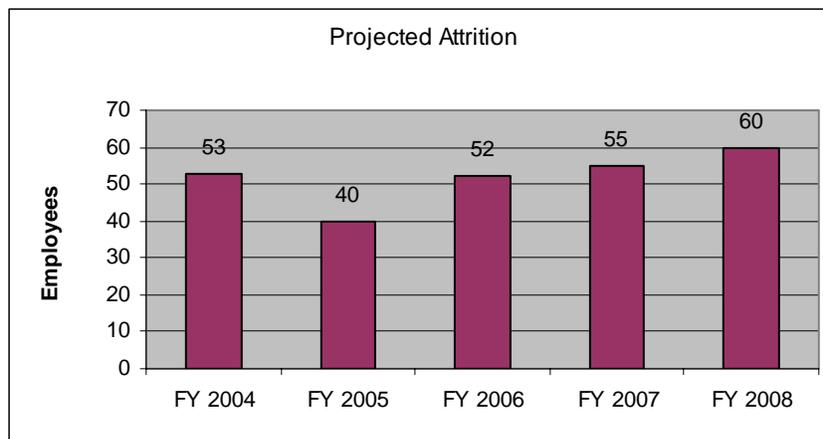
Permanent Employees
Snapshot – FY 2003

	FAA		FHWA		FMCSA		FRA		FTA		NHTSA		OST		RSPA	
GS 12	2	0.8%														
GS 13	2	0.8%	16	12.9%												
GS 14	16	6.6%	43	34.6%	47	94.0%					1	2.3%				
GS 15	94	39.0%	51	41.1%	1	2.0%	5	45.4%			22	51.1%	1	8.3%		
SES	127	52.7%	14	11.2%	2	4.0%	6	54.5%	9	100%	20	46.5%	11	91.6%	9	100%
Sum:	241		124		50		11		9		43		12		9	
Percent:	47.9%		24.7%		9.9%		2.2%		1.8%		8.6%		2.4%		1.8%	

c. Program Managers – Employee Attrition (FY 2003 Separations)

Separation Action Types	Number of Actions	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
Resignation	6	47.2	14.3	116,066.50	6	100.00%	0	0.00%	0	0.00%	0	0.00%
Retirement	40	58.3	14.9	126,343.50	36	90.00%	6	15.00%	10	25.00%	4	10.00%
Separations-Other	2	50.5	15	125,377.50	1	50.00%	1	50.00%	0	0.00%	0	0.00%
Transfer	198	49.6	14	96,263.00	187	94.40%	18	9.10%	17	8.60%	14	7.10%
Total	246	51	14.1	101,896.80	230	93.50%	25	10.20%	27	11.00%	18	7.30%

d. Program Managers – Attrition Projections



Projected Attrition as % of FY 2003 Onboard					
	FY 2004	FY 2005	FY 2006	FY 2007	FY2008
Female	6.8%	5.4%	7.5%	8.2%	9.5%
Minority	10.9%	7.9%	9.9%	11.9%	11.9%
PWD ¹	14.3%	7.1%	14.3%	10.7%	14.3%
Total	10.5%	8.0%	10.3%	10.9%	11.9%

The projected attrition for Program Managers in each of the five fiscal years and for each of the targeted groups is significantly higher than the predictions for the overall workforce. For example, the FY 2004 projected attrition for the total Program Managers is 10.5 percent compared to 5.0 percent for the total workforce.

C. Financial Management Family
a. Financial Management – Demographic Profile

Occup Series	Onboard Employee Count	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
0501 Financial Adm. & Prog.	222	47.7	11.4	\$65,357	33	14.9%	165	74.3%	83	37.4%	15	6.8%
0505 Financial Mgmt	22	50.4	13.8	\$100,823	12	54.5%	5	22.7%	3	13.6%	2	9.1%
0510 Accounting	248	48.4	12.8	\$79,077	38	15.3%	152	61.3%	105	42.3%	26	10.5%
0511 Auditing	114	46.9	12.9	\$82,067	31	27.2%	35	30.7%	41	36.0%	7	6.1%
0525 Accounting Technician	125	46.4	7.2	\$40,248	0	0.0%	113	90.4%	50	40.0%	10	8.0%
0540 Voucher Examining	3	51.3	6.7	\$41,095	0	0.0%	3	100.0%	2	66.7%	0	0.0%
0544 Civilian Pay	47	48.7	6.9	\$39,943	0	0.0%	43	91.5%	17	36.2%	3	6.4%
0560 Budget Analysis	69	45.7	13	\$83,228	8	11.6%	41	59.4%	28	40.6%	5	7.2%
Total	850	46.2	12.6	\$86,764	122	14.4%	557	65.5%	329	38.7%	68	8.0%
FCW				\$58,503				63.1%				
NCLF								49.7%		23.7%		

b. Financial Management – Employment by Grade by Administration

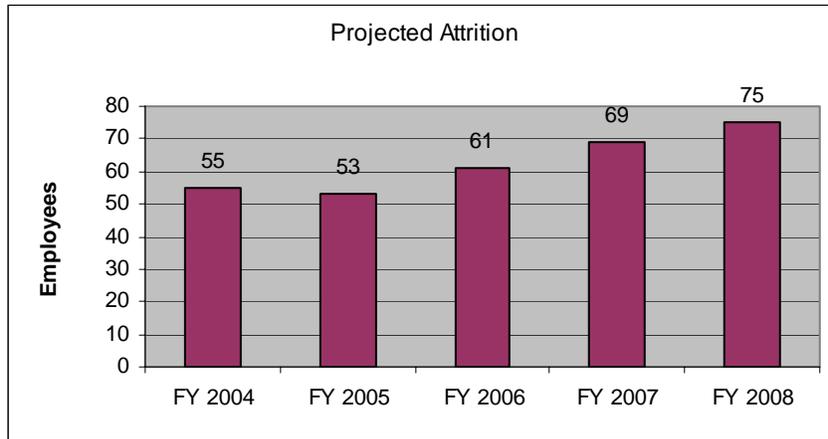
	FAA		FHWA		FRA		FTA		MARAD		OIG		OST		RSPA		DOT Total	% of Total
GS 03															1	4.4%	1	0.1%
GS 04							1	3.0%									1	0.1%
GS 05	14	2.8%	3	2.0%	1	7.7%											18	2.0%
GS 06	1	0.2%	17	11.6%					1	3.7%					1	4.4%	20	2.2%
GS 07	96	19.4%	33	22.5%					2	7.4%					4	17.4%	136	15.1%
GS 08	49	9.9%	3	2.0%					1	3.7%							54	6.0%
GS 09	63	12.7%	10	6.8%	1	7.7%	7	21.2%	1	3.7%							83	9.2%
GS 10	29	5.9%															29	3.2%
GS 11	17	3.4%	11	7.5%			2	6.1%	1	3.7%	6	5.3%					39	4.3%
GS 12	59	11.9%	18	12.2%	2	15.4%	7	21.2%	4	14.8%	35	31.0%			5	21.7%	131	14.5%
GS 13	82	16.5%	33	22.5%	4	30.8%	9	27.3%	7	25.9%	40	35.4%	4	22.2%	5	21.7%	194	21.5%
GS 14	60	12.1%	13	8.8%	4	30.8%	4	12.1%	8	29.6%	24	21.2%	9	50.0%	5	21.7%	135	15.0%
GS 15	26	5.2%	5	3.4%	1	7.7%	3	9.1%	2	7.4%	7	6.2%	3	16.7%	2	8.7%	56	6.2%
SES			1	0.7%							1	0.9%	2	11.1%			4	0.4%
Sum:	496		147		13		33		27		113		18		23		901	

Administrations with fewer than ten employees in the financial management family are not displayed in the table above but are included in the DOT total.

c. Financial Management – Employee Attrition (FY 2003 Separations)

Separation Action Types	Number of Actions	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
Resignation	16	39.9	9.1	51,728	0	0.00%	13	81.30%	7	43.80%	2	12.50%
Retirement	26	58.2	10.9	71,874	3	11.50%	15	57.70%	5	19.20%	2	7.70%
Separations-Other	4	44.3	6.5	33,801	0	0.00%	3	75.00%	0	0.00%	1	25.00%
Transfer	456	46.8	9.2	51,714	50	11.00%	315	68.60%	147	32.20%	42	9.20%

d. Financial Management – Attrition Projections



Projected Attrition as % of FY 2003 Onboard					
	FY 2004	FY 2005	FY 2006	FY 2007	FY2008
Female	4.7%	4.5%	5.3%	6.5%	7.3%
Minority	6.1%	5.8%	6.4%	7.3%	8.2%
PWD ¹	5.6%	4.2%	6.9%	8.3%	9.7%
Total	6.1%	5.9%	6.8%	7.7%	8.3%

D. Engineering Family

a. Engineering Family – Demographic Profile

Occup Series	Onboard Employee Count	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
0801 General Engineering	1,130	47.5	13.9	99,648	232	20.5%	141	12.5%	325	28.8%	50	4.4%
0802 Engineering Technician	452	48.5	10.9	60,618	32	7.1%	21	4.6%	73	16.2%	40	8.8%
0803 Safety Engineering	3	42	14	104,355	1	33.3%	0	0.0%	0	0.0%	1	33.3%
0806 Materials Engineering	6	51.7	13.8	94,619	0	0.0%	2	33.3%	1	16.7%	0	0.0%
0807 Landscape Architecture	2	51	13.5	84,053	0	0.0%	2	100.0%	0	0.0%	0	0.0%

Occup Series	Onboard Employee Count	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
0808 Architecture	12	52.9	13.7	92,472	4	33.3%	1	8.3%	1	8.3%	2	16.7%
0809 Construction Control	4	48	10.5	57,181	0	0.0%	0	0.0%	0	0.0%	0	0.0%
0810 Civil Engineering	1,499	43.9	12.6	78,402	162	10.8%	211	14.1%	350	23.3%	78	5.2%
0817 Surveying Technician	18	46.9	8.6	43,756	0	0.0%	1	5.6%	0	0.0%	0	0.0%
0818 Engineering Drafting	10	51.2	9.9	49,791	0	0.0%	3	30.0%	4	40.0%	3	30.0%
0819 Environmental Engineering	20	38.6	13	80,570	1	5.0%	6	30.0%	4	20.0%	2	10.0%
0830 Mechanical Engineering	142	42	12.8	80,571	4	2.8%	15	10.6%	41	28.9%	3	2.1%
0850 Electrical Engineering	93	44.3	12.8	81,444	0	0.0%	10	10.8%	52	55.9%	3	3.2%
0855 Electronics Engineering	982	45	13.3	90,288	63	6.4%	103	10.5%	337	34.3%	46	4.7%
0856 Electronics Technician	633	47.4	11.8	68,135	20	3.2%	62	9.8%	166	26.2%	59	9.3%
0861 Aerospace Engineering	678	46.9	13.5	91,788	65	9.6%	90	13.3%	155	22.9%	25	3.7%
0871 Naval Architecture	9	58.1	14.2	104,783	5	55.6%	0	0.0%	2	22.2%	1	11.1%
0873 Ship Surveying	53	52.6	13.1	87,416	5	9.4%	0	0.0%	8	15.1%	3	5.7%
0896 Industrial Engineering	14	39.5	12.9	82,861	0	0.0%	5	35.7%	3	21.4%	1	7.1%
Total	5,760	45.7	12.8	\$83,089	594	10.3%	673	11.7%	1,522	26.4%	317	5.5%
FCW				\$75,249				12.1%				
NCLF								12.4%		18.2%		

DOT is close to both the FCW and NCLF in female percent of population and significantly exceeds the NCLF in minority percent of population.

Engineering Family – Employment by Grade by Administration

	FAA		FHWA		FRA		FTA		MARAD		NHTSA		RSPA		DOT Total	% of Total
GS 03	13	0.3%	6	0.4%									6	2.3%	25	0.4%
GS 04	3	0.1%	13	1.0%			1	2.4%					13	5.0%	30	0.5%
GS 05	3	0.1%	14	1.0%									3	1.2%	20	0.3%
GS 06			4	0.3%											4	0.1%
GS 07	14	0.4%	39	2.9%							1	0.7%	7	2.7%	61	1.0%
GS 08			6	0.4%											6	0.1%
GS 09	41	1.0%	61	4.5%			1	2.4%			1	0.7%	10	3.9%	114	1.9%
GS 10	280	7.1%													280	4.8%
GS 11	40	1.0%	136	10.0%			2	4.8%	3	3.7%	5	3.6%	4	1.6%	193	3.3%

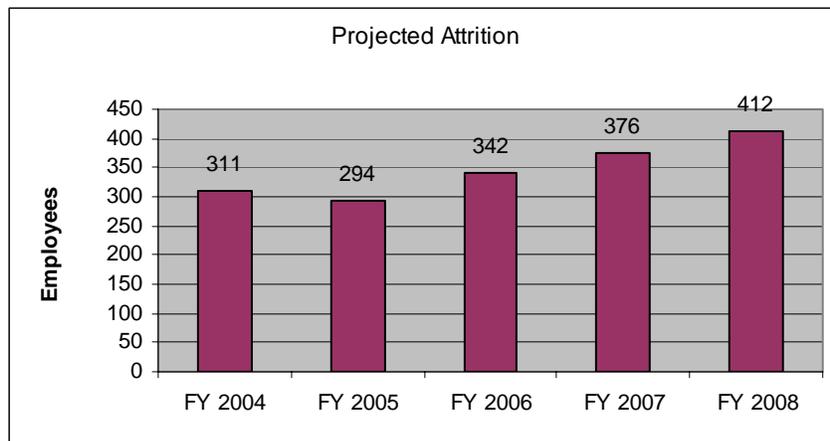
	FAA		FHWA		FRA		FTA		MARAD		NHTSA		RSPA		DOT Total	% of Total
GS 12	537	13.6%	432	31.9%	1	3.1%	2	4.8%	5	6.1%	16	11.4%	16	6.2%	1009	17.2%
GS 13	1,430	36.2%	438	32.3%	4	12.5%	21	50.0%	48	58.5%	38	27.1%	88	34.1%	2068	35.2%
GS 14	1,254	31.7%	134	9.9%	20	62.5%	13	31.0%	20	24.4%	56	40.0%	78	30.2%	1584	26.9%
GS 15	318	8.0%	63	4.7%	6	18.8%	2	4.8%	6	7.3%	23	16.4%	33	12.8%	453	7.7%
SES	23	0.6%	9	0.7%	1	3.1%									33	0.6%
Sum:	3956		1355		32		42		82		140		258		5880	

b. Engineering Family – Employee Attrition (FY 2003 Separations)

Separation Action Types	Number of Actions	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
Resignation	58	31.8	9.9	56,524	0	0.00%	21	36.20%	12	20.70%	2	3.40%
Retirement	138	60.2	13.2	92,723	24	17.40%	4	2.90%	23	16.70%	11	8.00%
Separations-Other	21	44.1	11.3	68,080	1	4.80%	3	14.30%	5	23.80%	2	9.50%
Transfer	528	48.7	12.4	77,346	80	15.20%	40	7.60%	92	17.40%	27	5.10%

Retirements in the engineering family were 2.9 percent female and 16.7 percent minority thus providing opportunities to recruit a more diverse group from recent college graduates to fill training positions.

c. Engineering Family – Attrition Projections



Projected Attrition as % of FY 2003 Onboard					
	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008
Female	1.9%	2.0%	2.0%	2.4%	2.6%
Minority	4.4%	4.3%	5.0%	5.4%	6.1%
PWD ¹	7.5%	7.2%	8.2%	9.1%	10.4%
Total	5.3%	5.0%	5.8%	6.4%	7.0%

The predicted attrition for PWDs is significantly higher than the predicted attrition for the overall workforce.

E. Legal Family

a. Legal Family – Demographic Profile

Occup Series	Onboard Employee Count	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
0905 General Attorney	485	47	14.3	107,212	115	23.7%	212	43.7%	104	21.4%	28	5.8%
FCW (Lawyer)				\$105,073				42.3%				
NCLF (Lawyer)								23.9%		10.8%		

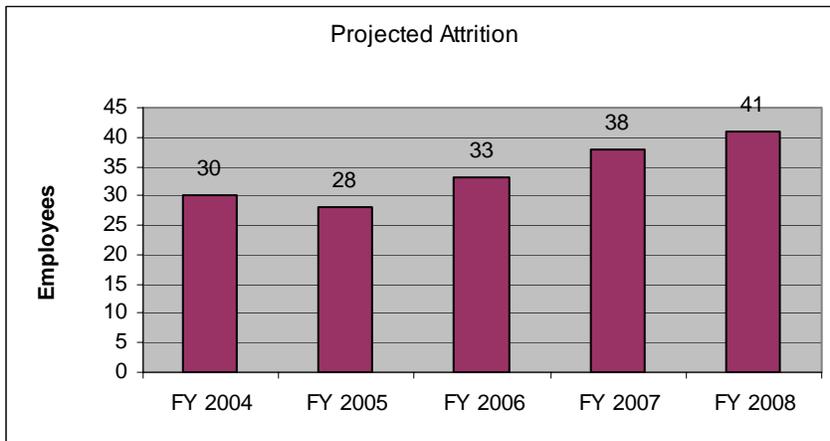
b. Legal Family – Employment by Grade by Administration

	FAA		FHWA		FMCSA		FRA		FTA		MARAD		NHTSA		OST		RSPA		DOT Total	% of Total
GS 05	19	5.6%																	19	2.7%
GS 07	17	5.0%	1	1.9%											2	2.4%			20	2.8%
GS 08	12	3.5%										1	3.6%	5	6.0%	1	4.6%	19	2.7%	
GS 09	14	4.1%	1	1.9%	1	3.3%						2	7.1%	4	4.8%			28	4.0%	
GS 10	75	21.9%												1	1.2%			76	10.7%	
GS 11	8	2.3%	5	9.6%	4	13.3%	1	3.5%	2	7.1%	2	8.7%	4	14.3%			2	9.1%	35	5.0%
GS 12	8	2.3%	2	3.9%	2	6.7%	3	10.3%	1	3.6%	1	4.4%	1	3.6%	3	3.6%	4	18.2%	32	4.5%
GS 13	17	5.0%	5	9.6%	3	10.0%	5	17.2%			1	4.4%	2	7.1%	3	3.6%	3	13.6%	47	6.6%
GS 14	78	22.8%	18	34.6%	11	36.7%	7	24.1%	17	60.7%	11	47.8%	8	28.6%	13	15.7%	7	31.8%	176	24.9%
GS 15	88	25.7%	16	30.8%	7	23.3%	10	34.5%	6	21.4%	6	26.1%	7	25.0%	39	47.0%	4	18.2%	212	30.0%
OTHER					1	3.3%									5	6.0%			6	0.8%
SES	6	1.8%	4	7.7%	1	3.3%	3	10.3%	2	7.1%	2	8.7%	3	10.7%	8	9.6%	1	4.6%	37	5.2%
Sum:	342		52		30		29		28		23		28		83		22		707	

c. Legal-General Attorney – Employee Attrition (FY 2003 Separations)

	Number of Actions	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
Resignation	13	36.8	13.8	89,187.2	2	15.4%	9	69.2%	3	23.1%	1	7.7%
Retirement	7	62.3	14.8	125,773.7	5	71.4%	0	0.0%	1	14.3%	2	28.6%
Transfer	165	44.6	14.2	100,492.7	32	19.4%	68	41.2%	37	22.4%	8	4.8%

d. Legal – General Attorney – Attrition Projections



	FY 2004	FY 2005	FY 2006	FY 2007	FY2008
Female	2.8%	2.8%	4.2%	4.7%	5.2%
Minority	4.8%	3.8%	4.8%	5.8%	5.8%
PWD ¹	7.1%	7.1%	7.1%	7.1%	7.1%
Total	6.2%	5.8%	6.8%	7.8%	8.5%

F. Science Family

a. Science Family – Demographic Profile

Occup Series	Onboard Employee Count	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
1301 General Physical Science	19	49.9	14.1	108,285	5	26.3%	8	42.1%	3	15.8%	1	5.3%
1306 Health Physics	4	50	13	76,719	0	0.0%	0	0.0%	0	0.0%	0	0.0%
1310 Physics	2	59	14.5	108,634	0	0.0%	0	0.0%	0	0.0%	0	0.0%
1320 Chemistry	24	52.3	13.1	83,510	4	16.7%	6	25.0%	9	37.5%	1	4.2%
1340 Meteorology	7	49.1	14.3	107,006	2	28.6%	1	14.3%	0	0.0%	1	14.3%
1350 Geology	4	50.8	12.3	73,373	0	0.0%	0	0.0%	1	25.0%	0	0.0%
1361 Navigational Information	120	49	12.9	73,822	6	5.0%	29	24.2%	25	20.8%	18	15.0%
1370 Cartography	184	44	12.1	70,552	30	16.3%	47	25.5%	23	12.5%	19	10.3%
1371 Cartographic Technician	18	51.6	10	52,185	0	0.0%	10	55.6%	5	27.8%	2	11.1%
1373 Land Surveying	3	54	12	66,727	1	33.3%	0	0.0%	0	0.0%	1	33.3%
Total	385	47	12.4	74,061	48	12.5%	101	26.2%	66	17.1%	43	11.2%
FCW				75,210				24.1%				
NCLF								24.2%		23.2%		

The minority population for the Cartography occupation (series 1370) is only 12.5 percent which bring the minority representation for the Science family down to 17.1 percent as compared to 23.2 percent for the NCLF. However, the occupations such as Chemistry, Geology, and Cartographic Technician are well above the NCLF.

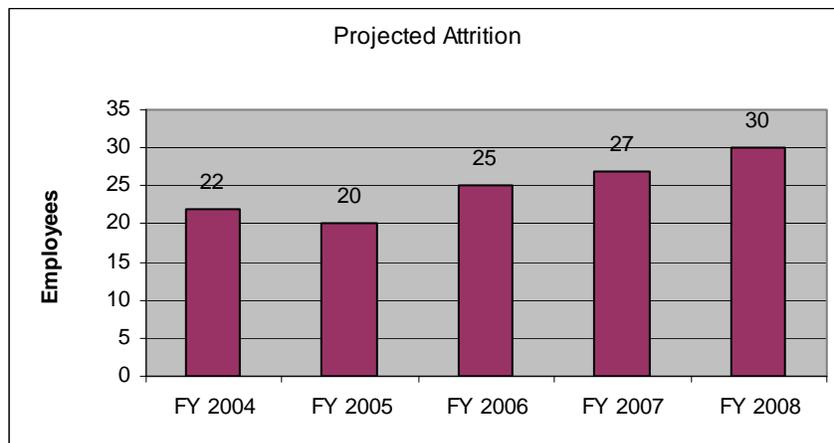
b. Science Family – Employment by Grade by Administration

	FAA		FHWA		FMCSA		FRA		NHTSA		RSPA		DOT Total	% of Total
GS 05	1	0.3%	2	10.5%									3	0.8%
GS 07	2	0.6%											2	0.5%
GS 09	12	3.5%	1	5.3%									13	3.4%
GS 10	13	3.8%	1	5.3%									14	3.6%
GS 11	17	4.9%	1	5.3%							1	7.1%	19	4.9%
GS 12	128	36.9%	6	31.6%							1	7.1%	135	34.9%
GS 13	117	33.7%	5	26.3%					2	40.0%	7	50.0%	131	33.9%
GS 14	43	12.4%	1	5.3%	1	100.0%					4	28.6%	49	12.7%
GS 15	13	3.8%	2	10.5%			1	100.0%	3	60.0%	1	7.1%	20	5.2%
SES	1	0.3%											1	0.3%
Sum:	347		19		1		1		5		14		387	

c. Science Family – Employee Attrition (FY 2003 Separations)

Separation Action Types	Number of Actions	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
Resignation	6	37.7	11	57,449	0	0.00%	3	50.00%	1	16.70%	0	0.00%
Retirement	7	59.7	13.1	87,665	3	42.90%	0	0.00%	1	14.30%	0	0.00%
Separations-Other	1	52	9	40,191	0	0.00%	0	0.00%	1	100.00%	0	0.00%
Transfer	47	49	11.7	69,773	11	23.40%	7	14.90%	5	10.60%	2	4.30%

d. Science Family – Attrition Projections



Projected Attrition as % of FY 2003 Onboard					
	FY 2004	FY 2005	FY 2006	FY 2007	FY2008
Female	5.9%	5.0%	5.9%	6.9%	7.9%
Minority	7.6%	6.1%	7.6%	7.6%	9.1%
PWD ¹	7.0%	7.0%	9.3%	9.3%	9.3%
Total	5.7%	5.2%	6.5%	7.0%	7.8%

The predicted attrition for minorities and PWDs is significantly higher than the predicted attrition for the overall workforce.

G. Transportation Specialist

a. Transportation Specialist – Demographic Profile

Onboard Employee Count	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
6,842	47.2	12.5	77,995	634	9.3%	821	12.0%	1,680	24.6%	399	5.8%
FCW			76,855				15.0%				

b. Transportation Specialist – Employment by Grade by Administration

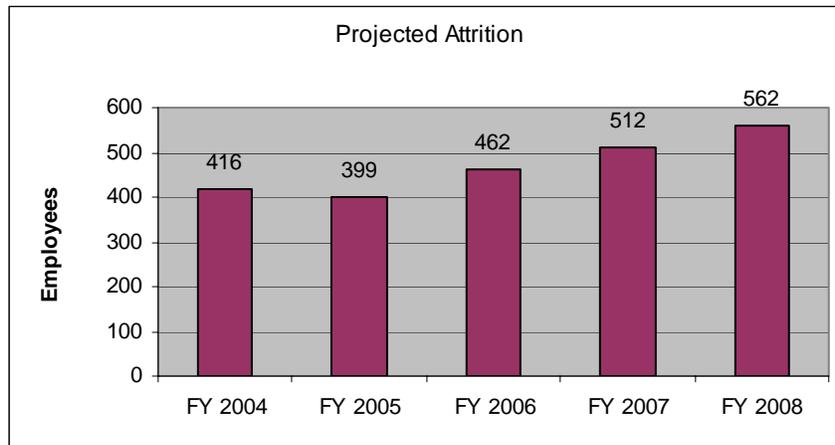
	BTS		FAA		FHWA		FMCSA		FRA		FTA		MARAD		OST		RSPA		DOT Total	% of Total
GS 07	1	3.7%															1	1.0%	2	0.0%
GS 09			85	1.4%	5	2.4%	7	6.0%					1	7.1%	2	11.1%	1	1.0%	101	1.5%
GS 10			218	3.5%															218	3.2%
GS 11	3	11.1%			3	1.4%	13	11.1%	1	1.6%	1	0.7%					9	9.4%	30	0.4%
GS 12	4	14.8%	3,753	61.0%	26	12.4%	14	12.0%	6	9.4%	19	13.0%	1	7.1%	2	11.1%	14	14.6%	3839	56.1%
GS 13	10	37.0%	1,352	22.0%	61	29.2%	28	23.9%	9	14.1%	58	39.7%	6	42.9%	1	5.6%	37	38.5%	1562	22.8%
GS 14	5	18.5%	685	11.1%	70	33.5%	26	22.2%	27	42.2%	37	25.3%	4	28.6%	6	33.3%	18	18.8%	878	12.8%
GS 15	4	14.8%	58	0.9%	38	18.2%	23	19.7%	20	31.3%	29	19.9%	2	14.3%	5	27.8%	14	14.6%	193	2.8%
OTHER																	1	1.0%	1	0.0%
SES					6	2.9%	6	5.1%	1	1.6%	2	1.4%			2	11.1%	1	1.0%	18	0.3%
Sum:	27		6151		209		117		64		146		14		18		96		6842	

c. Transportation Specialist – Employee Attrition (FY 2003 Separations)

Separation Action Types	Number of Actions	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
Resignation	35	39.3	11.7	67,937	4	11.4%	9	25.7%	13	37.1%	0	0.0%
Retirement	216	59.1	12.7	86,106	26	12.0%	14	6.5%	48	22.2%	18	8.3%
Separations-Other	22	48.8	11.9	74,544	3	13.6%	2	9.1%	7	31.8%	2	9.1%
Transfer	89	49.2	12.6	76,819	18	20.2%	13	14.6%	15	16.9%	2	2.2%

The respective percentages of resignations for females and minorities are significantly higher than their respective onboard percent of the DOT workforce. Over 25 percent of resignations were female compared with the female onboard strength of 12 percent. Similarly, over 37 percent of resignations were minorities as compared with the minority onboard strength of 24.6 percent.

d. Transportation Specialist – Attrition Projections



Projected Attrition as % of FY 2003 Onboard					
	FY 2004	FY 2005	FY 2006	FY 2007	FY2008
Female	3.8%	4.0%	4.8%	5.5%	5.8%
Minority	6.1%	5.8%	6.7%	7.3%	7.9%
PWD ¹	7.5%	7.0%	8.0%	9.0%	9.5%
Total	6.1%	5.8%	6.8%	7.5%	8.2%

H. Transportation Industry Analyst

a. Transportation Industry Analyst – Demographic Profile

Onboard Employee Count	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
135	48.1	13.1	84,770	15	11.1%	49	36.3%	29	21.5%	6	4.4%

There is no FCW listed here because all but three employees in this occupation in the federal government are employed by DOT. Likewise, there is no directly corresponding occupation in the NCLF.

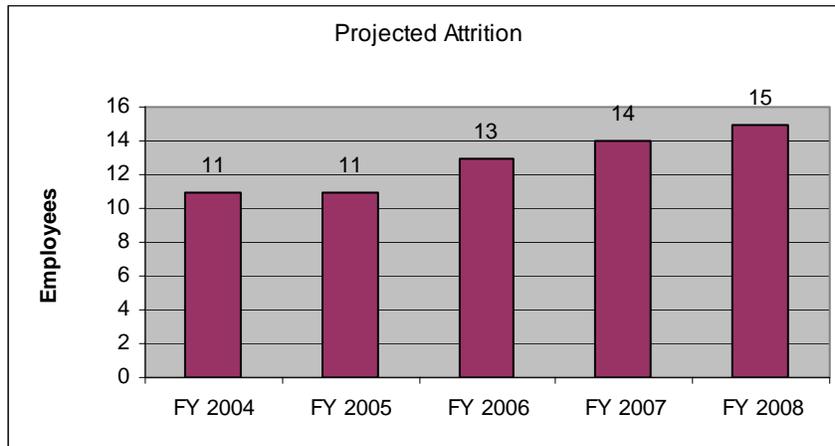
b. Transportation Industry Analyst – Employment by Grade by Administration

	FAA		FMCSA		FRA		MARAD		OST		RSPA		STB		DOT Total	% of Total
GS 09	3	15.8%					1	3.7%	3	4.7%					7	5.2%
GS 11					2	66.7%	3	11.1%	6	9.4%					11	8.1%
GS 12	6	31.6%	1	100.0%			3	11.1%	8	12.5%			1	7.7%	19	14.1%
GS 13	3	15.8%					7	25.9%	18	28.1%	5	62.5%	4	30.8%	37	27.4%
GS 14	7	36.8%					9	33.3%	19	29.7%	2	25.0%	4	30.8%	41	30.4%
GS 15					1	33.3%	4	14.8%	10	15.6%	1	12.5%	3	23.1%	19	14.1%
OTHER													1	7.7%	1	0.7%
Sum:	19		1		3		27		64		8		13		135	

c. Transportation Industry Analyst – Employee Attrition (FY 2003 Separations)

Separation Action Types	Number of Actions	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
Resignation	1	36	13	71,357	0	0.0%	1	100.0%	0	0.0%	0	0.0%
Retirement	3	58.7	13.3	89,680	0	0.0%	3	100.0%	2	66.7%	1	33.3%
Transfer	2	34.5	13	79,524	0	0.0%	2	100.0%	1	50.0%	0	0.0%

d. Transportation Industry Analyst – Attrition Projections



Projected Attrition as % of FY 2003 Onboard					
	FY 2004	FY 2005	FY 2006	FY 2007	FY2008
Female	6.1%	8.2%	8.2%	8.2%	10.2%
Minority	3.4%	3.4%	3.4%	3.4%	3.4%
PWD ¹	16.7%	16.7%	16.7%	16.7%	16.7%
Total	8.1%	8.1%	9.6%	10.4%	11.1%

The actual predicted number of losses is small but when reflected as a percent of this group's onboard strength, the percentages are very high, particularly for females and persons with disabilities. For comparison, the average attrition rate range for all of DOT to be 5.0 percent in FY 2004 to 7.0 percent in FY 2008.

I. Transportation Safety Family
a. Transportation Safety Family – Demographic Profile

Occup Series	Onboard Employee Count	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
2121 Railroad Safety Inspector	437	52.6	12.3	\$71,747	7	1.6%	18	4.1%	36	8.2%	40	9.2%
2123 Motor Carrier Safety Inspector	548	43.4	10.1	\$50,995	7	1.3%	107	19.5%	295	53.8%	34	6.2%
2125 Highway Safety Specialist	182	48.4	13.2	\$83,716	17	9.3%	65	35.7%	45	24.7%	13	7.1%
1825 Aviation Safety Inspector	3,972	52.6	13.5	\$86,204	477	12.0%	287	7.2%	537	13.5%	226	5.7%
2152 Air Traffic Controller	22,731	43.6	13.2	\$104,024	2976	13.1%	3515	15.5%	2802	12.3%	500	2.2%
Total	27870				3484	12.5%	3992	14.3%	3715	13.3%	813	2.9%
FCW (2100s only)				\$84,457				19.9%				
NCLF (Inspectors and ATC's)								17.3%		20.1%		

Females and minorities are both under-represented in the Transportation Safety family. The female percentage is 14.3 percent compared with 19.9 percent of the FCW and 17.3 percent for the NCLF. The minority percent is 13.3 percent compared with the 20.1 percent for the NCLF.

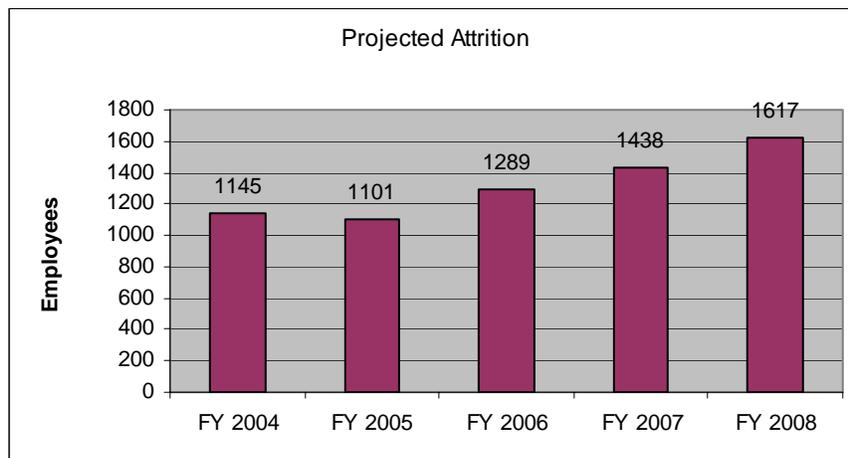
b. Transportation Safety Family – Employment by Grade by Administration

	FAA		FHWA		FMCSA		FRA		NHTSA		DOT Total	% of Total
GS 05	1	0.00%	0		20		0		0		21	0.1%
GS 07	84	0.37%	0		108		0		0		192	0.7%
GS 08	248	1.09%	0		0		0		0		248	0.9%
GS 09	96	0.42%	0		115		0		0		211	0.8%
GS 10	120	0.53%	0		0		0		0		120	0.4%
GS 11	1116	4.69%	1	20.0%	58		3	0.7%	4	3.9%	1182	4.2%
GS 12	5795	24.08%	1	20.0%	257	29.3%	319	73.2%	7	6.9%	6379	22.9%
GS 13	3782	10.07%	2	40.0%	53	53.3%	83	19.0%	39	38.2%	3959	14.2%
GS 14	13045	50.05%	1	20.0%	10	13.3%	23	5.3%	44	43.1%	13123	47.1%
GS 15	2399	8.65%	0		3	4.0%	6	1.4%	8	7.8%	2416	8.7%
SES	17	0.05%	0		0		2	0.5%	0		19	0.1%
Sum:	26703		5		624		436		102		27870	

c. Transportation Safety Family – Employee Attrition (FY 2003 Separations)

Occup Series	Separation Action Types	Number of Actions	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
2121 Railroad Safety Inspector	Resignation	4	46.5	12.8	72,920	1	25.0%	0	0.0%	0	0.0%	0	0.0%
	Retirement	8	63.5	12.5	76,409	0	0.0%	0	0.0%	1	12.5%	2	25.0%
	Separations-Other	2	52.5	13	79,847	0	0.0%	0	0.0%	0	0.0%	1	50.0%
	Transfer												
2123 Motor Carrier Safety Inspector	Resignation	15	38.8	7.7	36,718	0	0.0%	4	26.7%	11	73.3%	2	13.3%
	Retirement	7	62.3	12	71,528	0	0.0%	0	0.0%	0	0.0%	1	14.3%
	Separations-Other	3	47.7	7.3	40,502	0	0.0%	0	0.0%	2	66.7%	2	66.7%
	Transfer	6	34.7	6.7	32,680	0	0.0%	3	50.0%	6	100.0%	0	0.0%
2125 Highway Safety Specialist	Resignation	1	35	13	78,263	0	0.0%	0	0.0%	0	0.0%	0	0.0%
	Retirement												
	Separations-Other												
	Transfer	6	59.8	13.8	97,283	1	16.7%	1	16.7%	1	16.7%	0	0.0%
1825 Aviation Safety Inspector	Resignation	16	51.3	13.2	78,016	0	0.0%	3	18.8%	1	6.3%	0	0.0%
	Retirement	120	62.3	13.9	96,401	23	19.2%	5	4.2%	10	8.3%	7	5.8%
	Separations-Other	24	53.5	13.1	77,260	2	8.3%	1	4.2%	6	25.0%	0	0.0%
	Transfer	2	43.5	12	59,383	0	0.0%	0	0.0%	1	50.0%	0	0.0%
2152 Air Traffic Controller	Resignation	47	37	11.7	74,085	0	0.0%	15	31.9%	5	10.6%	0	0.0%
	Retirement	752	55.5	13.5	108,922	210	27.9%	69	9.2%	65	8.6%	39	5.2%
	Separations-Other	61	44	12.8	95,691	4	6.6%	16	26.2%	9	14.8%	4	6.6%
	Transfer	12	39.8	12.8	80,632	1	8.3%	2	16.7%	2	16.7%	1	8.3%
Transportation Safety Family Total	Separation Action Types	Number of Actions	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
	Resignation	83				1	1.2%	22	26.5%	17	20.5%	2	2.4%
	Retirement	887				233	26.3%	74	8.3%	76	8.6%	49	5.5%
	Separations-Other	90				6	6.7%	17	18.9%	17	18.9%	7	7.8%
	Transfer	26				2	7.7%	6	23.1%	10	38.5%	1	3.8%

d. Transportation Safety Family – Attrition Projections



Projected Attrition as % of FY 2003 Onboard					
	FY 2004	FY 2005	FY 2006	FY 2007	FY2008
Female	2.4%	2.4%	2.8%	3.2%	3.6%
Minority	4.1%	4.1%	4.7%	5.1%	5.8%
PWD ¹	5.3%	5.0%	6.2%	7.1%	8.0%
Total	4.1%	4.0%	4.6%	5.2%	5.8%

The transportation safety family as a group has very low attrition predictions compared with the other mission-related occupations or families. However, aviation safety inspectors and railroad safety inspectors have considerably higher predictions as shown in the two tables below:

2121 Railroad Safety Inspector

Projected Attrition as % of FY 2003 Onboard					
	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008
Female	0.0%	0.0%	0.0%	0.0%	0.0%
Minority	8.3%	8.3%	8.3%	8.3%	11.1%
PWD ¹	5.0%	5.0%	7.5%	10.0%	12.5%
Total	5.5%	5.5%	6.6%	7.8%	9.2%

1825 Aviation Safety Inspector

Projected Attrition as % of FY 2003 Onboard					
	FY 2004	FY 2005	FY 2006	FY 2007	FY 2008
Female	3.1%	3.1%	3.8%	4.5%	4.5%
Minority	6.5%	6.5%	7.4%	8.2%	8.8%
PWD ¹	6.2%	6.2%	7.5%	8.8%	10.6%
Total	7.2%	7.0%	8.6%	9.6%	10.8%

For comparison, the predicted range of attrition for the total workforce is 5.0 percent in FY 2004 to 7.0 percent in FY 2008.

**J. Information Technology (IT) Family
a. Information Technology Family – Demographic Profile**

Occup Series	Onboard Employee Count	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
0334 Computer Specialist	1,637	45.8	12.9	79,384	103	6.3%	583	35.6%	424	25.9%	126	7.7%
FCW				74,552				31.2%				

Because the IT family is not depicted as a family on OPM’s Fedscope website, we are comparing two of the IT family series with FCW-specific information. Computer specialist (0334) is shown in the table above and IT Management (2210) is shown in the table below. In both occupations, the female percent in DOT compares favorably with the FCW.

2210 I.T. Management	223	45.6	12.7	81,226	17	7.6%	80	35.9%	64	28.7%	14	6.3%
FCW				72,420				39.9%				

The rest of the IT family and the total for the family are shown below.

0391 Telecommunications	81	49.9	13.1	84,315	2	2.5%	26	32.1%	26	32.1%	4	4.9%
0854 Computer Engineering	45	40.9	13.3	85,804	2	4.4%	8	17.8%	10	22.2%	1	2.2%
1550 Computer Science	161	45.3	14.1	100,075	26	16.1%	48	29.8%	45	28.0%	9	5.6%
Total	2,147				150	7.0%	745	34.7%	569	26.5%	154	7.2%
NCLF								34.5%		27.4%		

The entire IT family compares favorably with the NCLF for females and minorities.

b. Information Technology Family – Employment by Grade by Administration

Gr	BTS		FAA		FHWA		FMCSA		FRA		FTA		NHTSA		OIG		OST		RSPA	
GS 05	0	0.0%	1	0.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
GS 07	0	0.0%	8	0.4%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	3	2.8%
GS 09	1	9.1%	17	0.9%	1	1.7%	0	0.0%	2	8.7%	0	0.0%	0	0.0%	2	11.8%	1	4.2%	6	5.6%
GS 10	0	0.0%	15	0.8%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%
GS 11	0	0.0%	120	6.5%	7	11.9%	0	0.0%	2	8.7%	0	0.0%	0	0.0%	0	0.0%	2	8.3%	3	2.8%
GS 12	1	9.1%	405	21.8%	31	52.5%	2	16.7%	10	43.5%	0	0.0%	1	7.7%	3	17.6%	1	4.2%	23	21.5%
GS 13	3	27.3%	577	31.1%	6	10.2%	4	33.3%	6	26.1%	6	54.5%	4	30.8%	6	35.3%	3	12.5%	37	34.6%
GS 14	6	54.5%	569	30.6%	12	20.3%	4	33.3%	2	8.7%	4	36.4%	6	46.2%	3	17.6%	11	45.8%	30	28.0%
GS 15	0	0.0%	145	7.8%	2	3.4%	2	16.7%	1	4.3%	1	9.1%	2	15.4%	2	11.8%	6	25.0%	5	4.7%
SES	0	0.0%	1	0.1%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	0	0.0%	1	5.9%	0	0.0%	0	0.0%
Sum:	11		1858		59		12		23		11		13		17		24		107	

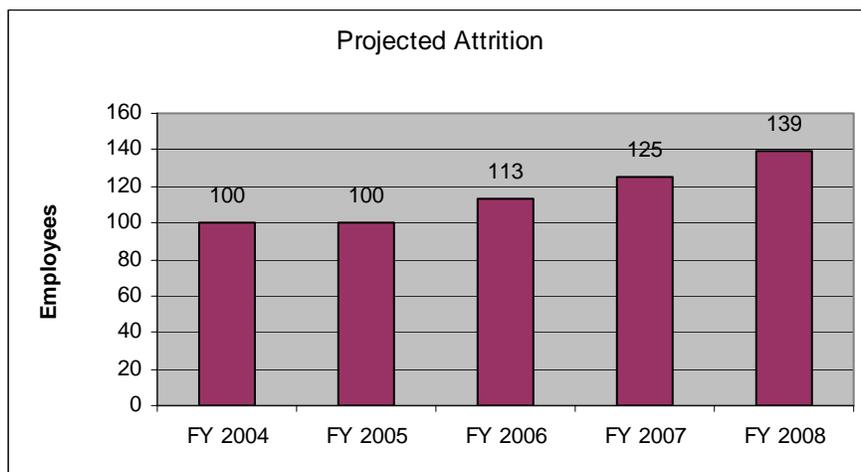
c. Information Technology Family – Employee Attrition (FY 2003 Separations)

Occup Series	Separation Action Types	Number of Actions	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
0334 Computer Specialist	Resignation	5	39.6	12.2	63,689	1	20.0%	1	20.0%	2	40.0%	1	20.0%
	Retirement	43	59.7	13.6	91,578	5	11.6%	12	27.9%	6	14.0%	3	7.0%
	Separations-Other	6	49.5	12.3	70,621	0	0.0%	3	50.0%	4	66.7%	0	0.0%
	Transfer	11	42.2	13.3	87,093	1	9.1%	2	18.2%	3	27.3%	0	0.0%
2210 I.T. Mgmnt	Resignation	5	34.4	11.4	62,890	0	0.0%	2	40.0%	1	20.0%	0	0.0%
	Retirement	3	58.3	12.7	81,476	0	0.0%	2	66.7%	1	33.3%	0	0.0%
	Separations-Other												
	Transfer	369	46.6	12.4	76,072	48	13.0%	150	40.7%	75	20.3%	25	6.8%

The table below depicts the total separations for the entire IT family in DOT.

Occup Series	Separation Action Types	Number of Actions	Avg Age	Avg Grade	Avg Salary	Supv & Mgr	Supv & Mgr (%)	Female	Female (%)	Minority	Minority (%)	Employees with Disabilities	Employees with Disabilities (%)
Total for I.T. Family	Resignation	11				1	9.1%	3	27.3%	3	27.3%	1	9.1%
	Retirement	50				5	10.0%	16	32.0%	7	14.0%	3	6.0%
	Separations-Other	6				0	0.0%	3	50.0%	4	66.7%	0	0.0%
	Transfer	412				52	12.6%	157	38.1%	87	21.1%	29	7.0%

d. Information Technology Family – Attrition Projections



Projected Attrition as % of FY 2003 Onboard					
	FY 2004	FY 2005	FY 2006	FY 2007	FY2008
Female	4.3%	4.3%	4.8%	5.4%	6.3%
Minority	4.7%	4.2%	5.1%	5.3%	6.0%
PWD ¹	5.2%	4.5%	5.2%	6.5%	7.1%
Total	4.7%	4.7%	5.3%	5.8%	6.5%

Strategic Direction for IT Workforce

DOT's Office of the Chief Information Officer (OCIO) strategic direction comes from the Department's FY 2003-2008 Strategic Plan and from the Department's OCIO FY2003-2005 E-Government and Information Technology Strategic Plan (IT Strategic Plan). The OCIO Enterprise Architecture/DOT Modernization Blueprint is the roadmap that guides the Department from its current "as-is" business and technology operating environment to a future "to-be" state that encompasses the goals of the DOT IT Strategic Plan and Annual Performance Plan, outlining the infrastructure to meet mission needs. In addition, OCIO partnered with the Departmental Office of Human Resources and is in the process of developing a human capital strategy and plan for the recruitment, retention and development of the IT workforce to meet the President's Management Agenda Human Capital Standards for Success requirement.

In FY 2003, DOT's Human Capital planning initiative identified the IT workforce as one of DOT's mission critical occupations that cuts across all functional and modal operations. Our strategy is to identify common human capital solutions (e.g., recruiting, staffing, learning and development).

DOT is meeting the requirements of the Clinger Cohen Act, E-Gov Act of 2002 (Section 209), and the President's Management Agenda through a three phased process. Below is an outline of this process and where DOT's IT workforce planning efforts are to date:

-Phase 1: Conducted an IT Project Management Workforce Planning Pilot to develop a systematic process for determining human capital strategies to close occupational and individual competency gaps in DOT's IT Project Management workforce. Next, we determined to what degree DOT IT Program and Project Managers possess the eleven core competencies identified by the Federal CIO Council and are required of government IT professionals. Then we evaluated and refined systematic process for implementing DOT-wide IT workforce planning initiative. (June-July 2003)

-Phase 2: Implemented DOT-wide IT workforce planning effort (July 2003). [NOTE: DOT was instrumental in coordinating this Phase with the Federal Chief Information Officer's Council (CIOC), Workforce and Human Capital for IT Committee. The committee was tasked by the Office of Management and Budget (OMB) to survey the Federal IT workforce to determine areas of needed

competency development, and to initiate the first stages of strategic workforce planning. (September 2003)]

- Phase 3: Integrate IT workforce planning efforts with DOT-wide workforce planning and competitive sourcing initiative (March 2004/ongoing)

Based on the results of the CIO Council Project Management Survey, the OCIO identified a need for qualified project managers as defined by OMB and the CIOC. In FY 2003, 28 of 60 major IT projects were being led by unqualified Project Managers. DOT plans to ensure that all Project Managers of major IT projects qualified according to the DOT Project Manager Competency guidelines (75% certified by September 2004; 100% certified by January 2005.) Furthermore, the results of our internal IT Workforce Planning pilot show that the higher rated competency areas are: Program/Project Management; Desktop Technology; IT Security/Information Assurance; Capital Planning and investment; and Leadership and Managerial. Results also show competency areas needing most development are: Process/Change Management; Information Resources Strategy/ Planning; and Acquisition.

Clinger-Cohen Act and E-Gov Act Requirements

The Clinger-Cohen Act (CCA) and Section 209 of the E-Gov Act require agencies to assess their IT workforce, to identify occupational and/or competency gaps, and to develop strategies for closing those gaps. To satisfy these requirements the Federal CIO Council (CIOC) established a Workforce and Human Capital IT Committee to develop a survey for the Federal IT workforce to determine areas of needed competency development, and to initiate the first stages of strategic workforce planning. During August 2004, the CIOC worked with OPM and OMB to develop the survey questions and content areas (competencies, skills, certifications, and specialized job activities) the survey was launched and completed in September 2003.

DOT's Clinger-Cohen Assessment Survey Results.

As part of DOT's IT workforce analysis, OCIO has requested that each OA integrate results from the recent Clinger Cohen Assessment Survey into workforce planning processes. Please note that the IT workforce is comprised of more than just employees in the GS-2210 and GS-334 occupational series. Because the IT workforce cuts across many mission critical occupations (MCO), it is difficult to align and analyze it well within the mandated MCO framework.

The following occupational series were considered to encompass the bulk of DOT's IT workforce:

- GS-2210 Information Technology Specialist
- GS-334 Computer Specialist
- GS-391 Telecommunications Specialist

- GS-1550 Computer Scientist
- GS-854 Computer Engineering

In addition, other occupational series not typically associated with the IT workforce could nonetheless be considered part of the IT workforce based on their job title or function.

These may also include:

- GS-301 Misc. Administration and Program
- GS-340 Program Management
- GS-343 Management Analyst
- GS-855 Electronic Engineer

Initial review of DOT demographic data from the CCA Survey show that:

- 46 percent (1008 of 2206) of DOT's IT workforce employees participated in the CCA survey. (Note: DOT had one of the top CCA participation rates by an Executive level agency).
- 44 percent have Bachelor's degrees, 20 percent have Master degrees.
- 21 percent fell between 46-50 years of age; 20 percent between 51-55 years of age; 18 percent between 41-45 years of age.
- Of the 29 percent that are eligible to retire within the next 6 years, 22 percent said they would take retirement. Of the 19 percent that are eligible to retire within 3 years, 11 percent said that they would take retirement.
- 36 percent have been in the Federal service over 21+ years; 32 percent have 11-20 years of Federal service.
- 21 percent have 1-3 years private sector experience, 15 percent have 11-20 years; 5 percent have 21+ years and 36 percent have no private sector experience.

Identifying IT Skills Gaps and Conducting Workforce Analysis

This section provides more detail on the self-assessed responses of current proficiency in the set of general (a total of 16) and technical (a total of 53) competencies. The rating scale used for the self-assessment was: None – does not have proficiency in the competency; Basic – capable of handling only the simplest assignments, but will need significant assistance beyond the easiest situations; Foundational – capable of handling some assignments, but will need assistance beyond routine situations; Intermediate – capable of handling many day-to-day assignments, but may seek assistance in difficult situations; Advanced – capable of handling most day-to-day assignments, though may seek expert assistance with particularly difficult situations; and Expert – capable of handling all assignments and may serve as a role model and/or coach others on this competency.

General IT Competencies Summary

General competencies are cross-functional in nature, meaning that they are needed by all members of the workforce regardless of the function they perform. The Table below orders all general competencies based on the average score, as well as displays all responses by proficiency level. Rows that are shaded correlate to competencies that were deemed by government subject matter experts to be central to one of ten specialized job activities.

Number of Responses by Proficiency Level and Ranking of Average Scores for General Competencies

General Competency	Type	Proficiency						Average Score	Rank
		0 - None	1 - Basic	2 - Found.	3 - Interm.	4 - Advanced	5 - Expert		
Interpersonal Skills	General	37	19	43	148	427	334	3.90	1
Problem Solving	General	35	13	46	174	459	281	3.84	2
Customer Service	General	50	27	79	169	386	297	3.69	3
Decision Making	General	42	20	83	202	425	236	3.64	4
Oral Communication	General	32	31	79	241	419	206	3.59	5
Leadership	General	39	43	81	252	399	194	3.50	6
Planning and Evaluation	General	54	38	83	264	382	187	3.43	7
Organizational Awareness	General	47	43	112	275	385	146	3.34	8
Influencing/Negotiating	General	77	61	119	255	350	146	3.17	9
Administration and Management	General	96	110	166	240	272	124	2.85	10
Strategic Thinking	General	127	103	152	244	249	133	2.78	11
Managing Human Resources	General	138	100	122	261	277	110	2.76	12
Financial Management	General	177	115	180	205	245	86	2.48	13
Contracting/Procurement	General	181	171	159	246	176	75	2.29	14
Legal, Government and Jurisprudence	General	149	184	197	263	181	34	2.24	15
Public Safety and Security	General	193	180	150	227	193	65	2.24	16

As indicated above, the results show that the **highest General competency areas** are: Interpersonal skills, Problem solving, Customer Service, Decision-Making, Oral Communication, Leadership, Planning and Evaluation, Organizational Awareness, Influencing/Negotiating, and Administration and Management. The **lowest rated competencies** are Strategic Thinking, Managing Human Resources, Financial Management, Contracting/Procurement, Legal, Government and Jurisprudence, and Public Safety and Security. Human capital strategies will be identified to address these lowest rated competencies (e.g., learning and development; recruiting).

Technical IT Competencies Summary

Technical competencies pertain specifically to the job functions the workforce performs which, in this case are information technology functions. The Table on the next page orders all technical competencies, based on an average. It also displays the number of

responses for each proficiency level. Again, rows that are shaded correlate to competencies that were deemed by government subject matter experts to be central to one of ten specialized job activities and are thus among the most important competencies.

Number of Responses by Proficiency Level and Ranking of Average Scores for Technical Competencies

Technical Competency	Type	Proficiency						Average Score	Rank
		0 - None	1 - Basic	2 - Found.	3 - Intern.	4 - Advanced	5 - Expert		
Hardware	Technical	85	92	155	236	294	146	2.99	1
Configuration Management	Technical	90	97	134	237	311	139	2.99	2
Operating Systems	Technical	94	109	145	223	306	131	2.92	3
Project Management	Technical	130	98	161	240	255	124	2.76	4
Data Management	Technical	96	126	175	261	246	104	2.74	5
Computer Languages	Technical	101	153	178	224	240	112	2.68	6
Database Management Systems	Technical	115	127	165	263	235	103	2.68	7
Technical Documentation	Technical	135	108	154	276	236	99	2.66	8
Knowledge Management	Technical	124	127	167	256	243	91	2.63	9
Database Administration	Technical	112	148	185	237	227	99	2.61	10
Technology Awareness	Technical	131	125	173	264	225	90	2.59	11
Requirements Analysis	Technical	165	107	167	221	237	111	2.59	12
Systems Life Cycle	Technical	161	122	159	221	234	111	2.57	13
Quality Assurance	Technical	142	121	174	259	234	78	2.55	14
Product Evaluation	Technical	164	104	189	227	235	89	2.53	15
Standards	Technical	160	121	162	255	227	83	2.51	16
Software Development	Technical	178	145	138	220	199	128	2.50	17
Systems Integration	Technical	183	123	147	246	215	94	2.47	18
Operations Support	Technical	174	141	154	217	238	84	2.45	19
Capacity Management	Technical	141	154	170	266	214	63	2.44	20
Information Resources Strategy and Planning	Technical	166	142	187	230	189	94	2.41	21
Distributed Systems	Technical	152	140	200	259	186	71	2.40	22
Information Assurance	Technical	168	154	173	233	184	96	2.40	23
System Testing and Evaluation	Technical	188	125	164	251	195	85	2.39	24
Cost-Benefit Analysis	Technical	156	147	214	233	195	63	2.35	25
Infrastructure Design	Technical	171	173	172	218	184	90	2.34	26
Software Testing and Evaluation	Technical	202	153	171	195	185	102	2.31	27
Web Technology	Technical	143	189	206	237	162	71	2.30	28
Risk Management	Technical	187	143	195	231	174	78	2.29	29
Electronic Commerce (e-Commerce)	Technical	139	173	218	259	171	48	2.29	30
Network Management	Technical	195	176	162	206	172	97	2.27	31
Information Technology Architecture	Technical	203	152	163	229	183	78	2.27	32
Business Process Reengineering	Technical	191	161	173	252	168	63	2.23	33
Organizational Development	Technical	206	151	192	229	164	66	2.19	34
Process Control	Technical	207	166	176	227	165	67	2.18	35
Multimedia Technologies	Technical	189	183	208	225	148	55	2.12	36
Information Systems/Network Security	Technical	206	197	182	202	140	81	2.12	37
Accessibility	Technical	163	230	183	239	152	41	2.11	38
Information Technology Performance Assessment	Technical	227	154	180	244	136	67	2.11	39
Hardware Engineering	Technical	235	183	170	196	153	71	2.06	40
Software Engineering	Technical	269	170	145	188	154	82	2.03	41
Information Systems Security Certification	Technical	227	190	197	201	123	70	2.01	42
Capital Planning and Investment Assessment	Technical	234	161	213	213	138	49	2.01	43
Information Technology Research & Development	Technical	257	156	190	214	127	64	1.99	44
Telecommunications	Technical	221	206	202	201	127	51	1.96	45
Computer Forensics	Technical	241	204	160	211	146	46	1.96	46
Logical Systems Design	Technical	275	168	171	216	121	57	1.91	47
Human Factors	Technical	261	200	186	204	114	43	1.84	48

Encryption	Technical	248	215	206	174	129	36	1.83	49
Object Technology	Technical	275	219	164	193	113	44	1.78	50
Modeling and Simulation	Technical	327	192	193	169	88	39	1.62	51
Artificial Intelligence	Technical	336	224	170	160	95	23	1.53	52
Embedded Computers	Technical	476	171	170	112	54	25	1.18	53

As indicated above, the results show that the highest technical competencies are: Hardware, Configuration Management, Operating Systems, Project Management, Data Management, Computer Languages, Database Management Systems, Technical Documentation, Knowledge Management, and Database Administration. The lowest rated technical competencies are Capital Planning and Investment Assessment, Information Technology Research & Development, Telecommunications, Computer Forensics, Logical Systems Design, Human Factors, Encryption, Object Technology, Modeling and Simulation, Artificial Intelligence, Embedded Computers. Human capital strategies will be identified to address these lowest rated competencies (e.g., learning and development; recruiting).

Developing and Implementing an Action plan for the IT Workforce

In the second quarter 2004, DOT developed an action plan to address any gaps in job categories and specialty areas, skills and competencies. OCIO will implement the DOT IT Workforce action plan in the third quarter of FY2004.

Our initial analysis of the CCA survey data indicates that our top two critical job categories are IT Project Management and IT Security/Information Assurance. Initial critical competencies appear to be: Information Resources Strategy and Planning, Contracting and Procurement, Cost-benefit Analysis, Risk Analysis, Information Assurance, Information Systems/Network Security, Information Technology Architecture, Information Systems Security Certification, and Risk Management. Initial critical skills appear to be: Development Systems Analysis, Federal/OMB Enterprise Architecture, Understanding and translating user requirements, Project Management Software, Systems Security Applications, Firewalls, Cryptology and PKI. Human Capital Strategies for IT Workforce (as previously reported in DOT's E-Government Act, Section 6 submission to OMB, are included in the Strategies to Resolve Gap Section

VI. LEADERSHIP AND SUCCESSION PLANNING

Leadership and Pipeline Demographics (permanent employees) FY 2003

Equip Grade	Onboard	Avg Age	Supv/Mgr		Female		Minority		Persons w/Disabilities	
			#	%	#	%	#	%	#	%
SES	406	53.1	377	92.9%	115	28.3%	78	19.2%	21	5.2%
15	4737	50.8	3357	70.9%	919	19.4%	825	17.4%	196	4.1%
14	18913	46.5	1751	9.3%	2813	14.9%	2544	13.5%	601	3.2%
13	10874	47.1	864	7.9%	2525	23.2%	2507	23.1%	571	5.3%
12	13396	45.7	121	0.9%	2789	20.8%	2728	20.4%	722	5.4%

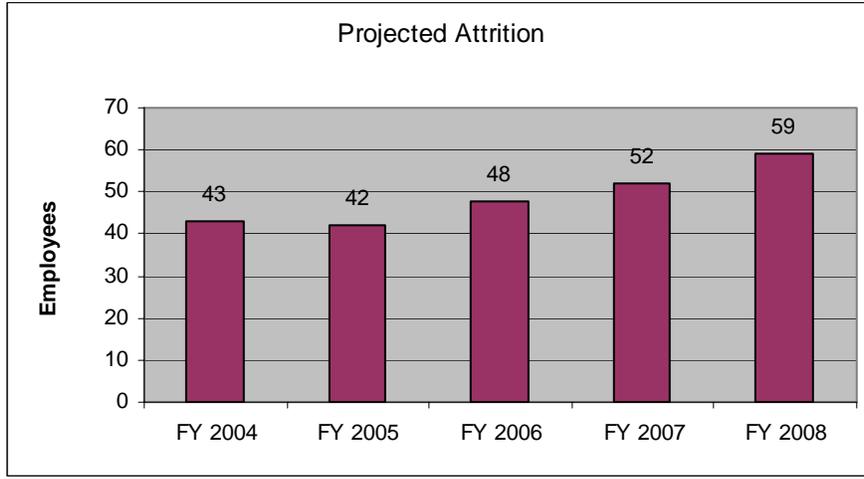
The Table above indicates DOT onboard strength of permanent employees in SES and Equivalent Executive positions and pipeline grades.

FY 2003 Attrition -- Leadership and Pipeline

Equiv Grade	Separation Action	Nbr of Actions	Avg Age	Supv/Mgr		Female		Minority		Persons w/Disabilities	
				#	%	#	%	#	%	#	%
SES	Resignation	6	43	5	83.3%	1	16.7%	0	0.0%	1	16.7%
	Retirement	28	59.7	26	92.9%	5	17.9%	7	25.0%	1	3.6%
	Separations-Other	1	44	1	100.0%	1	100.0%	0	0.0%	0	0.0%
	Transfer	4	49.3	4	100.0%	1	25.0%	0	0.0%	0	0.0%
	Total	39	55.7	36	92.3%	8	20.5%	7	17.9%	2	5.1%
15	Resignation	15	45.1	9	60.0%	7	46.7%	3	20.0%	0	0.0%
	Retirement	291	57.9	239	82.1%	25	8.6%	40	13.7%	19	6.5%
	Separations-Other	10	56.2	7	70.0%	3	30.0%	2	20.0%	2	20.0%
	Transfer	19	47.9	9	47.4%	7	36.8%	4	21.1%	1	5.3%
	Total	335	56.7	264	78.8%	42	12.5%	49	14.6%	22	6.6%
14	Resignation	42	43.3	2	4.8%	16	38.1%	8	19.0%	0	0.0%
	Retirement	571	57.1	72	12.6%	78	13.7%	70	12.3%	35	6.1%
	Separations-Other	50	48.8	5	10.0%	9	18.0%	6	12.0%	3	6.0%
	Transfer	30	44.6	9	30.0%	12	40.0%	8	26.7%	0	0.0%
	Total	693	55.1	88	12.7%	115	16.6%	92	13.3%	38	5.5%
13	Resignation	65	40.6	1	1.5%	30	46.2%	18	27.7%	0	0.0%
	Retirement	273	59.1	37	13.6%	65	23.8%	49	17.9%	20	7.3%
	Separations-Other	26	48.3	1	3.8%	5	19.2%	5	19.2%	4	15.4%
	Transfer	67	43.1	0	0.0%	26	38.8%	14	20.9%	5	7.5%
	Total	431	53.2	39	9.0%	126	29.2%	86	20.0%	29	6.7%
12	Resignation	59	38.9	0	0.0%	23	39.0%	16	27.1%	2	3.4%
	Retirement	404	57.7	8	2.0%	51	12.6%	59	14.6%	35	8.7%
	Separations-Other	12	50.2	0	0.0%	7	58.3%	11	91.7%	1	8.3%
	Transfer	50	39.5	0	0.0%	22	44.0%	16	32.0%	5	10.0%
	Total	550	53.5	8	1.5%	103	18.7%	102	18.5%	43	7.8%

Leadership and Pipeline Attrition Projections

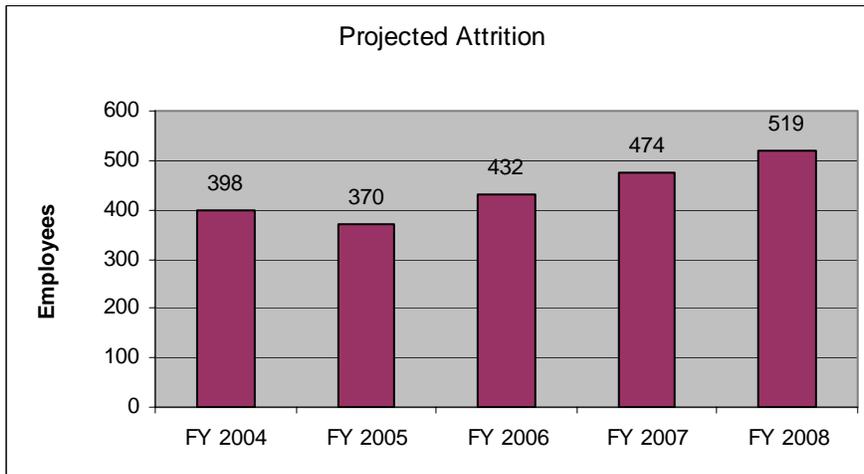
a. SES and Equivalent



Projected Attrition as % of FY 2003 Onboard					
	FY 2004	FY 2005	FY 2006	FY 2007	FY2008
Female	7.8%	7.8%	9.6%	10.4%	13.0%
Minority	11.5%	10.3%	11.5%	12.8%	15.4%
PWD ¹	14.3%	9.5%	14.3%	14.3%	19.0%
Total	10.6%	10.3%	11.8%	12.8%	14.5%

Of the department's 406 SES and Equivalent executives onboard at the end of FY 2003, over 60 percent (244) are predicted to leave DOT by FY 2008 (214 by retirement).

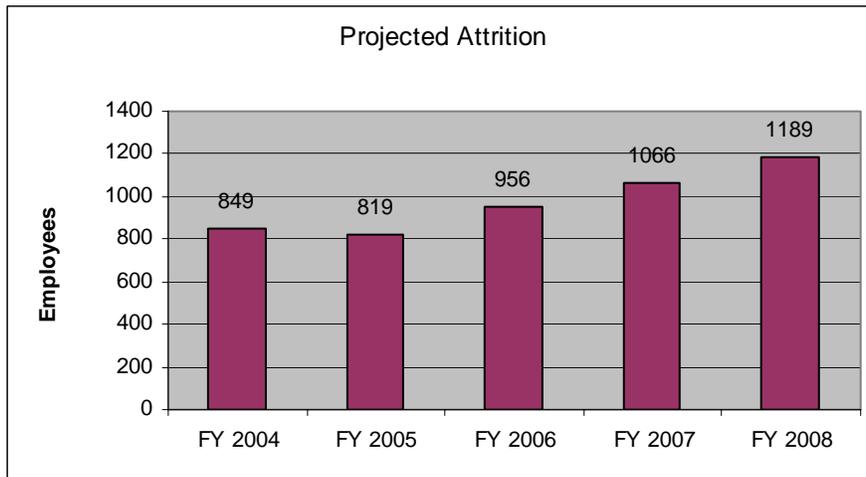
b. Grade 15 and Equivalent



Projected Attrition as % of FY 2003 Onboard					
	FY 2004	FY 2005	FY 2006	FY 2007	FY2008
Female	4.5%	4.6%	5.8%	6.8%	7.9%
Minority	8.0%	7.5%	8.7%	9.8%	10.5%
PWD ¹	11.2%	10.2%	11.2%	12.8%	12.8%
Total	8.4%	7.8%	9.1%	10.0%	11.0%

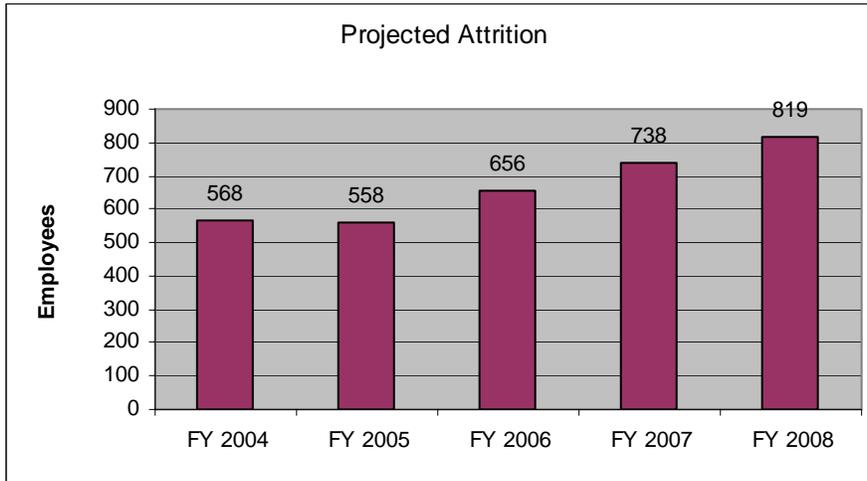
In FY 2003 DOT lost approximately 7 percent of its employees in grade 15 or equivalent. As the table above indicates, the department is predicting to gradually lose higher percentages in each of FY 2004 through FY 2008, primarily due to retirement of baby boomers, for a total of 46 percent of its Grade 15 or equivalent employees during the five year period FY 2004 – FY 2008. Approximately 3400 (70 percent) of employees in this group who were onboard at the end of FY 2003 are currently a supervisor or manager.

c. Grade 14 and Equivalent



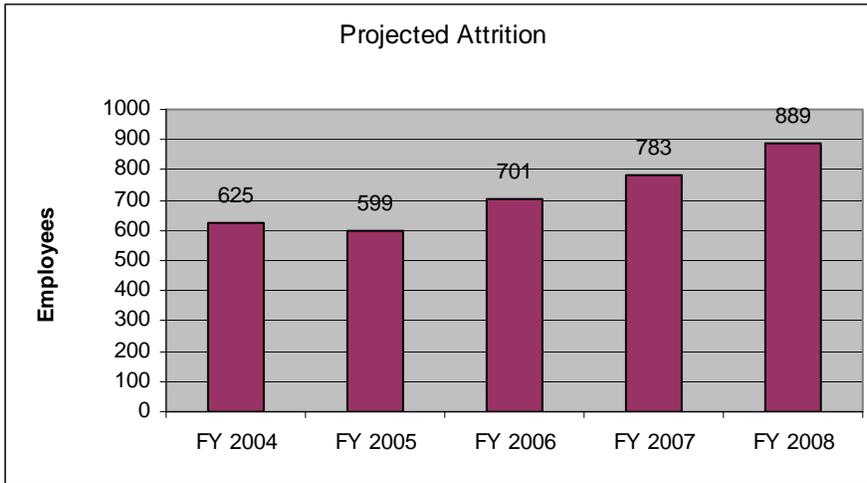
Projected Attrition as % of FY 2003 Onboard					
	FY 2004	FY 2005	FY 2006	FY 2007	FY2008
Female	3.2%	3.4%	3.9%	4.6%	5.2%
Minority	4.8%	4.7%	5.4%	6.0%	6.8%
PWD ¹	7.4%	6.6%	8.1%	8.9%	10.0%
Total	4.5%	4.3%	5.1%	5.6%	6.3%

d. Grade 13 and Equivalent



	FY 2004	FY 2005	FY 2006	FY 2007	FY2008
Female	4.2%	4.3%	5.1%	5.9%	6.5%
Minority	5.0%	5.0%	5.9%	6.5%	7.3%
PWD ¹	6.5%	6.3%	8.1%	8.8%	9.8%
Total	5.2%	5.1%	6.0%	6.8%	7.5%

e. Grade 12 and Equivalent



	FY 2004	FY 2005	FY 2006	FY 2007	FY2008
Female	3.9%	3.8%	4.5%	5.0%	5.8%
Minority	4.9%	4.7%	5.4%	5.9%	6.6%
PWD ¹	5.8%	5.7%	6.5%	7.0%	8.3%
Total	4.7%	4.5%	5.2%	5.8%	6.6%

At the aggregate Departmental level, the most critical potential gap in leadership appears to be in the executive ranks; however, some OA's are at more serious risk for leadership gaps at the mid- and lower-levels.

In addition to the projected attrition of individuals in leadership positions, the President's Management Agenda promotes changes in the way government is organized and the way we do our work. Its objectives include organizational delayering and broader scope of control, increased use of technology, a mix of Federal employees and contractors, and greater use of personnel flexibilities. All of these changes support the need for strong, qualified leadership.

To ensure qualified leadership at all levels, DOT established a systematic succession planning model as a subset of our overall Workforce Planning and Key Human Capital Challenges Initiative. Leadership succession is, in fact, a key human capital challenge. As a first step, all OA's are following a consistent model, sharing sources of training opportunities, and other tools to assist them in developing and implementing their succession planning systems.

The Model

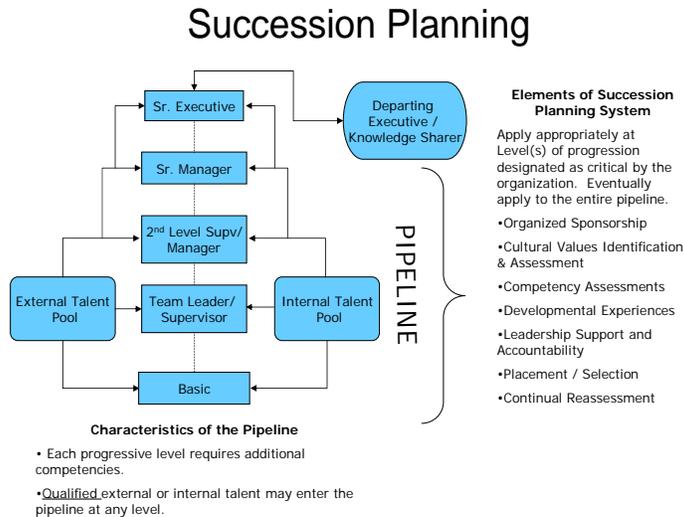
The DOT Succession Planning Model allows flexibility within the following expectations and timeframe:

- While nomenclature may differ, OA's cross-walk their systems' features to the leadership levels, standard components, and the leadership competencies established in the model.
- The leadership competencies are based on the OPM Executive Leadership Qualifications as they have been translated into the Leadership Competency Framework included in the Departmental Human Capital Plan. (As the way government work changes, these competencies should be revisited as part of the workforce planning process.)
- The competency framework included with the model acknowledges that in some instances generic leadership competencies must be supplemented by competencies appropriate for specific positions; however, its focus is on leadership positions, not technical experts.
- OA's can focus their initial succession planning implementation at the level of leadership that is most critical to achieving their missions. Eventually, however, succession planning should address all levels within the leadership pipeline.
- Using the model as a guide, OAs developed implementation plans for succession planning systems that met Departmental approval in June 2003.
- Acceptability of the plans were based on their addressing the standard components, meeting timeframes, and demonstrating, with milestones, how systems will proceed to address the entire leadership pipeline.

The model supports the Department of Transportation's (DOT's) overall structure, mission, goals, and values. It recognizes and benefits from systems being implemented within the Department, and the philosophy behind its design reflects the experience of

member OA's, best practices research, and the collaborative thinking of the group members. See Page 6 for a graphic depiction of the model.

The Succession Planning Systems Model –



Our model depicts a *leadership pipeline*, rather than focusing on one level of leadership. To ensure a cadre of capable leaders at all levels, we view building and maintaining an adequate leadership pipeline as a long-term strategy. Leaders at various levels acquire new competencies; however, most competencies are helpful at all levels. As leaders progress through the pipeline, they must emphasize and spend their time exercising competencies appropriate for that level. Leaders may enter the pipeline at any level if they have acquired qualifying competencies. The result should be a blend of internal and external leadership talent. As a Department, we are engaging in a number of endeavors (e.g. Executive Trend Analysis, Executive Coaching, Mentoring, and Supervisory Leadership) that directly support succession planning programs. Our Transportation Executive Leadership Institute offers centralized learning experiences that promote the theory that leaders nurture leaders.

Filling the leadership pipeline depends on those who are in positions of leadership understanding that they are accountable for developing potential successors for their own positions and similar positions in DOT. Supervisory and managerial accountability is encouraged through systems and measures such as our revised performance management system. In certain leadership positions organizational factors, operational experience, and technical credibility may play a part in selection. As we implement our new supervisory selection and development procedures (DPM Letter 300-26) leadership competencies will be the decisive factor in selecting new supervisors, managers, and executives.

While DOT acknowledges that formal programs may be one source of developing talent, we realize that such programs are not necessarily the only source. Participants in those

programs should understand that while they have the advantage of special development opportunities, they are not guaranteed a position as a result of participation. There may be external candidates or internal candidates who are more qualified, having acquired the competencies through other, equally valid means.

Through a collaborative effort between our OAs, we have inventories of succession planning tools being used successfully within the DOT; learning opportunities related to all leadership competencies and behaviors available to our leadership pipeline; best practice research; and bibliography of sources of helpful information.

Goals for Succession Planning in DOT

Most importantly, DOT has set goals for its leadership succession planning system and measures for evaluating and adjusting the system. In the interest of moving the succession planning process forward, we established an intermediate, operational goal as well as a long-term outcome goal.

➤ **Intermediate Goal**

DOT's *intermediate* goal is to immediately begin implementing systematic succession planning in all OA's in accordance with the Leadership Succession Planning Systems Model. The Department will begin to fill and prevent against leadership gaps, and by following a consistent approach, DOT is better positioned to support succession planning at the Departmental level.

➤ **Long-Term Goal**

The *long-term* outcome goal paraphrases the Human Capital Standards for Success for Leadership as set forth by OPM, OMB, and GAO:

DOT will “*achieve continuity of leadership in support of mission goals by engaging in systematic leadership succession planning that includes review of current and emerging leadership needs in light of strategic and program planning, identifies sources of key position talent and provides for assessing, developing, and managing the identified talent.*”

Measures of Success

There are three primary measures of success for the approach to leadership succession planning portrayed by this model:

- The existence of qualified internal applicants for all vacancies that occur in the leadership pipeline. External applicants who are equally or better qualified or meet specific needs may be selected for positions, but an internal talent pool of qualified applicants exists to ensure against potential leadership gaps.

- Follow-up evaluations and employee feedback through Governmentwide and OA surveys attest to the quality of leaders developed and selected through succession planning processes.
- Succession planning is an integral part of the OAs' and the Department's ongoing, continual workforce planning processes.

Levels of Progression within the Leadership Pipeline

The Succession Planning System model addresses five primary levels. The levels are intended to reflect a typical leadership progression. Specific organizational terminology and pipelines may vary. Each progressive level requires greater proficiency in, or a different application of, competencies acquired at the previous level. The descriptions below help to explain progression:

- **Basic or Pre-Supervisory:** Positions at this level typically have no supervisory functions.
- **Team Leader/First Level Supervisor:** This is usually an entry-level supervisory position or a team leader position with some, but not all, supervisory responsibilities.
- **2nd Level Supervisor/ Manager:** These positions typically have one or more first level supervisors or team leaders reporting to them. The incumbents usually manage a substantial work unit within an organization.
- **Senior Manager:** These positions frequently have several second level supervisors or managers reporting to them, and the incumbents are usually responsible for a major sub-element of an organization.
- **Senior Executive:** These are the most senior positions in an organization. For succession planning purposes in DOT, they are the career Senior Executive Service.

Standard Components for Succession Planning Systems in DOT

The following standard components for succession planning should be demonstrated in OA Succession Planning Systems. Nomenclature may vary, and each organization has latitude to determine how it will address each element; however, succession planning systems should clearly support the intent of the standards, as illustrated by the explanation / examples.

Standard Components

- Organized Sponsorship
- Cultural Values Identification and Assessment
- Identification of the Talent Pool
- Competency Assessment
- Developmental Experiences
- Knowledge Sharing
- Executive and Supervisory Support
- Selection and Placement

- Continual Reassessment

Explanation/Examples

Organized Sponsorship

A responsible group, team, or task force, acting with full support of top management to design and maintain a leadership succession planning system. The following are suggestions for group membership:

- ✓ Someone in a position to serve as an effective champion for the group
- ✓ Human Resources professional(s)
- ✓ A representative who can speak authoritatively on issues of civil rights and diversity
- ✓ Representatives from management and program areas
- ✓ Various levels of supervisors and managers
- ✓ Labor union and/or other employee representatives
- ✓ Customers and/or stakeholders (ad hoc, through focus groups, on boards, etc.)
- ✓ Others, as deemed appropriate by the organization

Primary Characteristic of All Representatives: *Openness to Possible Need for Change*

Cultural Values Identification and Assessment Identification

Organizations need to identify their cultural values. They make a difference, and some may need to change to support new mission requirements or ways of working. Examples might include the following:

- ✓ “Star quality” or individual achievement in technical areas
- ✓ Teamwork
- ✓ Certain definable personality characteristics
- ✓ Management background within the agency, or, conversely, management background outside the agency/government
- ✓ Specific leadership styles and behaviors

Assessment and Periodic Reassessment:

- ✓ Is culture change needed to ensure mission accomplishment now or in the future?
- ✓ Will the qualities that are currently valued change, or could they impede mission accomplishment?
- ✓ Are there sufficient managerial/supervisory positions for graduates of formal programs to enter the leadership pipeline?
- ✓ Does the culture encourage graduates of formal programs to expect to be automatically placed in leadership positions? Is there a perception gap?

Identification of Talent Pool

Determine where talent is available and how it will be identified.

- ✓ Can talent best be identified from the internal pipeline, external sources, both?
- ✓ What proportions of each work best for the organization?
- ✓ Will the organization’s talent pool for leadership positions include all employees, self-selected employees, or only participants in / graduates of selective programs?

Competency Assessment

These are methodologies to determine what it takes to do the job and assess the available talent. They include assessments and periodic reassessments of:

- ✓ Managerial/supervisory potential.
- ✓ Core competencies at each level in the leadership pipeline.
- ✓ Observable behaviors that support existence of competencies.
- ✓ Specialized competencies for the organization.

Planned Developmental Experiences

A formal development plan should address focus areas for each member of the talent pool. Plan includes

- ✓ Classroom or online learning to expand knowledge base and to address focus areas
- ✓ Significant experiential development opportunities provided on the job
- ✓ Shadowing successful managers
- ✓ Rotations or similar experiences
- ✓ Reassessment of strengths and focus areas following developmental and/or training/educational opportunities
- ✓ The plan is essential. It confers priority on these experiences.

Knowledge Sharing

Experienced, successful leaders transmit essential knowledge to the talent pool. These are examples of methods for transmitting knowledge:

- ✓ Formal Mentoring
- ✓ Coaching
- ✓ Legacy Systems
- ✓ Technology Based Knowledge Management Systems

Executive and Supervisory Support

For succession planning systems to be effective, executives at the top levels of the organization must endorse developmental activities for employees in the talent pool.

Executives –

- ✓ Give visible support to the Succession Planning System and related programs.
- ✓ Provide resources to assure the Program's continued growth and development.
- ✓ Mentor on an informal basis.
- ✓ Monitor management/supervisory accountability in support of the Program.

Direct supervisors at all levels -

- ✓ Participate in and provide for developmental experiences.
- ✓ Manage work assignments to allow full participation in long-term experiences, such as rotations.
- ✓ Mentor on an informal basis.
- ✓ Support the advancement of subordinate(s) through positive and constructive feedback.
- ✓ Be held accountable for developing potential successors.

Selection and Placement

The selection and placement process should be characterized by -

- ✓ Quality ranking factors for all supervisory and managerial positions that include identified leadership competencies.
- ✓ Leadership and operational experience criteria that is clearly defined and uniformly applied.
- ✓ The selection process should identify areas for development for inclusion in the selectee's IDP.

Continual Reassessment

To ensure the programs continued relevance and effectiveness -

- ✓ Evaluate the program bi-annually to ensure that there are potential candidates for projected leadership vacancies or "one-deep" leadership positions.
- ✓ Identify strengths and areas for improvement.
- ✓ Validate the worth of the system to the organization.
- ✓ Canvass talent pool members quarterly to determine the impact of the Program on the Members (e.g., questionnaire, focus group).
- ✓ Evaluate the quality of selected leaders by assessing their performance in the job and soliciting customer and employee feedback through governmentwide and OA surveys and measurement tools, or other means, such as 360-degree feedback.

VII. GAP ANALYSIS SUMMARY

Overall, the strength of our female and minority representation occurs in the more cross-cutting occupations like Financial Management and Legal. It is interesting to note that there is under-representation of women in the Program Management area, possibly related to the fact that Program Managers are promoted from technical ranks. Sixty-two percent of our job family categories are at parity or above when compared to NCLF for females and minorities. However, most of our under-representation is in the key technical occupations. For example, females are under-represented in the Engineering and Transportation Safety areas and minorities are under-represented in Science, Transportation Safety and Information Technology.

Although DOT's African American population at 10.9 percent compares favorably with the NCLF at 11.3 percent, this group is significantly under-represented when compared with the FCW at 17.7 percent. The percent of minority employees in grades 13 to 15 at 49.9 percent is well below the department percent of 59.5%.

Separations of Hispanics and African Americans were both significantly higher than their respective percent of the DOT population. That is, Hispanics accounted for 9.8 percent of separations in FY 2003 compared to Hispanics being 5.5 percent of the DOT workforce. Moreover, African Americans had 18.1 percent of separations in FY 2003 compared to their 10.9 percent of the workforce.

Losses of employees with disabilities have consistently been nearly twice that of hires thus, the onboard strength for this group has continuously slipped. The low rate of hires

throughout the twelve year period has offered little opportunity to significantly improve the percent of employees with disabilities in the DOT workforce.

The projected attrition for Program Managers in each of the five fiscal years and for each of the targeted groups is significantly higher than the predictions for the overall workforce. For example, the FY 2004 projected attrition for the total Program Managers is 10.5 percent compared to 5.0 percent for the total workforce.

The predicted attrition in the Engineering family for persons with disabilities (PWDs), ranges from 7.5 percent in FY 2004 to 10.4 percent in FY 2008, which is significantly higher than the predicted attrition for the overall workforce of 5.0 percent in FY 2004 to 7.0 percent in FY 2008.

The predicted attrition in the Science family for minorities and PWDs, is significantly higher than the predicted attrition for the overall workforce. For minorities, the predicted range is from 7.6 percent in FY 2004 to 9.1 percent in FY 2008. For PWDs, the predicted range is from 7.0 percent in FY 2004 to 9.3 percent in FY 2008. For comparison, the predicted attrition range for the overall workforce is 5.0 percent in FY 2004 to 7.0 percent in FY 2008.

The actual predicted number of losses in the Transportation Industry Analyst occupation (series 2110) is small but when reflected as a percent of this group's onboard strength, the percentages are very high, particularly for females (ranging from 6.1 percent in FY 2004 to 10.2 percent in FY 2008) and PWDs (ranging from 8.1 percent in FY 2004 to 11.1 percent in FY 2008). For comparison, the average attrition rate range for all of DOT to be 5.0 percent in FY 2004 to 7.0 percent in FY 2008.

Females and minorities are both under-represented in the Transportation Safety family. The female percentage is 14.3 percent compared with 19.9 percent of the FCW and 17.3 percent for the NCLF. The minority percent is 13.3 percent compared with the 20.1 percent for the NCLF.

The aviation safety inspectors and railroad safety inspectors have considerably higher attrition predictions than the rest of the Transportation family in FY 2007 and 2008. Railroad Safety Inspectors are predicted to have 7.8 percent attrition in FY 2007 and 9.2 percent in FY 2008. Minorities in this occupation are predicted to have a range of attrition in FY 2004 of 8.3 percent to 11.1 percent in FY 2008. PWDs in this occupation are predicted to have a range of attrition in FY 2006 of 7.5 percent to 12.5 percent in FY 2008.

The PWDs predicted attrition rates for the Aviation Safety Inspectors range from 6.2 percent in FY 2004 to 10.6 percent in FY 2008. The range of the predicted attrition for the total Aviation Safety Inspectors is 7.2 percent in FY 2004 to 10.8 percent in FY 2008.

VIII. COMPETENCY ANALYSIS

DOT adopted OPM's definition of mission-critical competency which is "a competency most central to its organization's core business, reflects in organization's mission, vision, and strategy, and can arise as a result of new challenges and business trends affecting the agency." All OAs designed competency frameworks for their mission-critical occupations to serve as a resource for employees and supervisors and to use in planning, managing and developing skills. In most cases, this was accomplished by reviewing mission, strategy and trend data to develop a short-list, followed by a position review to identify where those competencies are exhibited and/or required. Senior program leaders were asked to refine and validate these competencies as mission-critical.

In many cases, OAs determined current competency gaps by comparing senior program leaders' assessments of the expertise required for the specific competency to employees' self-rating of expertise. Future competency gaps were determined by tracking attrition and take-rates of those employees in our mission critical occupations. In the future, it is our intention to incorporate OA competency data into a competency management system/learning management system so that human capital planners and managers will have easy access to competency data.

According to our OA workforce plan analysis, no major competency gaps were identified however, a few current cross-cutting competency gaps appeared in the following areas:

- Program/Project Management
- Systems/Strategic Thinking
- Analytical thinking
- Information Technology

Emerging Skills for the Future Workforce

As mentioned earlier, our DOT Strategic Plan emphasizes the need for attracting a new generation of innovators and pioneers in transportation. Data from recently conducted competency assessments and focus groups, indicate that emerging skills needed to support our cross-cutting occupations include:

- Systems Thinking
- Business Acumen for Leaders
- Financial Management
- Conflict Management
- Environmental Law
- Urban and regional planning
- International Transportation (multi-lingual)
- Information Technology
- External Awareness (knowledge of transportation industry)
- Building Coalitions
- Business Acumen

The DOT Inspector General, in a statement before the Senate Committee on Environment and Public Works, stated that “Although FHWA has taken several steps to improve its stewardship it has not completed the transition from its traditional role of reviewing and approving contract level actions, to a now higher level role of conducting reviews to ensure the effectiveness of the states’ processes in areas that are major project drivers, such as financing, controlling project-level costs, schedule performance, transportation planning, and maintaining accountability over funds.”

The Consolidated Appropriations Act Conference Report for FY 2003 identified a need for “FHWA to develop a strategy for achieving a more multidisciplinary approach towards its oversight activities, to include: identification of staff with private sector management skills, such as financing and cost estimation; streamlining and delegation of project-level approvals to facilitate greater emphasis upon oversight of higher-level management and financial issues; and implementation of a planned data collection system for trend analysis.”

It is clear that the role of FHWA is changing. It is evolving from an “engineering” agency to one of stewardship. This transition will require the development and acquisition of new management skills in the areas of Financing, Funds Accountability, Controlling Project Level Costs, Schedule Performance, Process Management and Transportation Planning.

Information is critical to the operations and mission of DOT and all our functional areas are dependent upon the use of information technology (IT). The FAA alone has over 800 individual information technology systems, on which it spends over \$2.1 billion annually, around 15 percent of the total agency budget.

The increased number and sophistication of cyber attacks against government information technology systems, the rate of speed of spread of viral attacks, and the interconnectedness of transportation systems with modernization are increasing sources of threat to transportation security and safety. Across federal agencies, IT systems security is of paramount concern. Information security has been on the U.S. General Accounting Office high-risk list since 1996. The DOT Inspector General points out that security breaches against DOT IT systems supporting air traffic control and other transportation improvements could have far reaching effects on the Nation’s transportation system and economy. The Department’s annual IT investment is \$2.7 billion.

DOT is also challenged to improve budgetary and management oversight of information technology expenditures. There is increased scrutiny from the Office of Management and Budget (OMB) and the U.S. General Accounting Office (GAO) of agency and Federal government-wide IT investments. OMB has stressed more enterprise-wide systems and the use of best practices in IT investment, procurement, and security. Further, recent DOT Inspector General reports continue to point to the need to manage IT investments more closely against cost and schedule baselines.

The agency depends upon the Chief Information Officer (CIO) to lead and advise in this area. This requires an IT workforce of technically competent people with **expertise in acquisition, budgeting, investment best practices, and IT program management and the ability to work across the agency to link IT with business needs**. These business skills as well as capabilities in **economics and financial analysis and process engineering** can improve the overall quality of IT programs and projects while reducing costs and time to develop and implement the new systems. It is important that Program Managers have the necessary competencies to manage key programs. This has human capital implications, as business skills have not traditionally been as important in hiring and promotion decisions in IT organizations.

Another key business challenge is the mandate for E-Government (e-Gov) and growth of the web. This has spawned an increase in agency sponsored web sites and fueled citizen's expectations for quality services and information. E-Gov is one of the five main goals of the President's Management Agenda and mandates the use of "best IT management practices." As part of this goal, DOT will ensure that data and information that are used to conduct critical agency business or disseminated outside the agency are timely, accurate, accessible, understandable, and secure. There is the need to improve agency capabilities in web-based e-commerce and applications to achieve the President's Management Agenda goal to improve communication with agency constituencies. This will be accomplished through continued improvement of service delivery capabilities and development of project portfolios aimed at the key customer groups of citizens, businesses, other government agencies, and employees, as well as projects dedicated to improving internal efficiency and effectiveness. This has human capital implications as **web deployment and operational skills** are needed to support development and maintenance of the Enterprise Architecture and for operation and maintenance of the DOT Web and network infrastructure.

IX. E-GOVERNMENT/TECHNOLOGY CONSIDERATIONS

The E-Government (e-Gov) initiative, Clinger-Cohen Act and the e-Gov Act of 2002 are significant steps forward in the way that Federal agencies should consider using information technology to transform agency business into a more citizen-oriented and user-friendly process. According to the Clinger-Cohen Act, successful and effective Federal information technology workers must be grounded in the technology business and possess special skills in competency areas such as: policy and organizational; leadership/managerial; process/change management; information resources strategy and planning; IT performance assessment: models and methods; project/program management (certification); capital planning and investment assessment; acquisition; technical; and desk top technology tools.

Furthermore, DOT is committed to integrating the principles of the President's Management Agenda with the Government-wide e-Gov initiative. This integration is evident in our Federal Pay and Personnel System migration initiative, Quick-Hire Recruiting Tool, and the implementation of a Learning Management System.

Some other examples of how the uses of information technology and e-Gov have improved upon DOT's work processes are cited in the following:

- Expansion of our bandwidth to a VPN (virtual private network) has allowed remote users (such as FRA Inspectors who telecommute) to connect at higher speeds. This also guaranteed integrity of the data due to the transfer method used.
- Deployment of more technologically advanced intrusion detection systems provided improved security and anti-SPAM mechanisms.
- Implementation of an in-house email system provided better service to users. This also reduced the length of route that the email had to travel, thereby increasing access speed.
- Established an IT Helpdesk "Support Magic" automated ticket management system which provided improved customer response via auto "reply to" requests, and ability to view the current status online.
- Made advances in the user of Digital Track Notebooks/Personal Digital Assistants (PDAs) for use by FRA's Track Inspectors to: take field notes electronically and transfer those notes to their Personal Computers for input to the RISPC program; download defect data collected under the ATIP program, which was tagged with longitude and latitude, and use the devices to help locate the defects during follow-up inspections; and quickly access an electronic version of the FRA Track Safety Standards in the field. Based upon "lessons learned" from the Track Inspectors' use of the Digital Track Notebooks, a prototype unit was developed that incorporates wireless data communications, direct printing (without a PC) and an improved GPS capability.
- Developed a new Track Data Management System within the Automated Track Inspection program that can manage and store all essential track inspection information. Centralizing data management systems allows quick access to all track information.
- Developed a spreadsheet for monitoring all reportable and non-reportable track-related derailments by specific location and cause. By monitoring this information, FRA's Region 7 has effectively focused inspections on problem areas. More efficient use of inspection resources has led to a decline in track-related derailments.

DOT works closely with the State Departments of Transportation on each and every e-Gov scorecard item: enterprise architecture; information technology capital planning; section 508; information technology security; program management; and the twenty-four government-wide initiatives. We continuously capitalize on information technology to streamline internal processes and to increase public access to programs and information.

For example, the Federal Motor Carrier Safety Administration (FMCSA) has devised ways to provide information to the public and services to its constituents (e.g. trucking industry) via electronic media. Web sites provide information about the agency, its Field Offices and their locations, safety regulations and interpretations, statistics and analysis regarding the bus and truck industry, and research on truck and bus safety.

To further illustrate the ways that FMCSA applies e-Gov,

- Consumer information about household goods transportation is available over the Internet, and consumers can also register complaints online or by calling a toll free hotline.
- Citizens can report motor carrier safety violations over the Internet or through a hotline.
- Motor carrier operators can use a one-stop approach to obtain DOT registration numbers, update registration information, or engage in other compliance activities
- E-grants and e-rulemaking are also part of FMCSA's "e-Gov inventory."

As the St. Lawrence Seaway Development Corporation (SLSDC) integrates many of the Administration's E-Government initiatives and other technology-related programs, many of the SLSDC's current initiatives and day-to-day activities may no longer apply. In addition, many of the skill sets required for positions will change. For example, over the past few years the SLSDC has implemented new technologies into its vessel traffic control (VTC) operations. The advent of an automated Traffic Management System (TMS) and the vessel Automated Identification System (AIS) has greatly improved the efficiency and reliability of VTC; however, it has also required SLSDC VTC personnel to have a strong IT knowledge set that was not required in the past.

In addition, the international web site developed jointly by the SLSDC and the Canadian St. Lawrence Seaway Management Corporation (SLSMC) has helped to reduce the amount of paperwork that is processed to Seaway customers and other stakeholders by the two Seaway entities. For example, the SLSDC and SLSMC are printing smaller quantities of publications since they are now available on-line. In addition, the e-mail broadcast service available on the site reduces the number of copies and mailings that each agency makes to its customers during the announcement of an operational notice or regulation update. The free e-mail service automatically sends a message to registered Seaway customers and includes a hyperlink to the new or updated information on the site. This new service provides cost savings in terms of copies, mailing, time, and labor.

It is important to note that the utilization of these new technologies will change the landscape of DOT's workforce in the future. Not only will new employees be required to have a stronger IT skill set than in previous years, but the agency will also try to streamline functions and processes that are no longer required due, in large part, to technological advances.

X. RESTRUCTURING ACTIVITIES

Current and Ongoing

Federal Aviation Administration's (FAA) Air Traffic Organization (ATO)

FAA is in the early stages of a major organizational realignment. The creation of the Air Traffic Organization (ATO) within FAA is the culmination of a decades-long attempt by previous administrations, the Congress, and the FAA to improve the delivery of air traffic services by adopting best business-like practices. The ATO will consolidate all the functions presently performed by FAA's Air Traffic Services, Research and Acquisition, and Free Flight organizations that directly provide and support day-to-day operational air traffic services. An ATO organizational chart is provided in Appendix E.

Specifically, the ATO:

- Establishes clearly defined service units;
- Aligns planning, investment analysis, design, development, acquisition, and implementation requirements within each service unit;
- Integrates previously fragmented processes and eliminates redundancies;
- Creates a leaner, more manageable leadership team;
- Specifies performance goals that are clear and understandable to all;
- Holds managers and employees accountable for results; and
- Promotes continuity of leadership (Chief Operating Officer is appointed for a 5-year term);
- Balances goals among stakeholders (customers, owners, and employees).

The ATO will be implemented in three phases. As of November 18, 2003, FAA announced the top tiers of the organization and outlined the tasks and schedule within each phase.

The ATO will consist of approximately 38,000 FAA employees – about 79 percent of FAA's employee population. Specific human capital implications are not known at this time. For example, it is too early to know if the ATO implementation will result in a streamlined workforce. It is evident, though, that ATO implementation will:

- Require a crossover of employees and reassignments, potentially resulting in additional training requirements;
- Result in new performance expectations and accountability standards for employees; and
- Require sustained management attention to organizational culture, performance management, and compensation to successfully make the transition from traditional federal bureaucracy to a customer-focused and performance-based organization.

Federal Highway Administration

In 1998-1999, the Federal Highway Administration (FHWA) undertook a major restructuring of its organization. Resource Centers were established with a mission of providing expert technical and program support and leadership in deploying technology. In the last 3 years, much energy has gone into reorganizing, staffing, and realigning the focus of FHWA to meet customer needs. They found that the Resource Centers needed further adjustments to more efficiently meet those needs so further refinement was initiated.

Currently, the four Resource Center offices are now functioning as a single Resource Center. The Resource Center has enhanced capability to provide training and technical assistance across national and geographic boundaries. With this new structure, the FHWA is better able to embrace new ways of thinking and become more specialized to support program delivery and technology deployment. In each location, the Resource Center has a core staff, which includes Administration, Civil Rights, Information and Analysis, Marketing, Media, Quality and Strategic Planning, and Technology Deployment that supports the efforts of each Technical Service Team as well as the overall efforts of the Resource Center. Under the new structure, the FHWA Resource Center has 10 specialized technical service teams. Each team has a national Team Leader to quickly coordinate responses to customer calls and requests. The FHWA Resource Center locations remain the same, with offices in Atlanta, Baltimore, Olympia Fields (Chicago), and San Francisco.

The new structure enhances unified and coordinated coverage and assistance. This structure allows the team members to align goals and activities on a national scope, continue to provide geographical service to customers, and draw upon the national team for best practices and additional expertise. These changes enable the Resource Center to serve our Agency, our partners and our customers in the best and most effective way.

National Highway Traffic Safety Administration

Improving the National Highway Traffic Safety Administration's (NHTSA) commitment to the safety of the American public has been of paramount importance to the current agency management, and a major restructuring of the agency's organization was accomplished in late 2002, one that greatly increases the effectiveness of customer service and which, for the first time ever, combines like elements into a single program location, whereas they have historically been located in separate units, with all the attendant problems and concerns. Two particular parts of this reorganization are of note here: NHTSA's communication, marketing, public information, and outreach programs reside in one unit, whereas they were previously scattered among three areas; and the current Traffic Injury Controls and Injury Control Operations and Resources major program areas are, in large part, combined into a single major service, reporting via a Senior Associate Administrator to the NHTSA Administrator. Under the reorganization, this Senior Associate Administrator position became one of three such critically

important senior management positions. The reorganization did not require any additional Senior Executive Service (SES) allocations, but rather was managed entirely within the current ceiling.

Proposed Reorganization Activities

Federal Transit Administration

Federal Transit Administration (FTA) proposes to restructure its planning and project management activities to more appropriately reflect FTA outputs and services from a customer perspective (i.e., major capital investment grant, formula grant, etc.). Major capital projects (“New Starts”), which require years of planning, project development, construction, technical assistance, and oversight, will be managed in a single organizational unit at headquarters called the Office of New Starts Project Planning and Management. A new Transit Program Planning and Management Office will provide similar “cradle to grave” service for all formula and smaller discretionary grants, including metropolitan and State-wide planning, technical assistance, grants management and processing, program guidance, and oversight and other technical reviews.

The research program will also undergo a major restructuring in order to create a mechanism for focusing on priority outcomes, more effectively deploying research results, and upgrading its research-related skill sets. Currently, the office is organized around, and the staff has developed, issue-specific expertise (i.e., fuel cell technology). Yet, little or no physical research is actually conducted by staff; research is contracted out. The restructured organization will reflect a comprehensive product lifecycle approach to managing FTA’s research program. Program managers will focus on (1) problem identification through program evaluation and data analysis, (2) research contract management, and (3) implementation/deployment of research results. The skills necessary to carry out these new functions include data analysis, analytical thinking, communication, problem solving, and project and contract management skills. The new approach does not require transit technology expertise.

The President has directed Federal agencies to directly link outcomes, performance management and budget. FTA’s will expand its Office of Budget and Policy to incorporate data collection, analysis, performance management, and program evaluation functions now housed in the Office of Program Management. These functions will be integrated with the budget, policy and strategic planning functions that currently reside in separate units within Budget and Policy. By consolidating all of these functions into three new units that report to a single director, FTA will be better able to more effectively integrate its performance objectives, outcomes, and budget decisions. Further, the restructuring provides an opportunity to bring in new, up-to-date analytical, data analysis, program evaluation, and strategic planning skills to the organization.

FTA will also establish new processes and improve existing processes. This will help improve organizational effectiveness and efficiency and will bring into better balance

FTA's workload and workforce. This will increase the productivity of the current workforce, thus enabling staff to handle more of the anticipated workload. FTA will:

- through the creation and use of an Operations Management Council (OMC), empower the FTA leadership to review and prioritize requests for use of FTA resources. The OMC will essentially operate as FTA's "corporate board of directors."
- develop a work status tracking and correspondence control system and continue development of an automated tool to improve management of the flow of FTA staff actions.
- identify and reduce any workload considered to be low in value, redundant, unnecessary, or done solely to satisfy an FTA requirement.
- require process owners to embark on process improvement aimed at simplifying and reducing workload without reduction in process effectiveness, and identify resources needed to increase effectiveness and efficiency.
- adopt a matrix management approach to the delivery of support services in areas such as acquisition management and other services after discussion with customer representatives at the EMT.

Research and Special Programs Administration/ Federal Railroad Administration/Office of the Secretary

In order to help DOT generate greater operational efficiency and to increase the effectiveness of our budgetary, human capital, and managerial resources, senior leadership has identified and notified OMB of two primary areas that should be considered as a restructuring opportunity.

First, we need to create a more focused research organization within the Department that emphasizes and promotes innovative technology.

Second, we need to perform a systematic review of our maritime assets within the Department that will result in a more focused maritime policy.

This proposal is intended to be budget neutral; we will not be adding or subtracting jobs or money in any of the affected areas. We are in the initial phases of rolling out this proposal - some will require legislation, and some we can do administratively. This is just the beginning of a process that still requires many details to be worked out. We will be collecting data from our employees and input from our external stakeholders, both on the Hill and in industry. We also plan to establish a reorganization working group that will consist of members of each of the affected operating areas of the Department. This group's specific task will be to identify and work through the many details associated with reorganization such as this. The working group will be an available and appropriate forum to raise any concerns or additional thoughts that may arise as we proceed down this path.

The specifics of this reorganization are described below:

Research and Special Programs Administration to Research and Innovative Technology Administration

The Research and Special Programs Administration (RSPA) currently houses several functions that relate to operations, and bear little relation to the basic research functions of that Administration. Similarly, several of the important research and analytical capabilities that could better support RSPA's research programs are fragmented in other parts of the Department. What we intend to do is to transform the existing RSPA into a new organization within the Department, to be designated as the **Research and Innovative Technology Administration (RITA)**.

The focus of this new approach will be to promote research driving innovative technology. We envision this new organization to be part "Silicon Valley entrepreneurial company" and part "university research lab." We want to do more than just change the name of RSPA to RITA; it should be a mission change for this Administration.

This new Administration would be responsible for the research and development functions currently performed by RSPA. In addition, it would integrate into its operations the Intelligent Transportation Systems Joint Program Office, currently located within the Federal Highway Administration and all of the functions, statistical and research, currently assigned by statute to the Bureau of Transportation Statistics.

Finally, it would serve a strong coordination and review function for all of the Department's research facilities and provide the Secretary with a regular review and analysis of the Department's research and development progress and products.

Transfer of Operational Aspects from RSPA

Office of Emergency Transportation

The operation of RSPA's Crisis Management Center and Office of Emergency Transportation would be moved from RSPA to the Office of Intelligence and Security (OIS). With the creation of DHS, and the subsequent transfer of the Coast Guard and TSA from DOT -- including the transfer of the security and intelligence functions within those agencies - OIS has evolved into the Department's primary resource to provide and perform those functions. By transferring the operation of the CMC and the Office of Emergency Transportation to OIS, DOT will consolidate all of the appropriate resources in a single, more robust office dedicated to meet all of DOT's security, intelligence and emergency response needs.

Office of Pipeline Safety

Regulating the safety of pipelines would become the responsibility of the Federal Railroad Administration (FRA), which would be renamed the Federal Railroad and Pipeline Administration (FRPA). There are three main reasons for this new alignment: First, rail and pipelines are fixed transportation structures, and in some cases, they share the same rights of way. Second, the pipeline system looks and operates more like the rail system than any other mode of transportation. Finally, FRA and the Office of Pipeline

Safety focus on safety regulation, enforcement and penalty collection issues. The ability of the Office of Pipeline Safety to perform those functions will be improved by placing its program within an Administration with long experience in those areas.

Office of Hazardous Materials (HazMat)

The intermodal regulation of transportation of hazardous materials would be moved from RSPA to the Office of the Secretary as part of the Office of the Assistant Secretary for Transportation Policy. The Office of Hazardous Materials serves as the HazMat standard setting agency for all OAs within DOT. The intermodal mission of the HazMat office will be emphasized and its authority will be upgraded by moving it to this new location DOT, enabling it to serve as the intermodal HazMat policy and regulation development umbrella for which it was intended.

Maritime Interests

Prior to the Coast Guard's departure from DOT, the three individual Maritime agencies served unique, yet complementary purposes. The transfer of the Coast Guard to the Department of Homeland Security requires that we begin a new, systematic review of our Department's maritime assets. We must strengthen our Department's maritime interests and produce a more focused Departmental maritime policy. We will be looking at what MARAD and St. Lawrence Seaway Corporation can do to upgrade our international maritime role as well as strengthen our role in improving maritime infrastructure, particularly our ports and waterways systems.

XI. COMPETITIVE SOURCING AS A HUMAN CAPITAL STRATEGY

DOT is committed to the principles of the President's Management Agenda (PMA) Government-wide Competitive Sourcing initiative by achieving efficiencies and effectiveness through conducting public/private competition ensuring the U.S. taxpayers receive the best value for the services that the DOT provides to them. DOT plans to take a global, disciplined, and strategic approach to the implementation of the competitive sourcing initiative as it relates to the other PMA initiatives and mission requirements of the Department. To do this, we established an open communication link between our OA Human Capital Planners and their respective competitive sourcing program managers to evaluate how each OA can most effectively implement this initiative, while continuing good stewardship of OA programs; in serving its customers, clients, and partners; and, by working towards its strategic business goals.

All competitive sourcing decisions are initiated from the Department's annual Federal Activities Inventory Reform (FAIR) Act Inventory. This annual inventory process involves the grouping of functions into full-year manpower requirements and then identifying associate activities as either commercial or inherently governmental in nature. The commercially identified activities are further distinguished by a reason code that will identify which functions and associate activities will be subject to competition

consideration. Officials from both the DOT Headquarters and field organizations actively participate in the collection of the FAIR Act Inventory and assess the immediate and long-term impact on DOT's Federal workforce. Employees who may be directly or indirectly affected are advised of their right to challenge the inclusion and categorization of their work activities in the public annual release of the FAIR Act Inventory.

The Department recognizes that the goal of competitive sourcing is not to reduce the size of our workforce. Rather, it is about accurately identifying aspects of our work activities that are commercial in nature and available for public/private competition considerations; determining where the Department should consider using competitive sourcing as a strategy to achieve greater effectiveness and efficiencies; determine if there are any shortfalls in present Human Capital capacity that is best overcome through outsourcing considerations; and, when a determination is made to conduct a public/private competition to develop the Government's most efficient and effective cost and operational proposal for accomplishing the required commercial activities. DOT closely adheres to established guidelines for conducting competitive sourcing competitions as provided in the revised Office of Management and Budget (OMB) Circular A-76 (Performance of Commercial Activities). Each OA has established Competitive Sourcing Teams to develop recommendations for senior leadership concerning the best practices and best strategies for conducting their public-private competitions that are scheduled to begin in FY 2004 and 2005. These teams include representatives from a broad range of Headquarters and field organizations to help ensure a nation-wide perspective.

While no decisions on the functional areas that will be subject to initial competition have yet been finalized, preliminary planning is well underway. DOT is integrating competitive sourcing with human capital planning as a tool for closing future competency gaps identified through a workforce analysis process. The CY 2003 FAIR Act Inventory is considered the base-year for future Inventories and for near-term decisions for competitions under OMB Circular A-76. The CY 2003 inventory expanded the list of commercial functions from the previous year's inventory submission. Competitive sourcing decisions in the near-term will have a measureable impact on DOT's mission related occupations, technical disciplines, and emerging skills considered in this plan.

Continuing involvement and dialogue at all organizational levels are absolutely essential to the success of these important initiatives. Every effort is being made to establish and maintain open and personal communications on key competitive sourcing issues and to minimize any chance for an unintended adverse impact on DOT employees. DOT is committed to meeting the competitive sourcing goals of the Administration, while ensuring our mission capabilities through a capable, motivated, and well-trained professional workforce.

XII. Budget Formation and Coordination.

While DOT believes that the human capital strategies included in this workforce plan are critical, budget and time limitations are still significant factors in the implementation of these strategies, which, while critical, can be costly. DOT is committed to the human capital strategies outlined, however, these efforts will be balanced with our mission priorities and our ability to sustain meaningful programs.

The strategies require significant human and budgetary resources. While most of the OAs have budgeted for some of these initiatives, many of the FY2005 and FY2006 costs have not been budgeted for at this time. In the future, through this planning process, we will be able to better align our human capital requirements with the strategic and budget planning processes and better justify our resource requirements.

Our OAs realized that costs associated with early retirements and buy-outs can be substantial. In addition to the buy-out payments of up to \$25,000 per employee, there is an additional cash outlay required to pay departing employees for their accumulated annual leave. OAs may be better able to afford early retirement and buy-outs by:

- Strategically identifying the positions to be offered early retirements and buyouts,
- Converting many vacancies to lower grades (i.e., converting a vacant GS-14 position to a GS-7 entry level position), and
- Completing the early retirements and buy-outs in the first quarter of the fiscal year.

Savings from converting vacancies to lower grades will free up enough funding to cover the costs of targeted student loan repayment and occasional recruitment and retention incentives.

Implementation of other workforce planning strategies such as workforce planning automation tools, paying for advertisements in newspapers, and training and travel to attend college career fairs will require funding from the administrative budget.

XIII. STRATEGIES TO RESOLVE GAPS

The OAs identified human capital strategies to meet their respective human capital challenges outlined in their workforce plans. Each OA has planned for and prioritized the specific actions required within each of their human capital strategies. Their approach to prioritization focused on identifying and committing to those actions and initiatives with the lowest cost and the highest impact on their human capital. The specific actions, resource requirements, timeframes, and responsibilities for each of these strategies can be found in their respective workforce planning/human capital action plans.

The strategies outlined below are broad in nature and are intended to be expanded upon in a revised DOT Human Capital Plan.

A. Recruiting for Talent

The single most important requirement for addressing future challenges is recruiting a highly talented and diverse workforce from internal and external sources. All OAs have developed agency specific recruitment plans for attracting, hiring, and keeping talent throughout all levels of their workforce.

The fundamental premise of DOT's recruitment strategy is that simply selecting a candidate to fill a "job" is not enough. We need to hire diverse people at a variety of levels with specific competencies, experience, and characteristics needed by the organization. This is a more targeted, strategic recruiting approach, and it allows us to not only increase our numbers of targeted groups (e.g., women, minorities, persons with disabilities), but to add much needed competencies and experience to the organization.

OAs recruitment plans and initial progress reports indicate some improvement in the recruitment and hiring of talented and diverse individuals for DOT entry-level positions and mission related occupations. Plans and progress reports also indicate a growing number of positions being filled at the entry level and a more concerted effort to coordinate human capital activities, thus ensuring that only the most cost effective strategies and initiatives are utilized in the recruitment and hiring processes.

During the fourth quarter of FY 2003, DOT launched QuickHire, which is a web-based recruitment system. This system allows applicants to respond to a predetermined list of questions. These questions are weighted, based on importance, and reviewed by human resource professionals to determine qualifications, rating/ranking, and the issuance of eligible certificates.

DOT's new careers website, *Careers in Motion*, will serve as the Department's primary marketing vehicle. While DOT did not receive any FY 2004 funds for corporate recruitment activities, the Department has decided to adapt and carry forward the website design and content into hard copy materials. DOT will produce marketing materials in-house, utilizing existing software and resources.

In addition to using OPM's online recruitment site, USA Jobs, DOT will use existing personnel flexibilities to recruit entry-level employees by disseminating vacancy announcements to professional associations, universities, and other Federal agencies. In addition, DOT will continue to provide vacancy announcements to a standing list of organizations that serve under-represented groups, including people with disabilities, Asian Pacific Islanders, and Hispanics. For our cross-cutting occupations, DOT will place paid advertisements in newspapers and trade journals.

We aim to be the employer of choice by attracting individuals seeking careers in transportation safety or in the planning, designing, engineering, managing and financing of transportation infrastructure in all modes of transportation. We will emphasize job opportunities, internships, training and rotational assignments in safety and mobility core competencies.

We expect to build our expertise in support of our global connectivity objective by investing in the capabilities of DOT's international program staff, recruiting a multilingual transportation workforce, and developing core competencies in subjects related to international transportation. We will need to recruit a greater percentage of new hires at entry level grades to learn and prepare to backfill the middle of our workforce in approximately FY 2006 and beyond.

The implementation of OA recruiting and diversity management plans will help DOT sustain a workforce that represents the face of America in all mission-related occupations and at all grade levels. Special attention should be given to recruiting persons with disabilities since the attrition predictions for this targeted group are higher. As stated earlier, their current percentage of the workforce at 4.9 percent is already considerably below the Federal Civilian Workforce (FCW) at 7.1 percent and below the National Civilian Labor Force (NCLF) at 11.4 percent, but are also predicted to have higher attrition rates over the next five years than the rest of DOT.

Emphasis will be placed on customer service, accuracy, and speed in all recruiting actions. Metrics will be used for OA Offices of Human Resources to measure level of customer satisfaction, quality, and timeliness of recruiting actions. Since our workforce analysis indicates that retirements in the engineering family were 16.7 percent minority, we need to provide opportunities to recruit a more diverse group from recent college graduates to fill training positions.

We will partner with our University Transportation Centers and other academic institutions to recruit individuals with education and experience related to our emerging skill requirements and to the nexus of transportation, energy and the environment such as urban and regional planning, economic development, environmental sciences and environmental law.

One of the most powerful recruiting tools for entry-level positions is the targeted use of student loan repayment programs. Many college students today have a substantial amount of student loans by the time they graduate. Repayments of up to \$6,000 per year will be available to qualified employees. Loan repayment will be an attractive incentive in recruiting prospective employees. Employees who receive student loan repayment assistance must sign a three-year continuing service agreement with the agency.

Subject to availability of funding, DOT will schedule attendance at college career fairs. To the maximum extent possible, newer employees will be encouraged to be trained to be DOT representatives. For example, an entry-level engineer hired this year would be the ideal person to represent DOT at his or her alma mater's career fair next year.

DOT will continue to participate in the President's Management Fellows (PMFs) Program. Since FY 2000, 37 PMFs were hired and 28 are currently DOT employees. The PMF hires included 14 females and six minorities.

DOT's OAs will continue to participate in programs designed to bring in summer students, coop students, and student interns, including the Minority Serving Institution Intern program, the Summer Transportation Internship Program for Diverse Groups, the Student Career Experience Program (SCEP) or Co-op program, internships for Transportation and Technology Academy of the DC public schools, the Garrett Morgan Foundation, and summer intern programs, including High School/High Tech for students with disabilities, DOT Summer Hire Program, and DC Federal Jobs Initiatives. Strong efforts will be made to provide more meaningful work experiences for student program participants and interns, in part by offering mentors to interns and students and doing performance plans for interns and for any rotational assignments they undertake.

OAs may also want to continue to use "recruitment bonuses (e.g., \$2,500 for GS-5; \$3,000 for GS-7; and \$3,500 for GS-9) and advance-hiring rates as needed

B. Learning and Development

Our workforce planning efforts have identified specific mission-related occupations and competencies that require attention over the next few years. This information is shared with various Departmental councils (e.g., Administrative Management Council; Human Resource Management Council; Human Capital Planning Council, Learning and Development Council) to ensure that learning and development activities are directly related to our human capital strategies. For example, as we solicit nominations for **centralized** developmental programs, we will continue to ask OAs to submit nominations from those occupations/targeted groups that represent areas of greatest need. Furthermore, our revised Human Capital Plan will include additional initiatives (e.g., centralized workshops and formal developmental programs) along with milestones to ensure this linkage.

Our Learning and Development Framework emphasizes the need for managers and supervisors to assess and match organizational needs with individual needs when making decisions about learning and development activities. Employees are informed of their responsibility for cooperating with and assisting their supervisors in making informed decisions and getting the most out of their learning opportunities. The L&D Framework sets the structure for formal developmental programs currently underway in our OAs.

As DOT deploys its Learning Management System (FY2004), OAs will more effectively track training activities and assist DOT in achieving its human capital strategic plan.

In order to support learning and development efforts, OAs should expect to continue to invest in learning at a base rate of 2 to 3 percent of payroll. In the American Society for Training and Development 2003 State of the Industry Report, it was reported that high performing organizations invest at a base rate of 3.6 to 4.1 percent of payroll.

Use competency gap and future turnover data to aid managers and supervisors in assessing the training needs in their own units and develop unit-level training plans, especially in our cross-cutting occupations.

In order to address some critical needs in our Information Technology family, which is one of our most prevalent cross-cutting occupations, it is recommended that OAs involve critical stakeholders, such as top management, business line/program managers, subject matter experts, human capital staff, and end users, in planning IT training. IT trainees should be provided the flexibility to choose among different IT training delivery methods. The benefits and costs associated with various training designs and delivery methods (e.g., Internet-based as opposed to classroom training) should be considered. Collaboration across all DOT OAs is needed to maximize use of shared IT solutions and best practices. Departmental Project Management Guidelines should be developed to help IT project managers meet proposed certification requirements.

DOT needs to establish a strong leadership role for transportation workforce development, training and education as a convener for the transportation industry. DOT also needs to establish partnerships throughout the transportation industry and the education community for transportation workforce development.

Sustain a learning environment that drives continuous improvement in performance through knowledge management, performance feedback, training, coaching and mentoring.

C. Leadership Development

All OAs must foster continuity of leadership and knowledge by applying the DOT Succession Planning Model to their workforce planning efforts. Learning and development opportunities must be continual funded through centralized (Departmental) and OA sponsored activities to ensure that our executives and our leadership pipeline, strengthen their ability to direct and manage the work of others, evaluate and analyze results, and implement process improvement techniques. The Leadership Competency Framework and the Transportation Executive Leadership Institute provide the necessary standards to ensure learning is also aligned with organization goals. Programs such as the “So You Want To Be A Leader” “Leaders For Tomorrow”, Executive Coaching Program, Executive Forum Series, Issues Seminars, Capitol Hill and White House Workshops, Professional Development Programs; Leadership Development Program, and many other OA leadership programs must use the results of the workforce analysis gained from this workforce planning process to identify appropriate attendees.

Once an employee is appointed to a new supervisory position (e.g., employee has never held a supervisory position in the Federal Government), OAs must ensure that:

- A needs assessment that addresses the DOT Leadership Competency Framework is conducted and an Individual Development Plan (IDP) is completed.
- Forty hours of formal development during the one-year probationary period is completed, and

- The OA training office is notified when the employee completes an assigned supervisory learning activity.

As long as the employee encumbers a supervisory position, the organization must:

- Conduct a needs assessment that addresses specific leadership competencies needing development,
- Maintain an IDP that is based on a needs assessment, and
- Notify the OA training office when the employee completes an assigned learning activity.

D. Retaining Talent

DOT must foster a results-oriented workforce through performance management and awards systems that link individual/team/unit performance to organizational goals and results. We can build expertise and improve workforce equity by providing training, guidance, and service on conflict prevention, dispute resolution and anti-discrimination laws to all employees.

OAs must actively develop plans to track and improve retention for those segments of their workforce where attrition is above the normal rate. These plans should reflect a climate assessment that captures employees' perspectives on issues related to organizational culture, such as the availability of work/life programs and efforts to ensure a work environment free of discrimination. The OAs may use approaches such as exit interviews, surveys, grievance/complaint trend analysis, and/or focus groups.

Consideration must be give to retain females and minorities especially in the Transportation Specialist occupations (series 2101). The respective percentages of resignations for females and minorities in Transportation Specialist occupations (series 2101) are significantly higher than their respective onboard percent of the DOT workforce. Over 25 percent of resignations were female compared with the female onboard strength of 12 percent. Similarly, over 37 percent of resignations were minorities as compared with the minority onboard strength of 24.6 percent.

XIV. COMMUNICATION PLAN

The success of this plan and the associated initiatives is directly dependent on the support and ownership of the DOT executives, managers, and employees. It is all about the investments required in our people. Naturally, DOT employees are interested in their future development and growth opportunities and therefore, it is absolutely essential that we effectively communicate this plan with the human capital initiatives to ensure that the workforce fully understands the approach to meeting the challenges of the future.

Managers and executives will play a key role in the communication process. Their support and buy-in is critical to effective communication in the workforce. The core messages that will be integrated throughout our communication activities include:

- This is our vision and you play an important role in getting us there;
- We are focused on reenergizing our organization and bringing in fresh perspectives to take us into the future;
- We are committed to obtaining and investing in a workforce that will help us achieve our goals;
- We are all responsible for our own professional growth and development; and
- Growth and development opportunities are available to you.

During FY 2004, the DOT Human Capital Planning Council will continue to meet and take action to ensure recommended human capital strategies are included in the revised DOT Human Capital Plan. Executive briefings will also be provided for senior leaders and employee groups. All employees will have access to this plan by accessing the DOT Website and the Departmental Human Resources website.