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of Transportation
**Research and
Special Programs
Administration**

2004-2007 Human Capital Plan

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**RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION
HUMAN CAPITAL PLAN**

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RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION (RSPA) HUMAN CAPITAL PLAN

EXECUTIVE SUMMARY

Introduction. In light of the changing workforce and the evolving mission of the Department of Transportation (DOT), the Research and Special Programs Administration (RSPA) has undertaken a human capital planning effort to better assure successful delivery of service to our customers in the future. This plan is prepared in accordance with guidance from the Office of the Secretary of Transportation and supports the Presidential Management Agenda goal of strategic human capital planning.

On December 9, 2003, Secretary Mineta announced a proposed reorganization of RSPA which will include the creation of a new operating administration (OA), the Research and Innovative Technology Administration (RITA). The new organization, which requires legislation to fully implement, will house several Departmental research functions, several components now in RSPA including the Volpe National Transportation Systems Center and the Transportation Safety Institute as well as several other DOT OAs. The Office of Pipeline Safety, the Office of Hazardous Materials Safety and the Office of Emergency Transportation would all move to other operating administrations within DOT. The RSPA Human Capital Plan presented herein will be used as long as RSPA exists, and will guide our actions during the interim period and will be revised as the new organization and the movement of functions are completed.

Purpose. The plan assesses the current composition of the RSPA workforce; determines the critical occupations most likely to face shortages or recruitment challenges; and makes plans to address those gaps while attempting to maintain a workforce that reflects a representative cross-section of the U.S. population. Highlights from the OST outline are included in this executive summary.

Strategic Support. RSPA's programs support all of DOT's strategic goals, with an emphasis on safety and security. Linkages are detailed in the plan.

Critical Success Factors. Having adequate resources to carry out its multiple missions is most critical to RSPA's success. These resources include:

- Highly-trained, competent, dedicated employees, with well-aligned and continuously refreshed skills;
- Engaged leadership committed to getting the most from human capital;
- A strong IT infrastructure to support excellent employee performance.

Cultural Change/Challenges. RSPA must develop a dynamic, forward-thinking, results-oriented performance culture.

Supply and Demand Analysis.

- Seven occupations are in good shape with low retirement eligibility, stable demand, and/or pipelines well calibrated to expected attrition.

- Seven occupations are at risk due to high retirement eligibility, anticipated growth, and/or inadequate pipelines. Attention must be given to the following:
 - Senior Executives
 - Management/Supervision
 - Specific Hazardous Materials (Hazmat) Safety occupations including physical Science, transportation analysis, and information technology (growth anticipated)
 - Specific Pipeline Safety occupations including management/program/ safety analysis, engineering, and information technology (expected growth)

Demographic Analysis.

- Female and Black employees are underrepresented in senior executive, management/supervision, and some technical/science occupations, and are over-represented in program/management/transportation analysis, and in administrative professional and administrative support occupations.
- Hispanic employees are underrepresented in senior executive, management/ supervision occupations, and in both technical and administrative professional occupations except for Physical Science, Information Technology (IT), and Human Resources.
- People with disabilities comprise 5% of the workforce.

Competency Analysis. Competencies needing focused attention include:

- Program/Project Management;
- Information Technology;
- Systems/Strategic Thinking;
- Technical Excellence (continually maintaining leading edge expertise);
- Communications;
- Leadership;
- Supervision.

Competitive Sourcing. RSPA’s Competitive Sourcing Plan is under development. Analyses that will help to form that plan as well as to complete the CY 2004 FAIR Act Inventory, are included in this plan.

Information Technology (IT) Workforce. RSPA’s IT workforce is highly leveraged, and is somewhat younger, further from retirement, and more highly graded than the rest of the RSPA workforce. Programs are in place, or are being developed, to ensure that any gaps in the Clinger-Cohen core IT competencies are addressed.

Plans. Strategies with actions and milestones to address a range of human capital issues are contained in RSPA’s Human Capital Plan. Factors critical to the success of the Human Capital Plan are:

- Management support and commitment, both generally and with regard to specific projects;
- Resources;

- A future-oriented, results-oriented organizational culture.

Communication Plans. After the Human Capital Plan is approved, and after the Competitive Sourcing plan is briefed to all impacted employees and their representatives, the following communications activities will occur:

- Brief senior staff, the Volpe Union and the Employee Quality Council;
- Post the plan on the RSPA intranet;
- Provide regular updates in *RSPA Results*, the RSPA newsletter;
- Develop and implement separate communication strategies for each initiative as appropriate.

RESEARCH AND SPECIAL PROGRAMS ADMINISTRATION HUMAN CAPITAL PLAN

I. Introduction and Reorganization Discussion.

Department of Transportation (DOT) Secretary Norman Y. Mineta's vision is for a safer, simpler, and more secure transportation system that benefits all Americans. To that end, on December 9, 2003, Secretary Mineta formally proposed a reorganization of DOT intended to generate greater operational efficiency, and to increase the effectiveness of DOT's budgetary, human capital and managerial resources. This proposed reorganization will have a significant impact on the Research and Special Programs Administration (RSPA), and thus on this human capital plan. The proposed reorganization would transform the existing RSPA into a new research-focused organization called the Research and Innovative Technology Administration (RITA). This new operating administration would be responsible for the research and development functions currently performed in RSPA, and would integrate into its operations the Intelligent Transportation Joint Program Office currently located within the Federal Highway Administration, as well as all of the functions, both statistical and research, currently assigned by statute to the Bureau of Transportation Statistics. The Volpe National Transportation Systems Center, Transportation Safety Institute, and the Office of Innovation, Education and Research (DIR) would remain in RITA. The proposed new organization would have a strong coordination and review function with all of the Department's research facilities, providing the Secretary with review and analysis of DOT's research and development progress and products. Under the proposed reorganization, the operational functions currently housed in RSPA would move into existing operating administrations that have similar missions and functions. The Office of Emergency Transportation (OET), along with the Crisis Management Center, would move into the Office of Intelligence and Security in the Office of the Secretary. The Office of Pipeline Safety (OPS) would move into the Federal Railroad Administration (FRA) which would be renamed the Federal Railroad and Pipeline Administration. The Office of Hazardous Materials Safety (OHMS) would move to the Office of the Secretary (OST) as part of the Office of the Assistant Secretary for Transportation Policy. This reorganization proposal is intended to be budget neutral; therefore, the analyses contained in this document are valid, although in the future they will likely be packaged differently.

As this reorganization moves forward, RSPA and its follow-on organizations will continue to perform their missions and functions facilitating the DOT's strategic objectives of Safety, Mobility, Global Connectivity, Environmental Stewardship, Security, and Organizational Excellence. At present, RSPA supports all of these objectives through its mission and programs as outlined below.

RSPA's employees, supported by their contractors and by their state and local Government and university and industry partners, are the key to RSPA's success in meeting these objectives. Thus, via this Human Capital Plan, RSPA illustrates its full

support of the President's Strategic Management of Human Capital initiative. Putting resources behind that support, RSPA created a Human Capital Steering Group comprised of representatives from all parts of the organization to develop this plan and to shepherd it through implementation. The plan assesses the current composition of the RSPA workforce; determines the critical occupations most likely to face shortages or recruitment challenges; makes plans to address those gaps while attempting to maintain a workforce that reflects a representative cross-section of the U.S. civilian labor force.

This plan deals with RSPA as the organization exists now, and will be updated when RITA is formed. Information and analyses about OET, OHMS and OPS will be shared with their new organizations for future workforce plans.

II. Organizational Mission.

At present, RSPA is the Department's hazardous materials and pipeline safety, transportation research, and transportation systems and services administration and is responsible for addressing transmodal issues relative to the safe, secure, effective, and efficient transportation of people and goods throughout the world. In contrast to the other DOT operating administrations that focus on specific sectors of the US transportation system, RSPA's mission looks at the system as a whole.

RSPA's mission is to make America's transportation systems more integrated, effective, and secure by conducting and fostering cross-cutting research and special programs to enhance the quality of life, safety, the environment, and the economic well-being of all Americans.

The objectives of RSPA are to:

- Protect the nation from the risks inherent in the transportation of hazardous materials by all modes, including pipelines.
- Serve as the principal advisor to the Secretary in planning and implementing the civil sector response to emergencies impacting the nation's transportation systems.
- Provide expertise in transportation and logistics research, analysis, strategic planning, systems engineering, and training.
- Serve as the principal advisor to the Secretary with respect to multimodal scientific and technical matters.
- Support the Secretary in promoting utilization of new approaches and technologies with intermodal or multimodal impacts.

RSPA comprises six distinct operational components: the Office of Pipeline Safety; the Office of Hazardous Materials Safety; the Office of Emergency Transportation; the Office of Innovation, Research, and Education; the Transportation Safety Institute; and the Volpe National Transportation Systems Center (Volpe Center). These programs collectively advance all of the DOT's strategic objectives. Together they deliver innovative, collaborative, and vital services for the communities and businesses that rely on America's multi-modal transportation system.

The Office of Pipeline Safety (OPS) protects people, communities, and the environment by ensuring the safe operation of more than 2.3 million miles of pipelines that transport natural gas, gasoline, and other hazardous liquids to 60 million customers. Sixty-three percent of all energy consumed in the U.S. goes through a pipeline at some point. The program is funded through user fees from the pipeline industry and funding from the Oil Pollution Act trust fund. OPS advances the DOT strategic goals of safety, security, mobility, and environmental stewardship.

The Office of Hazardous Materials Safety (OHMS) protects people, communities, and the environment from the risks inherent in the transport of more than 800,000 shipments of hazardous materials each day. The program is funded by general revenues except for an emergency preparedness grant program, which is funded by user fees in the form of registration fees. OHMS advances the DOT strategic goals of safety, security, global connectivity, and environmental stewardship.

The Office of Emergency Transportation (OET) protects the integrity and continuity of the Nation's civil transportation by minimizing its vulnerability, and maximizing its preparedness for response to civil or natural emergencies such as earthquakes, terrorism, or war. It is funded from general revenues. OET advances the DOT strategic goals of mobility and security.

The Office of Innovation, Research, and Education (DIR) looks to the future of the nation's transportation system by facilitating the multi-modal transportation research, engineering, and education initiatives that enable innovation in America's transportation systems. It is funded by a combination of general revenues and reimbursable funding from the Highway Trust Fund. DIR advances the DOT strategic goals of safety, mobility, environmental stewardship, security, and organizational excellence.

The Transportation Safety Institute (TSI) delivers safety and security training to 58,000 Federal, state, local, and private industry citizens each year, directly enhancing the nation's security and reducing transportation's inherent risks to people, property, and the environment. It is a fee-for-service organization. TSI advances the DOT strategic goals of safety, mobility, environmental stewardship, and security.

The Volpe National Transportation Systems Center (Volpe Center), an internationally recognized center of transportation and logistics expertise, provides research, development, demonstration, and deployment services on transportation systems and policy issues for all DOT operating administrations (OAs), as well as other Federal, state, and local government agencies that have transportation missions and require transportation expertise. It is entirely a fee-for-service organization. The Volpe Center advances the DOT strategic goals of safety, mobility, global connectivity, environmental stewardship, security, and organizational excellence.

Attachment 1 illustrates the links between RSPA's major organizational missions, strategies, objectives, and the FY 2005 Budget Request that this Workforce Plan supports.

Please note that throughout this document, when the organization is discussed, the following definitions apply:

- RSPA: Includes the employees and/or contractors and/or programs pertaining to the Research and Special Programs Administration in its entirety.
- RSPA HQ: Includes the employees and/or contractors and/or programs pertaining to RSPA Headquarters activities *and* the regional functions of those Headquarters activities located in Washington, DC, or in various locations throughout the United States.
- TSI: Includes the employees and/or contractors and/or programs pertaining to RSPA's Transportation Safety Institute located in Oklahoma.
- Volpe Center: Includes the employees and/or contractors and/or programs pertaining to RSPA's Volpe National Transportation Systems Center located in Massachusetts.

III. Critical Factors For RSPA Program Success.

Having adequate resources to carry out its missions is the number one factor critical to RSPA program success. RSPA needs the resources to recruit, hire, develop, and retain, or where appropriate, to contract for, the following:

- A highly trained, competent, expert, diverse, and dedicated workforce that is well aligned with evolving work requirements.
- Engaged, dedicated senior leadership.
- 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.

In order to achieve its mission, RSPA must provide high quality, employee-friendly human capital programs and workplace. Such a workplace should feature:

- Robust training and developmental programs,
- Robust awards and recognition programs,
- Increased emphasis on internal management,
- Decision-making moved to lowest level, and
- Flexibility in work hours, work place, and work processes.

Additionally, RSPA must foster a dynamic, forward-thinking, performance-oriented organizational culture. RSPA management 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,
- Move RSPA to the leading edge of project/program management,
- Increase organizational focus on performance metrics and measures, and
- Improve internal communications organization-wide, office-wide, and between supervisors and employees.

IV. Staffing Data Analysis for Mission Critical Occupations

The RSPA Human Capital Steering Group (HCSG) validated and approved the following list of Mission Critical Occupations for use in the FY 2004 human capital planning analysis.

Mission Critical Occupations

Economist, GS-0110
 Engineering Psychologist, GS-0180
 Pipeline, Hazmat, Transit, Environmental Safety Specialist and Management and Program Analysts, GS-300
 Engineer, GS-0800
 Attorney-Advisor, GS-0905
 Training & Information Specialist, GS-1001
 University Programs Specialist, GS-1101
 Physical Scientist/Chemist, GS-1300
 Operations Research Analyst, GS-1515
 Air Safety Investigator, GS-1815
 Transportation Specialist (Pipeline Safety Programs, GS-2101
 Transportation Specialist (Hazmat Regs, Enforcement, Standards, Safety), GS-2101
 Emergency Transportation Specialists, GS-2101
 Transportation Industry Analyst, GS-2110
 Information Technology Specialist, GS-2210
 Senior Executives
 Managers/Supervisors

Mission Critical Support Occupations

Acquisition Professionals, GS-1100
 Human Resources Professionals, GS-200

Financial Professionals, GS-500

In conducting various analyses, counts include only encumbered positions. Senior executives, managers and supervisors were not double-counted (i.e., they are counted only in the Senior Executive or Management/Supervision occupation and not in a functional specialty as well.)

A. Supply and Demand Analysis Findings.

1. The occupations below are in good shape, with low retirement eligibility, stable demand, and/or a solid staffing pipeline well calibrated to anticipated attrition:
 - Economics
 - Engineering Psychology
 - Law
 - Miscellaneous Professions such as Air Safety Investigators, University Program Specialists, Community Planners, and Geographers
 - Support Professions: Budget and Finance, and Acquisition
2. Seventy-five percent of RSPA senior executives can retire within three years, and attrition in this population has been running at close to 20 percent a year over the last three years. The management population, from which senior executives are often chosen, is also a high-retirement-eligible population. RSPA currently has three SES vacancies. Succession planning for senior executives is critical as is filling existing vacancies.
3. Almost 50 percent of the manager/supervisor population can retire within three years although actual attrition is moderate (6 percent per year over the last three years). RSPA currently has twelve management/supervisor vacancies: seven at the Volpe Center, one at TSI (currently filled by a long-term detailee), and four in RSPA HQ and field organizations. Additionally, growth in both OPS and OHMS is likely to create even more demand for supervisors and/or team leaders, while the Volpe Center, with one of the best supervisory ratios in Government at 1:12, may also experience more demand in this occupation. Succession planning for managers and supervisors and filling vacancies are both critical.
4. As RSPA moves to a more highly leveraged¹ workforce, program and project management competencies are increasingly important. They are required across all occupations. RSPA has been encouraged by outside sources to close current gaps in this area. Employee training, development, and recruitment strategies are needed to increase RSPA's expertise in program and project management.
5. RSPA must move toward meeting the Office of Federal Procurement Policy's (OFPP) guidance on the benefits of performance-based contracting. RSPA HQ's Management Assessment of the Volpe Center found that the Center has a particular opportunity to fulfill this guidance. Employee development plans/activities are required to meet the increased need for performance-based contracting. For instance, technical initiators

¹ In a more highly leveraged workforce, fewer Federal employees manage more contractors.

on the Volpe Center's on-site contracts need additional training in writing performance work statements and in monitoring and evaluating performance-based tasks. Many of these technical initiators should be fully trained and designated as Contracting Officer's Technical Representatives (COTRs). This will both facilitate RSPA's movement toward the Administration's performance-based contracting goals and will diminish gaps in the project/program management competency identified above. On a RSPA-wide basis, should the organization's competitive sourcing activities result in more functions being outsourced, the demand for contract development and contract management skills will grow.

6. The occupations listed below will experience increased demand and/or have high retirement eligibility or high anticipated attrition. Recruitment, development, and/or contracting strategies are required in the following occupations to ensure effective program performance:

- Senior Executive and Management/Supervision (high retirement eligibility).
- Program, Transportation, Management, Safety Analysts (net increase in demand in Pipeline Safety).
- Engineering (staffing pipeline in place, but net increase in demand in Pipeline Safety).
- Physical Science (high retirement eligibility and net increase in demand in Hazmat Safety).
- Transportation Analysis/Specialists (solid staffing pipeline in place, but net increase in demand in Hazmat Safety).
- Information Technology (net increase in demand in Pipeline Safety and RSPA Program Support).
- Operations Research/Mathematics (high retirement eligibility and a limited staffing pipeline, although historical attrition is low and demand is stable).
- Human Resources (net increase in demand as more human capital initiatives are created and implemented to support mission critical needs).

Attachment 2 contains detailed projected demand and supply data by occupation.

B. Gender Analysis Findings.

1. Female representation in the following RSPA mission critical occupations closely matches or exceeds the civilian labor force female population:

- Economics
- Engineering Psychology
- Program, Transportation, Management, Safety Analysis (females are over-represented, males are underrepresented)

- Legal
 - Training/Information Specialist
 - Miscellaneous professions such as Air Safety Investigators, University Program Specialists, Community Planners, and Geographers
 - Physical Science
 - Support professions such as Human Resources, Finance, and Acquisition (females are over-represented, males are under-represented)
 - Administrative Support (females are over-represented, males are under-represented)
2. Females are underrepresented in executive, management, engineering, and some technical occupations as listed in the bullets below. RSPA recruitment, development, and retention plans should address imbalances in these occupations. All of these occupations represent areas of opportunity for increasing female representation since all are areas of net growth or high retirement eligibility and thus are targeted for recruitment planning as noted in the supply/demand analysis. Findings from the supply/demand analysis are included next to each occupation.
- Senior Executive (75 percent retirement eligible in three years)
 - Management/Supervision (48 percent retirement eligible in three years)
 - Engineering (net increase in demand in Pipeline Safety)
 - Operations Research/Mathematics (growing retirement eligibility, though low attrition and stable demand)
 - Transportation Analysis/Specialist (net increase in demand in Hazmat Safety)
 - Information Technology (net increase in demand in Pipeline Safety and Program Support)

Attachment 3 contains the detailed gender analysis by occupation.

C. Disability Analysis Findings.

According to RSPA's External Recruitment Plan (Attachment 14), 11 percent of the civilian labor force has disabilities. Five percent of RSPA's permanent workforce has a reported disability (48 of 894). The Operations Research/Mathematics occupation reports the highest whole number of persons with disabilities (8 of 58, or 12 percent) while the Trade/Technician category reports the highest percentage (1 of 5 or 20 percent). Legal, Acquisitions, and Human Resources occupations also have a representative proportion of persons with disabilities.

Occupations with the lowest percentage of persons with disabilities are listed below. Most of these occupations represent areas of opportunity for increasing representation of

disabled persons as they are targeted for recruitment planning per the supply/demand analysis.

- Training/Information Specialist (0 of 4, 0 percent)
- Engineering (5 of 212, 2 percent)
- Management/Supervision (3 of 88, 3 percent)
- Information Technology (3 of 88, 3 percent)
- Program, Transportation, Management, Safety Analysis (4 of 98, 4 percent)

Attachment 4 contains the detailed disability analysis by occupation.

D. Race/National Origin Analysis.

The table below delineates the abbreviated terminology used for Race/National Origin (RNO) throughout the document.

Short Name	Standard Form 181
Amer Ind or AI/AN	American Indian or Alaskan Native
Asian/PI	Asian or Pacific Islander
Black	Black, not of Hispanic Origin
Hispanic	Hispanic
White	White, not of Hispanic Origin

In order to analyze RSPA RNO demographics in a useful and meaningful way, RSPA compared its population first to overall civilian labor force (CLF) statistics in order to compare with the March 2003 diversity plan. RSPA then compared its population to a weighted average (Washington DC/MD/VA; MA; OK; all USA) of 2002 Census data for a more realistic comparison of the employee population that is located in disparate geographical areas. When using the weighted average, the *overall* RSPA population mirrors the local population well, but the occupational analysis shows important disparities. Attachments 5 through 9 contain the quantitative details of the weighted average analysis. The CLF analysis is available upon request and differs substantively only in a few occupations in the Black, Hispanic and White categories. In summary, it is clear that RSPA must concentrate on increasing diversity in its senior executive and management ranks as well as in some technical/professional occupations. In some occupations, diversity is well established. A group is considered either over represented or underrepresented when the gap is greater than or less than two percentage points. For example, if the CLF factor is 8 percent and the occupation has a representation of 6 percent to 10 percent, that particular RNO group is considered properly represented. The terminology below represents the Race/National Origin names Standard Form 181, Race and National Origin Identification.

Occupation	Underrepresented					Overrepresented				
	His-panic	Black	Asian /PI	Amer Ind	White	His-panic	Black	Asian /PI	Amer Ind	White
Senior Executive	X	X	X							X
Mgmt/Supv*	X	X								X
Economics	X	X						X		X
Eng Psych	X	X						X		X
Mgmt, Pgm, Safety Anal (300)*	X		X				X			X
Engineering*	X	X						X		X
Legal					X		X		X	
Training/Info	X		X		X		X			
Phys Science		X			X			X		
Ops Res/ Math*	X	X								X
Trans Spec*	X		X				X			
Info Tech*		X			X	X		X		
Misc Prof*	X		X							X
Human Res		X	X			X				X
Finance	X				X		X	X		
Acquisition*	X	X	X							X
Trade/Tech			X		X	X	X			
Admin Supp*					X	X	X			

*Most populous occupational groups (more than 20 employees)

V. Gap Analysis

A. Surpluses.

RSPA does not report any current surpluses nor does the organization project surpluses based on anticipated workload and attrition. The organization will have surplus Federal staff in the event competitive sourcing studies result in decisions to outsource. The Office of the Secretary (OST), based on the July 2003 Office of Management and Budget Report “Conducting Public-Private Competitions in a Reasoned and Responsible Manner”, has advised the OAs that they should now expect to lose about 50 percent of their streamlined A-76 studies due to changes in the rules that previously favored Federal employees but now do not. In those cases, the workload will be transferred to the private sector and the organization will pursue all avenues to facilitate a “soft landing” for affected Federal employees. Those avenues include voluntary separation incentives, early retirement authority, and retraining and redeployment where appropriate. At TSI

and the Volpe Center where the workload is in continual flux and depends on customers' changing needs, term appointments and contractors are regularly used to manage the changing volume and technical needs of the work.

B. Occupational/Functional Gaps.

Below is a list of RSPA's current and/or projected occupations/functions gaps:

- High frequency communications; advanced 21st century communications expertise (RSPA-OET)
- Background in Instructional Systems Design (TSI)
- Professional Engineers and Technologists (RSPA HQ-DIR)
- Grants Management (RSPA HQ-DIR)
- Outreach/Facilitation (RSPA HQ-DIR)
- Information Technology with expertise in enterprise architecture and secure web and web-enabled applications (RSPA HQ- Management and Administration [DMA])
- Competitive Sourcing (RSPA HQ-DMA, TSI, Volpe Center)
- New and emerging inspection technologies (RSPA HQ and Region Pipeline Safety)
- Hazmat Enforcement (RSPA HQ and Region Hazmat Safety)
- Physical Scientists (radio-active materials) (RSPA HQ and Region Hazmat Safety)
- Package Testing (RSPA HQ and Region Hazmat Safety)
- Administrative support (RSPA HQ and Region Hazmat Safety and Pipeline Safety)
- Property Management (RSPA HQ-DMA)
- Technical Expertise in Transportation R&D for technology impacts, understanding future requirements and missions; determining changes and developing technological responses; implementing technology insertions and effectiveness; determining return-on-investment (Volpe).
- Human Resources (RSPA HQ-DMA, Volpe Center) as more human capital initiatives are developed.

C. Mission Critical Competencies.

The following is a list of RSPA's mission critical competencies. These 15 competencies (with the exception of supervision) are necessary for successful accomplishment of RSPA jobs at all skill levels across all key occupations. These core competencies focus on the behaviors and characteristics employees must demonstrate and/or possess in order to successfully apply, integrate, transfer, and optimize their specific technical knowledge and skills.

- Adaptability/Flexibility
- Customer Orientation

- Drive to Succeed/Learn
- Information Technology
- Interpersonal Skills (including Conflict Management, Customer Service)
- Leadership and Mentoring
- Norms/Values/Preferred Practices/Organizational Awareness
- Oral Communication (presenting, influencing, negotiating, advocating). Such communication may be accomplished through a sign language interpreter or assistive technology such as a TTY in many positions
- Written Communication
- Program/Project Management (includes developing project plans and timetables, meeting deadlines, leading multi-disciplinary teams)
- Supervision/Human Resources Management
- Systems/Strategic/Analytical Thinking
- Teamwork/Partnering
- Decisiveness
- Technical Excellence

The competency listed below is considered to be required for successful accomplishment of Pipeline Safety, Emergency Transportation and Hazmat Safety jobs working on the “front lines” of crises.

- Ability to produce and to “think on feet” under conditions of extreme stress

D. Current or Projected Gaps in Competencies.

- Program/Project Management: Increasingly, all Federal employees need to become skilled project managers. This includes developing project plans, meeting deadlines, leading multi-disciplinary teams, and managing contractors.
- Information Technology: All employees need to be skilled in use of variety of software applications. All employees should be informed about new technology within their functional areas such as new and emerging technologies for pipeline inspections.
- Systems/Strategic/Analytical Thinking: Increasingly, Federal employees must take a systems approach to problem solving and use analytical skills.
- Technical Excellence: All employees must continually keep their technical skills up-to-date; maintain leading edge knowledge in fields.
- Written Communication
- Oral Communication (presenting, influencing, negotiating, advocating)
- Listening
- Leadership/mentoring: With senior executive and management/supervision positions at risk, acquisition and development of leadership skills becomes crucial, as does mentoring of employees who are acquiring new competencies.
- Supervision/Human Resources Management: As with leadership skill, more employees with competencies in this arena will be needed.

VI. Competitive Sourcing (CS) and the FAIR Act Inventory.

A. Competitive Sourcing Results to Date.

As of September 30, 2003, RSPA (Volpe) conducted three Express Studies totaling 9 FTE and directly converted 26 FTE (prior to May 29, 2003), for a total of 35 FTE competitively sourced. Of the three Express Studies, RSPA employees won two and lost one.

B. RSPA Next Steps.

The Competitive Sourcing Plan can be found in Appendix I to this plan. Workforce analyses surrounding the FAIR Act Inventory and competitive sourcing studies that helped to inform RSPA's competitive sourcing decisions can be found at Attachment 11.

C. FAIR Act Inventory.

The analyses in this Human Capital Plan will be used in the preparation of the calendar year (CY) 2004 FAIR inventory. The increased emphasis on program and project management, Federal accountability and movement to performance-based contracting may compel RSPA to increase the number of COTRs (see Federal/contractor analyses in Attachment 11). Such changes may impact the FAIR Inventory.

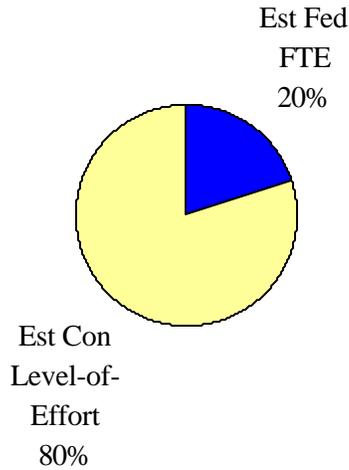
VII. The Information Technology (IT) Workforce.

A. Clinger-Cohen Act and E-Gov Act Requirements

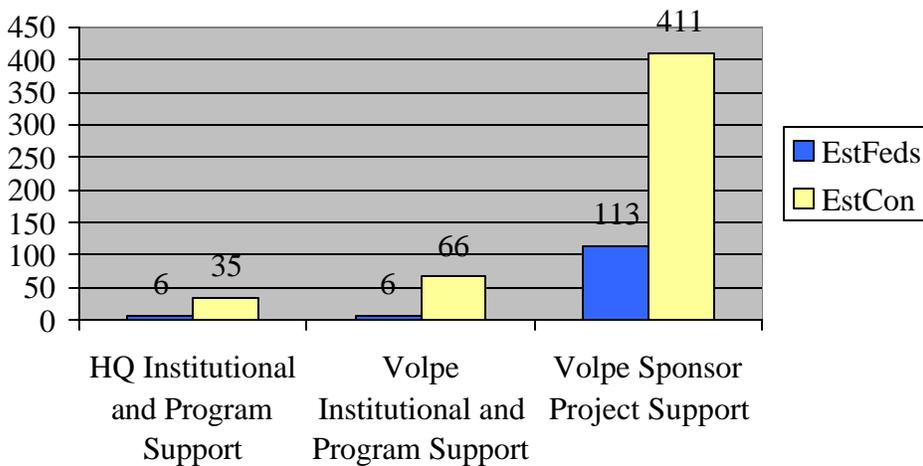
The Clinger-Cohen Act (CCA) and Section 209 of the E-Gov Act require agencies to assess their IT workforce, to identify occupational and/or competency gaps, and to develop strategies for closing those gaps. Following are some demographics that provide insight into RSPA's IT workforce.

1. RSPA's IT workforce is highly leveraged.

**Estimated RSPA IT Workforce (640
Federal/Contractor Labor Years)**



2. Most of RSPA's IT workforce is located at the Volpe Center and is deployed in support of the IT needs (research, development, demonstration, deployment) of customer organizations². In general, RSPA contracts for most of its institutional IT support. RSPA also contracts for much of the direct support to Volpe Center sponsors. Federal staff provide technical direction, contractor oversight, project management, and value-added expertise on projects.



² TSI's IT workforce is very small and is, therefore, not illustrated here.

- RSPA's IT workforce is younger, further from retirement, and holds higher grades than the balance of the RSPA workforce. Predominantly FERS, this workforce is also mobile.

	Avg Age	Avg Gr to Retire	Avg Yrs
IT Workforce	46.1	12.8	13
Rest of Workforce	47.4	12.1	11.2

B. Clinger-Cohen Assessment Survey Results.

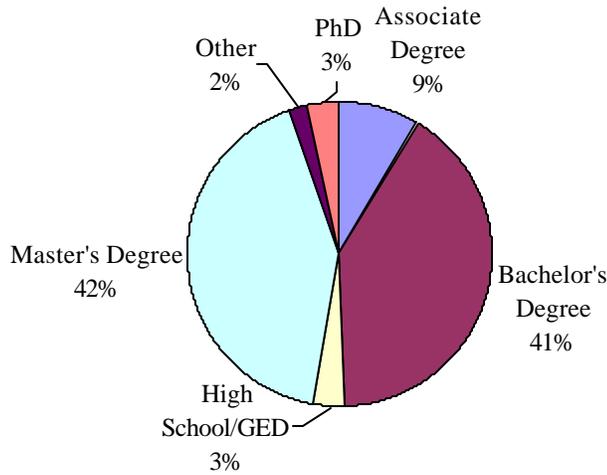
As part of its IT workforce analysis, OST has requested that each OA integrate results from the recent Clinger Cohen Assessment Survey into workforce planning processes. Some highlights from analyses of RSPA's results are outlined below. Please note that the IT workforce is comprised of more than just 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.

- Approximately 75 percent of RSPA's estimated IT workforce (125-130 employees) completed the survey as illustrated in the table below.

Surveys completed by RSPA IT employees by MCO

Occupation	Surveys Completed
Mgmt, Program, Trans, Safety Anal-300	13
Engineering-800	18
Ops Research, Math-1515	1
Information Technology-2210 (and 334)	51
All other series	10
Total	93

2. RSPA's surveyed IT workforce reports its education levels as shown below:



3. RSPA's surveyed IT workforce reports its certifications as shown below:

Certificate Name	Count
Microsoft	6
Information Systems Security	5
Project Management	5
IT Related Technical Certificates from accredited Technical Schools (military or commercial)	5
Network Security	4
GIAC	3
Engineering	2
Check Point	2
CIO	1
Cisco	1
Citrix	1
Comp TIA	1
Data Base	1
Information Systems	1
Evidence Collection	1
Novell	1
Business Applications	1
Red Hat	1
Software Development	1
Oracle	1
Java	1
Linux	1
Data Processing	1
Total	47

C. Clinger-Cohen IT Competencies.

Eleven core IT competencies were identified in connection with the Clinger-Cohen assessment survey. They are listed below. RSPA Human Capital Strategies, laid out in paragraph IX below, provide development plans for the competencies most needing attention at RSPA. Due to the nature of RSPA's IT work and the workforce demographics illustrated above, RSPA must put a premium on the competencies of leadership, program/project management, acquisition, and IT security/information assurance. Desktop technology is a competency that must be developed in all RSPA employees, and plans are in place toward that end as well.

- Policy and organizational,
- Leadership and managerial,
- Process/change management,
- Information resources strategy/planning,
- IT performance assessment models and methods,
- Program/project management,
- Capital planning and investment,
- Acquisition,
- E-Gov/electronic business/electronic commerce and technical,
- IT security/information assurance, and
- Desktop technology

VIII. Communication Plan.

The Human Capital Steering Group (HCSG) will take action to communicate the RSPA Human Capital Plan after the plan is approved *and* after the attached Competitive Sourcing Plan is briefed to all impacted employees and their representatives where applicable. The following communications activities will occur:

- Brief senior staff, the Volpe Union and the Employee Quality Council;
- Post the plan on the RSPA intranet;
- Provide regular updates in *RSPA Results*, the RSPA newsletter;
- Develop and implement separate communication strategies for each initiative as appropriate

IX. Strategies and Critical Success Factors.

This section contains RSPA’s strategies and plans for addressing gaps. These strategies and plans will be revised as dictated by fresh workforce planning analyses when the RSPA reorganization is complete. Strategies and plans specific to OET, OHMS, and OPS will be shared with their new organizations for incorporation into their workforce plans.

Actions are planned in the areas of Succession Planning; Diversity; Recruitment; Core Competency Development; Competitive Sourcing; Retention and Productivity; and Plan Implementation and Evaluation. In developing strategies for the current organization, RSPA’s Human Capital Steering Group identified a set of factors critical to the success of this plan. The following three success factors emerged as the most critical across the board:

- Management support (as evidenced via words, actions, and money and/or people);
- Resources (contractor and/or Federal) with the right skill sets to implement the actions;
- A future-oriented, performance-oriented organizational culture

Strategy	Lead	Actions/Schedules/ Milestones	Integration Issues
Succession Planning. In addition to unique integration issues identified for each action, all succession planning actions must also be integrated with the Diversity Management Plan (Attachment 13) and Recruitment Plan for Professional and Technical Positions (Attachment 14).			
1. Develop a Succession Planning and Management System for RSPA HQ and TSI. This system will encompass Action 2, below.	DMA-40	1. Assign DMA-40 lead: Qtr 3-FY04 (Director, OHRM) 2. Assign Line Management lead: Qtr 3-FY04 (Deputy Administrator) 3. Project Plan with Deliverables and Milestones: Qtr 4-FY04 (Project Leads from 1 and 2 above)	Restructuring/ decreasing layers and bureaucracy Supervisory development (Action 2) Resources must be available to accomplish this effort

Strategy	Lead	Actions/Schedules/ Milestones	Integration Issues
2. Explore, develop, and deploy a supervisory training program for potential internal candidates. This is a subset of Action 1, above, but is distinct and substantive action in and of itself.	Management working group, assisted by HR expert (Federal or contractor).	<ol style="list-style-type: none"> 1. Select, and develop charter for, working group: Qtr 1-FY05³ (Deputy Administrator and Director, OHRM) 2. Project Plan with Deliverables and Milestones: Qtr 2-FY05 	<p>Succession planning and management system (Action 1)</p> <p>Resources must be made available to accomplish this effort.</p>
3. Continue to implement leadership succession planning/management development program for Volpe Center	Volpe Center-Human Resources Management Division (HRMD)	<ol style="list-style-type: none"> 1. Develop (HRMD) and approve (Management) training plan and budget: Annually 2. Apply interview panel and selection processes to filling management and executive vacancies: FY04+ (continual) 3. Design preparatory development program, including standard components and Individual Development Plans as well as candidate selection process: Qtrs 2 and 3, FY 04 3. Implement a pre-leadership competition: Qtr 4, FY 04 4. Ensure DOT requirements for new supervisor and experienced manager programs are integrated into existing programs: Qtrs 2 and 3 FY 04. 	<p>See Attachment 12 for program framework</p> <p>For pre-leadership program, organization must carefully balance projected need (vacancies) with reasonable indirect costs (affordability, training budget) while avoiding raising unrealistic expectations among candidates.</p> <p>Annual training plan and budget must be calibrated to organizational priorities.</p>

³ This timeframe will allow RSPA HQ and TSI to use “lessons learned” from Volpe’s program that is scheduled to be executed in Qtr 4, FY 04.

Strategy	Lead	Actions/Schedules/ Milestones	Integration Issues
4. Develop tool for monitoring of status of workforce demographics	DMA-40	Determine requirements and availability of funds, Qtr 3 FY 04 Develop project plan and milestones, Qtr 4, FY 04	Diversity plan Recruitment plan Competitive sourcing Budget
Diversity			
5. Continue to refine, for management's implementation, RSPA's Diversity Action Plan.	DCR-1 lead in collaboration with DMA-40 and Volpe	<ol style="list-style-type: none"> 1. Identify resources to complete the actions identified in Attachment 13, including those listed below (DCR-1 with Senior Staff): Qtr 2, FY 04 2. Provide support to supervisors and employees so that they can complete required Individual Development Plans (IDP) : Qtr 2, FY 04 3. Continue to implement exit interview processes, and diversity education and evaluation strategies: on-going 4. Develop a quarterly and annual management reporting and analysis mechanism for all of the diversity data required by the Diversity Management Plan: Qtr 3, FY 04 5. Publish annual statistical reports on 	<p>Competitive Sourcing Strategies and Plans- Diversity Impact</p> <p>Recruitment Strategies and Plans, including DOT's Corporate Recruitment Plan</p> <p>Succession Planning and Management Strategies and Systems</p> <p>Retention Strategies</p> <p>DOT Diversity Action Plan and guidance of Diversity Advisory Council</p>

Strategy	Lead	Actions/Schedules/ Milestones	Integration Issues
		demographics, attrition, accessions, promotions on the RSPA Intranet: Qtr 2, FY 04 (FY 03 data)	
Recruitment			
6. Continue to refine and implement RSPA's Recruitment Plan with emphasis on at risk occupations (see Paragraph IV.A.6) and emphasis on Pipeline Safety and Hazmat Safety growth.	DMA-40, DCR-1 and DTS-843	<ol style="list-style-type: none"> 1. With Human Capital Steering Group, review External Recruitment Plan for modification based on Human Capital Plan data: Qtr 3, FY04. 2. Refine demographic data as requested and funded by program offices. At a minimum, upon delivery of this RSPA-wide plan, develop a performance work statement delineating the format and content of further data and reports requested by the Deputy Administrator that break out significant organizational sub-components. Project plan, funding, and timetable will follow. 3. Implement Quick Hire for faster time from vacancy close to certificate. First mission critical job posted 12/03. All GS-15 and below vacancies posted through system by Qtr 1, FY 05. 4. Through RSPA Recruitment Workgroup, assure marketing materials reflect critical competencies including IT competencies identified for DOT- 	<p>E-government initiatives (e.g. QuickHire)</p> <p>Competitive sourcing-impact on recruitment, retention and diversity</p> <p>Wider government forces driving changes to Title 5</p> <p>Diversity Plan (Attachment 13)</p>

Strategy	Lead	Actions/Schedules/ Milestones	Integration Issues
		<p>wide development: Qtr 4, FY 04</p> <p>5. Implement RSPA’s Recruitment And Professional Intern Development (RAPID) program as detailed in Recruitment Plan (Att 14): Qtr 4, FY 04</p> <p>6. Implement and report progress on, the variety of activities laid out in RSPA’s Recruitment Plan: quarterly</p>	
7. Explore programs and strategies for retaining key people after retirement.	DMA-40, DMA-30, DCC	1. Explore the feasibility and legality of mechanisms for retaining the knowledge of key people upon their retirement. This exploration should include re-hiring into the Federal workforce, volunteer programs, contracting relationships. Qtr 4 FY 04.	<p>Recruitment/Retention/ Diversity Strategies and Plans</p> <p>Competitive Sourcing</p> <p>Performance-based Contracting</p>
<i>Core Competency Development (including IT competency development)</i>			
8. Develop an intranet-based human resources “tool-kit” for managers	DMA-40	1. Communicate information to managers about tools and flexibilities available for recruiting, hiring, retaining, recognizing, and releasing Federal employees: Qtr 4, FY 04	<p>Competitive Sourcing</p> <p>Recruitment/Retention/ Diversity Strategies and Plans</p> <p>Succession Planning</p> <p>DOT Supervisory Toolkit</p>

Strategy	Lead	Actions/Schedules/ Milestones	Integration Issues
9. Develop/ implement project management competency development program	DMA-10 DTS-1 and 2, DTS-84, Line managers	1. Take actions required to achieve RSPA certification as required under Clinger-Cohen: Qtr 3, FY 04 2. Implement project management curriculum and tools developed as a result of RSPA Management Assessment as well as in response to Government-wide initiatives such as Clinger-Cohen: Qtr 1, 2, 3, 4 FY 04 and on-going	Budget and Performance Integration Performance-based Contracting Volpe curriculum integrates with other core competency development, including financial management, communications, performance-based contracting, project alert and tracking systems, project initiation and monitoring, software requirements, etc.

Strategy	Lead	Actions/Schedules/ Milestones	Integration Issues
10. Provide Contracting Officer's Technical Representative (COTR) training targeted to increase employee competency with Performance-based Contracting.	DMA-30 DTS-84 and 85	1. Incorporate writing performance-based work statements into RSPA HQ COTR training: Qtr 2, FY 04 2. Design and implement curriculum on writing performance-based work statements; managing, tracking and evaluating performance-based work contracts; making changes to performance-based contracts when sponsors requirements change: First classes to begin Qtr 2, FY 04	Project Management and Communication Competency Development Succession Planning and Management Development Competitive Sourcing Budget and Performance Integration
11. Implement program to increase employees' information technology competence around use of software applications.	DMA-40, DTS-843	Competency development program began in July 2002 for RSPA HQ and TSI, and in April 2003 for RSPA Volpe Center. It is scheduled to be completed 3/31/04.	Expanded Electronic Government
Competitive Sourcing: Determining whether commercial services that are conducive to private sector performance but currently performed by Federal employees, could be done by the private sector at less cost to the taxpayer.			
12. Implement Competitive Sourcing Plan.	DRP-1 (Competitive Sourcing Official);DMA-30 (HQ); DTS-2 (Volpe Center); DTI-1 (TSI)	Actions, schedules and milestones are laid out in the Competitive Sourcing Plan itself.	Strategic Human Capital Planning Budget and Performance Integration Performance-based Contracting

Strategy	Lead	Actions/Schedules/ Milestones	Integration Issues
<i>Retention and Productivity</i>			
13. Evaluate and revise performance appraisal systems within RSPA to assure appropriate differentiation of performance levels and linkage to performance awards.	DMA-40 and DTS-84	Action plan with milestones and responsibilities developed Qtr 2, FY 04. Implementation by upcoming rating cycle.	Diversity Action Plan; Performance Culture
14. Explore morale, culture and communications issues in order to make improvements.	Senior RSPA Management with Human Resources and Civil Rights support as needed	Integrate discussions about the impacts of the Human Capital strategies in this plan, as well as any other significant organizational changes, on morale, culture and communications, into senior management meetings where these issues are raised and decisions are made about them. Designate executive subgroups to periodically discuss current state of these factors within the organization. Where necessary, develop, communicate and execute action plans required to make improvements	Recruitment, Diversity, Management and Employee Development, Succession, Competitive Sourcing Plans and Strategies
<i>Plan Implementation and Evaluation</i>			
15. Implement, evaluate and update this plan in accordance with Senior Staff direction, Office of Management and Budget (OMB) direction, and/or Office of the Secretary of	DMA-40 and HCSG; the lead for each action is responsible for evaluating	1. HCSG quarterly meetings to report progress, discuss obstacles to success, plan next steps: Qtr 2 – FY 04 2. Develop plans and assign	All associated activities listed in strategies above.

Strategy	Lead	Actions/Schedules/ Milestones	Integration Issues
Transportation (OST) direction. This action includes updating the plan when the reorganization is complete.	and reporting progress.	responsibilities for communication to workforce: quarterly meetings	

APPENDIX I. RSPA's Competitive Sourcing Plan.

Attached as a separate document.

Attachment 1 - Strategic Programmatic Goals and Outcomes (RSPA-specific), and link to Budget.

DOT's progress in achieving the outcomes listed in the table below, will be measured via performance measures fully developed in DOT's Annual Performance Plans and Reports for FY 2004

Outcome Goals	Candidate Performance Measures⁴	Strategies⁵	Budget⁶
Safety			
Reduction in transportation-related deaths	<p>Pipeline Safety Goal: Reduce pipeline incidents by 5% per year from 381 in 2000 to 295 in 2005. Measure: Number of incidents for natural gas and hazardous liquid pipelines</p> <p><u>Transportation Safety Institute (TSI) and Volpe Center</u> support Pipeline Safety in meeting performance measures and carrying out strategies.</p> <p>Note link to environmental</p>	<p>Implement integrity management requirements for gas and liquid operators.</p> <p>Use new evaluation standards for assessing adequacy of pipeline operator qualification programs, and security preparedness.</p> <p>Provide educational materials to pipeline operators, one-call centers, others.</p> <p>Improve models for corrosion assessment and remaining pipe strength.</p> <p>Enhance States' abilities to oversee outside force damage, as well as other concerns.</p> <p>Conduct R&D for improved operations, control, monitoring for corrosion and leak detection; direct assessment techniques for</p>	<p>Overall RSPA requested \$112.2M for FY 2005, an increase of \$11.6M, in order to meet safety outcomes. Most of the increase is requested in support of pipeline safety, with an emphasis on employing the strategies listed. RSPA will continue implementing integrity management safety protocols; will allow state pipeline safety programs to take over more pipeline safety oversight; and will ensure that the burgeoning development of Liquefied Natural Gas deep-water ports is done safely.</p> <p>100.2 FTE are associated with this effort in the FY 2003 enacted budget. 118.9 are included in the</p>

⁴ From U.S. Department of Transportation DRAFT Strategic Plan for Fiscal Years 2003-2008

⁵ From U.S. Department of Transportation Annual Performance Plan for FY 2004 or RSPA's Strategic Plan, September 2001

⁶ The budget column contains facts as they stand on December 2, 2003. Due to the nature of the budget process, these facts may fluctuate. Changes that impact the budget, will impact RSPA's ability to carry out strategies, in turn impacting outcome goals. The Human Capital Plan along with associated recruitment, development, succession, competitive sourcing, and contracting plans may need to be adjusted accordingly.

Outcome Goals	Candidate Performance Measures ⁴	Strategies ⁵	Budget ⁶
	stewardship strategic goal.	unpiggable pipelines; improved pipeline coating technology; mapping and information integration.	FY 2004 President's budget, and 139.1 are requested in the FY 2005 budget request.
Reduction in transportation-related injuries	<p>Hazardous Materials Safety Goal: By 2005, reduce hazmat transportation incidents by 10% from the level of such incidents in 2000. Measure: Number of serious hazardous materials transportation incidents</p> <p><u>TSI and Volpe Center</u> support Hazmat Safety in carrying out the strategies listed.</p> <p>Please note link to environmental stewardship and global connectivity strategic goals.</p>	<p>Develop regulations to address transportation safety issues related to hazmat packaging and shipping.</p> <p>Along with FAA, FRA, FMCA, enforce above regulations for all modes of transportation.</p> <p>Continue to inspect shippers, packaging manufacturers and cylinder retesters, measuring success by non-compliance rates after re-inspections.</p> <p>Continue intensive outreach to hazmat community through training, technical assistance, customer service to increase compliance with Federal safety regulations.</p> <p>Prioritize compliance initiatives using risk and human factors analysis based on shippers' incident histories.</p> <p>Work with international organizations to promote consistency between national and international hazardous materials requirements.</p>	<p>RSPA recommends increasing its Hazardous Materials Emergency Preparedness Grants (HMEP) program, which prepares communities to respond to hazmat incidents, by \$28M per year starting in FY 2006, based on its FY 2003 PART analysis showing that the program has good results. Additionally, to remedy deficiencies uncovered in the PART analysis, RSPA proposes requesting reauthorization authority and resources that will (1) provide better financial and technical oversight, as well as evaluation of the HMEP program; and (2) gather information from grantees and sub grantees to gauge their performance and to report those results to the public.</p> <p>156.7 FTE are associated with this effort in the FY 2003 enacted budget. 168.4 are included in the FY 2004 President's budget, and 178.8 are requested in the FY 2005 budget request.</p>

Outcome Goals	Candidate Performance Measures⁴	Strategies⁵	Budget⁶
Reduction in Transportation-related deaths and injuries	<p>Volpe Center Direct technical support provided to agencies responsible for Highway Safety and Transit Safety</p> <p>Direct technical support provided to agencies responsible for Aviation Safety</p> <p>Direct technical support provided to agencies responsible for Rail Safety</p> <p>TSI Training support provided to agencies responsible for Aviation Safety, Highway Safety and Transit Safety</p>	<p>Provide research, analysis, regulatory, human factors, intelligent vehicle system (ITS), and information systems expertise to NHTSA, FMCSA, FTA and FHWA safety programs.</p> <p>Provide research, analysis, safety information systems, human factors, and communication, navigation and surveillance expertise to FAA safety programs, including accident prevention and runway incursion programs.</p> <p>Provide research, analysis, human factors, and vehicle, guideway, terminal expertise to FRA safety programs, including rail and grade crossing safety, and track and structures programs.</p> <p>Provides accident investigation and aviation safety training to personnel within the Federal government and aviation industry. Provides state-of-the-art training and education to transit industry, and Federal, state, and local highway safety professionals.</p>	<p>N/A. Work is funded via reimbursable agreements with NHTSA, FMCSA, FTA and FHWA. The Volpe Center is not a mandatory supply source, thus work type and volume fluctuate with customer agencies' requirements, budgets, satisfaction.</p> <p>N/A. Work is funded via reimbursable agreements with FAA and NASA. Work type and volume fluctuate with customer agencies' requirements, budgets and satisfaction.</p> <p>N/A. Work is funded via reimbursable agreements with FRA. Work type and volume fluctuate with customer agencies' requirements, budgets and satisfaction.</p> <p>N/A. Work is funded via reimbursable agreements. Content and volume fluctuate with customer agencies' requirements, budgets and satisfaction.</p>

Outcome Goals	Candidate Performance Measures⁴	Strategies⁵	Budget⁶
Reduction in Transportation-related deaths and injuries	Promote the safe transport of hydrogen fuels and fuel systems so that alternative fuel vehicles can be developed as a safe alternative to petroleum fueled vehicles.	Collaborate with the Department of Energy to promote the safe transport of hydrogen fuels and fuel systems.	<p>RSPA requested \$14M of reimbursable funding from the Department of Energy's Hydrogen Fuel Initiative to accomplish this strategy.</p> <p>0 FTE are associated with this effort in the FY 2003 enacted budget. 1.2 are included in the FY04 President's budget, and 2.3 are requested in the FY05 request.</p>
Mobility			
<p>Improved infrastructure in all modes</p> <p>Reduced congestion in all modes</p> <p>Increased reliability throughout the system</p>	Office of Emergency Transportation (OET) Rapid recovery of transportation in all modes from intentional harm and natural disasters.	<p>Increase inter-agency planning and coordination to facilitate rapid response to emergencies domestically or abroad in order to bolster the security of the United States. Improve communication and collaboration among federal, state, and local government agencies with responsibilities for emergency preparedness and response.</p> <p>Partner with federal/state/local government agencies and private sector organizations to conduct training exercises and further develop regional emergency response structures.</p> <p>Improve the development and delivery of emergency preparedness training, education, and information materials.</p>	For FY 2004, RSPA requested \$3.8 M, an increase of \$1.9 M. The FY 2005 budget submission requests an additional \$2.4 M. The increases will improve response preparedness for transportation needs in disaster, resources will be used to improve plans and facilities, and provide additional staff to carry out functions at DOT's Crisis Management Center, emergency site, and regions. An additional 10.5 FTE are included in the FY 04 President's budget, and 10 FTE were requested in the FY05 budget request. The additional staff and funding will improve OET's capabilities as measured by its Transportation Capability

Outcome Goals	Candidate Performance Measures ⁴	Strategies ⁵	Budget ⁶
	<p>Innovation, Research and Education Increase the number of students graduating with transportation related degrees from universities receiving DOT funding.</p> <p>Volpe Center Direct technical support provided to specific agencies' programs responsible for improved infrastructure (FRA, FTA), reduced congestion (FTA, FHWA in partnership with National Park Service), increased reliability (FAA, SLSDC).</p>	<p>Fund university transportation centers of excellence that will build the transportation workforce of the future through a multidisciplinary education program that includes participation in research; enable peer-reviewed basic and applied research which will advance the body of knowledge about transportation; and transfer research and technology results to potential users in the public, private and non-profit sectors.</p> <p>Provide research; analysis; information systems; vehicle, guideway and terminal; and communication, navigation and surveillance expertise to FAA, FRA, FTA, FHWA and SLSDC programs, as well as to State, Local and other Government Agency partners with transportation mobility missions, as required and requested by the organizations.</p>	<p>Assessment for Readiness (TCAR) score. The goals for FY03 through 05 are 59, 81, and 84 respectively.</p> <p>This is a reimbursable program. Reimbursable sources are FTA and FHWA. 3 Reimbursable FTE (from FHWA) are associated with this effort in the FY 2003 enacted budget, are included in the FY04 President's budget, and are requested in the FY05 budget request. This request may be altered by the Administration's proposal for a "University-Industry-Government Partnerships" program, part of surface transportation reauthorization before Congress.</p> <p>N/A. Work is funded via reimbursable agreements with FAA, FRA, FTA, FHWA and SLSDC, as well as State, Local and other Government agencies. Work type and volume fluctuate with customer agencies' requirements, budgets and satisfaction.</p>

Outcome Goals	Candidate Performance Measures ⁴	Strategies ⁵	Budget ⁶
Global Connectivity			
<p>More efficient movement of cargo throughout the international supply chain</p> <p>Harmonized and standardized regulatory and facilitation requirements</p>	<p>Volpe Center Direct technical support provided to specific agencies' programs responsible for efficient movement of cargo and for standardized regulatory and facilitation requirements.</p>	<p>Provide research; analysis; information systems; and communication, navigation and surveillance expertise to FAA, FMCSA, US Merchant Marine, St. Lawrence Seaway, DoD, other Federal agencies, and foreign governments.</p>	<p>N/A. Work is funded via reimbursable agreements with FAA, FMCSA, US Merchant Marine, St. Lawrence Seaway, DoD, other Federal agencies, and foreign governments. Work type and volume fluctuate with customer agencies' requirements, budgets and satisfaction.</p>

Outcome Goals	Candidate Performance Measures ⁴	Strategies ⁵	Budget ⁶
Environmental Stewardship			
<p>Reduced pollution and other adverse environmental effects of transportation</p>	<p>Pipeline Safety Improved performance -Tons of hazardous liquid materials spilled per million ton-miles shipped by Pipeline</p> <p>NOTE 1: TSI and Volpe Center support Pipeline Safety in meeting performance measures and carrying out strategies.</p> <p>NOTE 2: These programs link to safety and security strategic goals.</p> <p>Volpe Center Improved Performance</p>	<p>Increase integrity management program reviews to 75% of pipeline miles operated by the nation's 65 largest hazardous liquid pipeline operators.</p> <p>Accelerate integrity testing, evaluate all pipeline risks, and strengthen Federal/State pipeline safety oversight.</p> <p>Enforce operator qualification requirements.</p> <p>Expand participation in industry consensus standards.</p> <p>Improve engineering support for construction oversight, accident investigation, and monitoring remedial work on pipelines through contracted services.</p> <p>Improve pipeline risk analysis through information systems improvements.</p> <p>Expand pipeline operator oil spill response exercises with a new emphasis on security.</p> <p>Conduct R&D initiatives that help reduce spill size and consequence.</p> <p>Provide research; analysis; information systems; environmental engineering and</p>	<p>RSPA requests \$23.6M, an increase of \$3.0M, in order to reduce the amount of oil or other hazardous liquids spilled from pipelines.</p> <p>63.9 FTE are associated with this effort in the FY 2003 enacted budget. 65.2 are included in the FY 2004 President's budget, and 71 are requested in the FY 2005 budget request</p> <p>N/A. Work is funded via reimbursable agreements with FAA,</p>

Outcome Goals	Candidate Performance Measures ⁴	Strategies ⁵	Budget ⁶
	<p>and Reduced Pollution and Adverse effects Provides direct support to the FAA to decrease # of people exposed to aircraft noise levels and to decrease emissions conformity lapses. Provide direct support to specific agencies' programs charged with reducing pollution and other adverse environmental effects of transportation.</p>	<p>remediation (including noise and air quality measurement and monitoring) expertise to FAA, NHTSA, FHWA and to Government Agency partners such as the National Park Service and EPA with environmental/noise mitigation/ air quality issues embedded in their missions.</p>	<p>NHTSA, FHWA and Government Agencies such as the National Park Service (DOI) and EPA. Work type and volume fluctuate with customer agencies' requirements, budgets, and satisfaction.</p>
Security			
<p>Rapid recovery of transportation from disasters.</p>	<p>OET Deploys about 40% of resources toward security and 60% toward mobility. Full discussion is in Mobility above.</p>	<p>Develop plans, and conduct training, and exercises to ensure a high level of readiness Monitor the status of the transportation network 24 hours a day, 7 days a week to ensure rapid response to any breakdowns in the transportation system.</p>	
<p>National transportation system meets all security requirements.</p>	<p>Volpe Center Direct technical support provided to specific agencies' programs responsible for homeland and national security.</p>	<p>Provide transportation security (physical and information systems), research and analysis expertise to the FTA, RSPA and FAA, as well as to the U.S. Capitol, DoD, and DHS.</p>	<p>N/A. Work is funded via reimbursable agreements with FTA, RSPA, FAA, U.S. Capitol, DoD and DHS. Work fluctuates with customer requirements, budgets, etc.</p>

Outcome Goals	Candidate Performance Measures ⁴	Strategies ⁵	Budget ⁶
Organizational Effectiveness			
Achieved strategic management of human capital	Management and Administration Measures of progress TBD	<p>Conduct workforce planning to identify mission critical occupations.</p> <p>Develop and implement plans to close gaps and deal with surplus employees.</p> <p>Design performance and award systems linking performance to organizational goals.</p> <p>Automate job application processing.</p> <p>Continually update competencies.</p> <p>Implement a diversity management plan.</p> <p>Provide training, guidance, service on conflict prevention, dispute resolution and anti-discrimination laws to all employees.</p>	<p>RSPA requests \$6.1M, an increase of \$0.3M, in order to reach organizational effectiveness performance goals and carry out the President's Management Agenda.</p> <p>2 FTE are associated with this effort in the FY 2003 enacted budget. 2 FTE are included in the FY 2004 President's budget, and 2 FTE are requested in the FY 2005 budget request.</p> <p>This budget request is for support to RSPA HQ and field offices only. See last line item for explanation of Volpe Center and TSI support.</p>
Achieved competitive sourcing goals	<u>Management and Administration</u> Measures of progress TBD	Compete commercial functions between existing FTE (public) and private entities.	1 FTE is included in FY03 enacted budget. 1 FTE is included in the FY04 President's budget, and 1 FTE is requested in the FY05 request. Budget requests are for support to RSPA HQ and field offices only. See last line item for explanation of Volpe Center and TSI support.

Outcome Goals	Candidate Performance Measures⁴	Strategies⁵	Budget⁶
<p>Achieved financial performance goals; achieved budget and performance integration goals; achieved e-government goals</p>	<p><u>Management and Administration</u> Measures of progress TBD</p>	<p>Provide accurate and timely financial information that links resources to results to program managers for their use improving performance and accountability.</p> <p>Find the best business solutions to accomplish the Department's mission through world-class acquisition and business processes</p> <p>Develop and implement strategies and plans to ensure future IT workforce competency/capability requirements are met.</p> <p>Participate in DOT-led analysis of the contribution of IT to each strategic objective.</p> <p>Actively support DOT and Federal Government attempts to leverage the Federal and Departmental Enterprise Architecture to improve services to citizens.</p> <p>Expand the use of IT to enable faster, simpler, more efficient business transactions with DOT.</p> <p>Integrate effective IT security programs with critical business functions and systems.</p>	<p>(Includes financial and procurement performance)</p> <p>4 FTE are associated with this effort in the FY 2003 enacted budget. 6 FTE are included in the FY 2004 President's budget, and 6 FTE are requested in the FY 2005 budget request.</p> <p>This budget request is for support to RSPA HQ and field offices only. See last line item for explanation of Volpe Center and TSI support.</p>

Outcome Goals	Candidate Performance Measures ⁴	Strategies ⁵	Budget ⁶
Improve DOT R&D Excellence	Innovation, Research and Education Measures of progress TBD	<p>Assess effectiveness of DOT R&D programs using OMB's Program Assessment Rating Tool (PART), the President's Research and Development (R&D) Investment Criteria, and external peer review experts.</p> <p>Increase effectiveness and efficiency of DOT's R&D strategic planning process.</p> <p>Limit redundancy and inefficiency in DOT's modal R&D programs.</p> <p>Efficiently manage multi-disciplinary, multi-modal transportation research and technology programs assigned to RSPA by DOT.</p> <p>Identify research to address the Nation's transportation problems.</p> <p>Share research, development and technology results that affect all modes of transportation.</p>	10.4 FTE are associated with this effort in the FY 2003 enacted budget. 8.1 FTE are included in the FY 2004 President's budget, and 8.1 FTE are requested in the FY 2005 budget request
All outcome goals listed above in Organizational Effectiveness	Volpe Center Direct technical support provided to DOT agencies' in support of organizational goals and strategies.	Provide research, analysis, and information systems expertise to FAA, FHWA, RSPA and other DOT operating administrations in support of their organizational effectiveness programs.	N/A. Work is funded via reimbursable agreements FAA, FHWA, RSPA and other DOT operating administrations. Work type and volume fluctuate with customer agencies' requirements, budgets, etc.

Outcome Goals	Candidate Performance Measures ⁴	Strategies ⁵	Budget ⁶
	<p>Volpe Center Responsible for all candidate performance measures (TBD) as assessed against its own organization.</p> <p>TSI. Responsible for all candidate performance measures (TBD) as assessed against its own organization.</p>	<p>See all strategies listed derived from President’s Management Agenda, listed above.</p> <p>See all strategies listed derived from President’s Management Agenda, listed above.</p>	<p>N/A. The Volpe Center is 100% reimbursable. PMA initiatives are funded via overhead charges to customer agencies. In order to keep customers satisfied and to perform customer requirements cost effectively, the Volpe Center must keep overhead rates low. Real market forces act to keep Volpe costs competitive. A form of competitive sourcing occurs regularly as project managers make “make/buy” decisions daily designed to ensure customers’ costs are as low as possible, while delivering high quality products and services.</p> <p>N/A. TSI is a fee-for-service agency, and must fund PMA initiatives via overhead charges to customer agencies. In order to keep customers satisfied and to perform customer requirements cost effectively, TSI must keep overhead rates low. Real market forces act to keep TSI costs competitive.</p>

Attachment 2 - Research and Special Programs Administration Demand and Supply Analysis

Demographics			Demand					Supply			Action Required
Occupation	Total Perm	Avg Age	No. Ret Eligible in 3 Yr	%Ret Elig in 3 Yr	Attrition Over Past 3 Yr	Annual Attrit Rate	Demand Increase (Program Growth)	Total Pipeline (GS-5-11 and students)	Pipe-line As % of Total		
Senior Executive	16	58.7	12	75.0%	9	18.8%	N/A	N/A	N/A	Succession planning is critical.	
Management/ Supervision	88	53.2	42	47.7%	16	6.1%	Possible	N/A	N/A	Succession planning is critical.	
Economics-110	13	43.4	1	7.7%	4	10.3%	N/A	5	38.5%	None. Low retirement eligibility and good staffing pipeline.	
Eng Psych-180	16	38.3	1	6.3%	1	2.1%	N/A	8	50.0%	None. Low retirement eligibility and good staffing pipeline.	
Mgmt, Program, Trans, Safety Anal-300	98	45.9	20	20.4%	31	10.5%	Pipeline Safety	10	10.2%	Recruitment <i>and</i> development strategies are critical due to high historical attrition; high retirement eligibility; increasing demand; requirement for improved project management.	
Engineering-800	212	44.8	40	18.9%	38	6.0%	Pipeline Safety	43	20.3%	Recruitment and/or contracting strategies needed to meet increased	

⁷ These counts include only encumbered positions. At present, three SES positions are vacant.

Demographics			Demand					Supply			Action Required
Occupation	Total Perm	Avg Age	No. Ret Eligible in 3 Yr	%Ret Elig in 3 Yr	Attrition Over Past 3 Yr	Annual Attrit Rate	Demand Increase (Program Growth)	Total Pipeline (GS-5-11 and students)	Pipe-line As % of Total		
										demand. Existing staffing pipeline well calibrated to retirement eligibility and historical attrition.	
Legal-900	17	45.2	2	11.8%	3	5.9%	N/A	0	0.0%	None. Honors Attorney program provides staffing pipeline for low retirement eligible population with low historical attrition.	
Training/Information Spec-1001	6	44.2	0	0.0%	1	5.6%	N/A	1	16.7%	No corporate action required. Organization can build small staffing pipeline.	
Physical Science-1300	13	51.3	5	38.5%	1	2.6%	Hazmat Safety	1	7.7%	Recruitment and/or contracting strategies needed due to high retirement eligibility and growth in demand.	
Ops Research, Math-1515	66	50.6	30	45.5%	13	6.6%	N/A	3	4.5%	Recruitment planning would be prudent due to high retirement eligibility and limited staffing pipeline. Historical attrition is low and demand is stable.	

Demographics			Demand					Supply			Action Required
Occupation	Total Perm	Avg Age	No. Ret Eligible in 3 Yr	%Ret Elig in 3 Yr	Attrition Over Past 3 Yr	Annual Attrit Rate	Demand Increase (Program Growth)	Total Pipeline (GS-5-11 and students)	Pipe-line As % of Total		
Transportation Spec/Analysis-2100	84	47.8	17	20.2%	12	4.8%	Hazmat Safety	11	13.1%	Recruitment and/or contracting strategies needed to meet increased demand. Existing staffing pipeline well-calibrated to low historical attrition.	
Information Technology-2210	88	45.1	11	12.5%	15	5.7%	Pipeline Safety and RSPA Program Support	10	11%	Recruitment and/or contracting strategies needed to meet increased demand. Staffing pipeline well-calibrated to low retirement eligibility and low historical attrition.	
Misc Prof -includes 1101,1815	24	43.9	2	8.3%	2	2.8%	N/A	4	16.7%	None. Staffing pipeline well-calibrated to low retirement eligibility and low historical attrition.	
Human Resources-200	14	50.6	5	35.7%	1	2.4%	N/A	4	28.6%	None. Staffing pipeline well-calibrated to low retirement eligibility and low historical attrition rates. Increased demand may necessitate growth.	
Finance-500	14	44.7	4	28.6%	1	2.4%	N/A	3	21.4%	None. Staffing pipeline well-calibrated to low retirement eligibility and	

Demographics			Demand					Supply		
Occupation	Total Perm	Avg Age	No. Ret Eligible in 3 Yr	%Ret Elig in 3 Yr	Attrition Over Past 3 Yr	Annual Attrit Rate	Demand Increase (Program Growth)	Total Pipeline (GS-5-11 and students)	Pipe-line As % of Total	Action Required
										attrition rates.
Acquisition-1100	30	48.7	8	26.7%	6	6.7%	N/A	4	13.3%	None. Staffing pipeline well-calibrated to low retirement eligibility and low historical attrition rates.
Trade/Technician	5	48.0	2	40.0%	2	13.3%	N/A	0	0.0%	None. These are Commercial B positions that competed for, and won, an FY 2003 A-76 study.
Administrative Support	90	47.1	22	24.4%	29	10.7%	Pipeline Safety	1	1.1%	None. In general, occupation is important but not mission-critical.
Total	894	47.2	224	25.1%	185	6.9%	Pipeline Safety-29 FTE Hazmat Safety-17 FTE	109	12.2%	1. Management/executive succession. 2. Recruitment in key occupations. 3. Program manager development. 4. Contracting/outsourcing.

Attachment 3 - Research and Special Programs Administration Gender Analysis

Occupation	Total Perm	M	M%	F	F%	M % CLF	F% CLF	Female Under-representation	Net Change in F Pop to Match Civ Labor Population	Requires Focused Recruitment, Development, Retention of Females
Senior Executive	16	13	81%	3	19%	53%	47%	28%	5	Yes
Management/Supervision	88	63	72%	25	28%	53%	47%	19%	16	Yes
Economics-110	13	8	62%	5	38%	53%	47%	9%	1	No
Eng Psych-180	16	7	44%	9	56%	53%	47%	-9%	-1	No
Mgmt, Program, Trans, Safety Anal-300	98	33	34%	65	66%	53%	47%	-19%	-19	No
Engineering-800	212	185	87%	27	13%	53%	47%	34%	73	Yes
Legal-900	17	8	47%	9	53%	53%	47%	-6%	-1	No.
Training/Information Spec-1001	6	4	67%	2	33%	53%	47%	14%	1	No.
Physical Science-1300	13	9	69%	4	31%	53%	47%	16%	2	No
Ops Research, Math-1515	66	52	79%	14	21%	53%	47%	26%	17	Yes
Transportation Spec/Analysis-2100	84	63	75%	21	25%	53%	47%	22%	18	Yes
Information Technology-2210	88	64	73%	24	27%	53%	47%	20%	17	Yes
Misc Prof -includes 1101,1815	24	13	54%	11	46%	53%	47%	1%	0	No

Occupation	Total Perm	M	M%	F	F%	M % CLF	F% CLF	Female Under-representation	Net Change in F Pop to Match Civ Labor Population	Requires Focused Recruitment, Development, Retention of Females
Human Resources-200	14	4	29%	10	71%	53%	47%	-24%	-3	No
Finance-500	14	6	43%	8	57%	53%	47%	-10%	-1	No
Acquisition-1100	30	13	43%	17	57%	53%	47%	-10%	-3	No
Trade/Technician	5	5	100%	0	0%	53%	47%	47%	2	No
Administrative Support	90	5	6%	85	94%	53%	47%	-47%	-43	No
Total	894	555	62%	339	38%	53%	47%	9%	81	Yes. Females under-represented in management and technical functions.

Attachment 4 - Research and Special Programs Administration Disability Analysis

Occupation	Total Perm	No Disability	% No Disability	Disability	% Disability
Senior Executive	16	15	94%	1	6%
Management/ Supervision	88	85	97%	3	3%
Economics-110	13	12	92%	1	8%
Eng Psych-180	16	15	94%	1	6%
Mgmt, Program, Trans, Safety Anal-300	98	94	96%	4	4%
Engineering-800	212	207	98%	5	2%
Legal-900	17	15	88%	2	12%
Training/Information Spec-1001	6	6	100%	0	0%
Physical Science-1300	13	12	92%	1	8%
Ops Research, Math-1515	66	58	88%	8	12%
Transportation Spec/Analysis-2100	84	79	94%	5	6%
Information Technology-2210	88	85	97%	3	3%
Misc Prof -includes 1101,1815	24	22	92%	2	8%
Human Resources-200	14	12	86%	2	14%
Finance-500	14	13	93%	1	7%
Acquisition-1100	30	27	90%	3	10%
Trade/Technician	5	4	80%	1	20%
Administrative Support	90	85	94%	5	6%
Total	894	846	95%	48	5%

Attachment 5 - Research and Special Programs Administration Race-National Origin Analysis: Hispanic

Occupation	Total Perm	Hispanic	% Hispanic	% Hispanic (Weighted Local Pop)	% Gap
Senior Executive	16	0	0%	7.8%	-7.8%
Management/ Supervision	88	2	2%	7.8%	-5.5%
Economics-110	13	0	0%	7.8%	-7.8%
Eng Psych-180	16	0	0%	7.8%	-7.8%
Mgmt, Program, Trans, Safety Anal-300	98	0	0%	7.8%	-7.8%
Engineering-800	212	11	5%	7.8%	-2.6%
Legal-900	17	1	6%	7.8%	-1.9%
Training/Information Spec-1001	6	0	0%	7.8%	-7.8%
Physical Science-1300	13	1	8%	7.8%	-0.1%
Ops Research, Math-1515	66	1	2%	7.8%	-6.3%
Transportation Spec/Analysis-2100	84	3	4%	7.8%	-4.2%
Information Technology-2210	88	10	11%	7.8%	3.6%
Misc Prof -includes 1101,1815	24	0	0%	7.8%	-7.8%
Human Resources-200	14	2	14%	7.8%	6.5%
Finance-500	14	0	0%	7.8%	-7.8%
Acquisition-1100	30	1	3%	7.8%	-4.5%
Trade/Technician	5	2	40%	7.8%	32.2%
Administrative Support	90	9	10%	7.8%	2.2%
Total	894	43	5%	7.8%	-3.0%

Attachment 6 - Research and Special Programs Administration Race-National Origin Analysis: Black

Occupation	Total Perm	Black	% Black	% Black (Weighted Local Pop)	% Gap
Senior Executive	16	0	0%	10.7%	-10.7%
Management/ Supervision	88	3	3%	10.7%	-7.3%
Economics-110	13	1	8%	10.7%	-3.0%
Eng Psych-180	16	0	0%	10.7%	-10.7%
Mgmt, Program, Trans, Safety Anal-300	98	13	13%	10.7%	2.6%
Engineering-800	212	8	4%	10.7%	-6.9%
Legal-900	17	5	29%	10.7%	18.7%
Training/Information Spec- 1001	6	3	50%	10.7%	39.3%
Physical Science-1300	13	0	0%	10.7%	-10.7%
Ops Research, Math-1515	66	2	3%	10.7%	-7.7%
Transportation Spec/Analysis-2100	84	17	20%	10.7%	9.5%
Information Technology- 2210	88	6	7%	10.7%	-3.9%
Misc Prof -includes 1101,1815	24	3	13%	10.7%	1.8%
Human Resources-200	14	1	7%	10.7%	-3.6%
Finance-500	14	3	21%	10.7%	10.7%
Acquisition-1100	30	1	3%	10.7%	-7.4%
Trade/Technician	5	1	20%	10.7%	9.3%
Administrative Support	90	28	31%	10.7%	20.4%
Total	894	95	11%	10.7%	-0.1%

Attachment 7 - Research and Special Programs Administration Race-National Origin Analysis: Asian/ Pacific Islander

Occupation	Total Perm	Asian/PI	% Asian/ Pacific Islander	% A/PI (Weighted Local Pop)	% Gap
Senior Executive	16	0	0%	5.1%	-5.1%
Management/ Supervision	88	3	3%	5.1%	-1.7%
Economics-110	13	1	8%	5.1%	2.6%
Eng Psych-180	16	2	13%	5.1%	7.4%
Mgmt, Program, Trans, Safety Anal-300	98	3	3%	5.1%	-2.0%
Engineering-800	212	29	14%	5.1%	8.6%
Legal-900	17	1	6%	5.1%	0.8%
Training/Information Spec-1001	6	0	0%	5.1%	-5.1%
Physical Science-1300	13	3	23%	5.1%	18.0%
Ops Research, Math-1515	66	4	6%	5.1%	1.0%
Transportation Spec/Analysis-2100	84	1	1%	5.1%	-3.9%
Information Technology-2210	88	8	9%	5.1%	4.0%
Misc Prof -includes 1101,1815	24	0	0%	5.1%	-5.1%
Human Resources-200	14	0	0%	5.1%	-5.1%
Finance-500	14	1	7%	5.1%	2.0%
Acquisition-1100	30	0	0%	5.1%	-5.1%
Trade/Technician	5	0	0%	5.1%	-5.1%
Administrative Support	90	4	4%	5.1%	-0.7%
Total	894	60	7%	5.1%	1.6%

**Attachment 8 - Research and Special Programs Administration Race-National Origin Analysis: American Indian/
Alaskan Native**

Occupation	Total Perm	American Indian/ Alaskan Native	% AI/AN	% AI/AN (Weighted Local Pop)	% Gap
Senior Executive	16	0	0.0%	1.0%	-1.0%
Management/ Supervision	88	2	2.3%	1.0%	1.3%
Economics-110	13	0	0.0%	1.0%	-1.0%
Eng Psych-180	16	0	0.0%	1.0%	-1.0%
Mgmt, Program, Trans, Safety Anal-300	98	0	0.0%	1.0%	-1.0%
Engineering-800	212	0	0.0%	1.0%	-1.0%
Legal-900	17	1	5.9%	1.0%	4.9%
Training/Information Spec-1001	6	0	0.0%	1.0%	-1.0%
Physical Science-1300	13	0	0.0%	1.0%	-1.0%
Ops Research, Math-1515	66	0	0.0%	1.0%	-1.0%
Transportation Spec/Analysis-2100	84	0	0.0%	1.0%	-1.0%
Information Technology-2210	88	0	0.0%	1.0%	-1.0%
Misc Prof -includes 1101,1815	24	0	0.0%	1.0%	-1.0%
Human Resources-200	14	0	0.0%	1.0%	-1.0%
Finance-500	14	0	0.0%	1.0%	-1.0%
Acquisition-1100	30	0	0.0%	1.0%	-1.0%
Trade/Technician	5	0	0.0%	1.0%	-1.0%
Administrative Support	90	0	0.0%	1.0%	-1.0%
Total	894	3	0.3%	1.0%	-0.7%

Attachment 9 - Research and Special Programs Administration Race-National Origin Analysis: White

Occupation	Total Perm	White	% White	% White (Weighted Local Pop)	% Gap
Senior Executive	16	16	100%	75.4%	24.6%
Management/ Supervision	88	78	89%	75.4%	13.2%
Economics-110	13	11	85%	75.4%	9.2%
Eng Psych-180	16	14	88%	75.4%	12.1%
Mgmt, Program, Trans, Safety Anal-300	98	82	84%	75.4%	8.3%
Engineering-800	212	164	77%	75.4%	2.0%
Legal-900	17	9	53%	75.4%	-22.5%
Training/Information Spec-1001	6	3	50%	75.4%	-25.4%
Physical Science-1300	13	9	69%	75.4%	-6.2%
Ops Research, Math-1515	66	59	89%	75.4%	14.0%
Transportation Spec/Analysis-2100	84	63	75%	75.4%	-0.4%
Information Technology- 2210	88	64	73%	75.4%	-2.7%
Misc Prof -includes 1101,1815	24	21	88%	75.4%	12.1%
Human Resources-200	14	11	79%	75.4%	3.2%
Finance-500	14	10	71%	75.4%	-4.0%
Acquisition-1100	30	28	93%	75.4%	17.9%
Trade/Technician	5	2	40%	75.4%	-35.4%
Administrative Support	90	49	54%	75.4%	-21.0%
Total	894	693	78%	75.4%	2.1%

Attachment 10 - Research and Special Programs Administration Retirement System Demographic Analysis

Occupation	Total Perm	Avg Age	Total CSRS	Perc CSRS	Total FERS	Perc FERS	Total OffSet	Perc OffSet
Senior Executive	16	58.8	12	75.0%	4	25.0%	0	0.0%
Management/Supervision	88	53.3	49	55.7%	35	39.8%	4	4.5%
Economics-110	13	43.5	2	15.4%	11	84.6%	0	0.0%
Eng Psych-180	16	38.3	1	6.3%	15	93.8%	0	0.0%
Mgmt, Program, Trans, Safety Anal-300	98	45.9	28	28.6%	65	66.3%	5	5.1%
Engineering-800	212	44.9	26	12.3%	184	86.8%	2	0.9%
Legal-900	17	45.2	2	11.8%	15	88.2%	0	0.0%
Training/Information Spec-1001	6	44.2	0	0.0%	6	100.0%	0	0.0%
Physical Science-1300	13	51.3	2	15.4%	10	76.9%	1	7.7%
Ops Research, Math- 1515	66	50.6	23	34.8%	41	62.1%	2	3.0%
Transportation Spec/Analysis-2100	84	47.8	17	20.2%	62	73.8%	5	6.0%
Information Technology- 2210	88	45.2	13	14.8%	73	83.0%	2	2.3%
Misc Prof -includes 1101,1815	24	44.0	7	29.2%	17	70.8%	0	0.0%
Human Resources-200	14	50.6	6	42.9%	8	57.1%	0	0.0%
Finance-500	14	44.7	5	35.7%	8	57.1%	1	7.1%
Acquisition-1100	30	48.7	16	53.3%	14	46.7%	0	0.0%
Trade/Technician	5	48.0	2	40.0%	2	40.0%	1	20.0%
Administrative Support	90	47.2	18	20.0%	64	71.1%	8	8.9%
Total	894	47.2	229	25.6%	634	70.9%	31	3.5%

Attachment 11 - Integrated Competitive Sourcing/Human Capital Planning Analyses.

Generally, RSPA has approached the inventory and competitive sourcing by agency component (e.g. HQ/Region, TSI, Volpe Center) since the geographical areas represented are so disparate, local salaries for Federal and contractor staffs are varied, separate human resources and acquisition support staffs provide service to each component, and TSI and the Volpe Center are fee-for-service organizations. The abbreviations contained in the tables in this attachment are as follows:

Code	Definition
I	Inherently Governmental
C-A	The commercial activity is not appropriate for a streamlined or standard competition. Exempted in writing by the Competitive Sourcing Official (CSO).
C-B	The activity is suitable for a streamlined or standard competition.
C-C	The activity is the subject of an in-progress streamlined or standard competition.

The overall 2003 inventory results are provided in the two tables below:

RSPA CY 2003 Inventory Summary									
Component	Total FTE (on inventory)	I	I %	C-A	C-A %	C-B	C-B %	C-C	C-C %
RSPA HQ	348.5	310.6	89%	25.2	7%	13	4%	0	0%
RSPA TSI	53.2	16.75	31%	23	43%	14	25%	0	0%
RSPA VOLPE	550	160.0	29%	317.5	58%	60	11%	13	2%
Total	951.7	487.4	51%	365.7	38%	86.2	9%	13.0	1%

CY 2003 Inventory Summary					
Component	Total FTE (on inventory)	I	C-A	C-B	C-C
RSPA HQ	348.5	311	25.2	12.7	0
HQ %	37%	64%	7%	15%	0%
RSPA TSI	53.2	16.8	23	13.5	0
TSI %	6%	3%	6%	16%	0%
RSPA VOLPE	550	160.0	317.5	60	13
VOLPE %	58%	33%	87%	70%	100%
Total	951.7	487.4	365.7	86.2	13.0

Increased emphasis on program and project management, Federal accountability, and movement to performance-based contracting may compel RSPA to increase the number of COTRs. The table below illustrates the current situation.

RSPA Federal To Contractor Ratio Analysis					
Component	Total FTE (on inventory)	Contractors	Overall Con to Fed Ratio	“T” Fed FTE (includes COTRs)	Con to “T” Fed Ratio
RSPA HQ	348.5	105	0.3	310.6	0.3
RSPA TSI	53.2	49	0.9	16.75	2.9
RSPA VOLPE	550	927	1.7	160.0	5.8

The last table in this section illustrates the Federal to contractor ratios by Mission Critical Occupation and the impact of Competitive Sourcing on those ratios should the Government lose the studies.

Occupation	Total Perm	Est Con	Perm Fed To Con Ratio (1:X)	FAIR Comm B	Ratio if Feds lose CS Studies
Senior Executive	16	0	N/A	0	N/A
Management/Supervision	88	0	N/A	0	N/A
Economics-110	13	6	1: 0.5	0	N/A
Eng Psych-180	16	4	1: 0.3	0	N/A
Mgmt, Program, Trans, Safety Anal-300	98	49	1: 0.5	0	N/A
Engineering-800	212	221	1: 1.0	0	N/A
Legal-900	17	0	1: 0.0	0	N/A
Training/Information Sp	6	0	1: 0.0	0	N/A
Physical Science-1300	13	9	1: 0.7	0	N/A
Ops Research, Math	66	82	1: 1.2	0	N/A
Transportation Spec/Analysis-2100	84	8	1: 0.1	0	N/A
Information Tech-2210	88	512	1: 5.8	30	1: 9.3
Misc Prof -includes 1101,1815	24	69	1: 2.9	0	0
Human Resources-200	14	6	1: 0.4	0	0

⁸ Senior Executives, managers and supervisors are not double-counted (e.g. they appear only in the Senior Executive or Management/Supervision occupation and not in a functional specialty as well).

Occupation	Total Perm	Est Con	Perm Fed To Con Ratio (1:X)	FAIR Comm B	Ratio if Feds lose CS Studies
Finance-500	14	10	1: 0.7	0	0
Acquisition-1100	30	8	1: 0.3	0	0
Trade/Technician	5	39	1: 7.8	0	0
Administrative Support	90	58	1: 0.6	60	1: 3.9
<i>Total</i>	894	1081	1: 1.2	90	1: 1.5

Attachment 12 - Volpe Center's Leadership Succession (Management Development) Program

Introduction

The Volpe Center's Leadership Succession Program (also known as the Management Development Program) includes a framework for developing skills/interest in potential leaders, a structured program for the transition of new supervisors and managers, and attention to the continuing development of experienced managers and executives.

The Volpe Center has a flat hierarchical structure with just two levels of management (*), the Division Manager and the Senior Executive Service Office/Center Directors. Whereas the Department's Leadership Progression model describes five levels of supervision and management, due to its flat structure, the Volpe Center's model addresses three levels that reflect the leadership progression at the Volpe Center. Each level builds on the competencies that have been acquired at the preceding level(s). The Volpe Center's three levels in the management development program include:

- **Preparatory:** The Management Preparatory Program helps high-potential candidates, primarily at the GS-14 level, to determine if the management or the technical track is the right one and facilitates preparation for management work.
- **New Managers:** Once a new manager, who is also the first-line supervisor, is selected, he/she enters a formal program of development over the course of the first year to ensure successful transition to the new role as a member of the Volpe Center's management team.
- **Experienced Managers:** The experienced manager's program ensures the continuing knowledge and skill development of the Volpe Center's management team.

* The Administrative Divisions of Acquisition Management, Facilities Management, and Financial Management each have first-level supervisory Branch Chief positions that report to the Division Manager. These three Divisions have a three-tiered management hierarchy.

Organized Sponsorship

The Volpe Center has had a Management Development Program framework for leadership succession in place since 1993. Based on an initiative from the senior executive (Training) Management Council, which articulated that a structured management development program would enhance the capabilities of the Volpe Center as well as facilitate the succession of new managers as vacancies occur, established a team made up of an executive, who chaired the group; a manager; a project leader; an Organization Development Specialist; and a Human Resources Specialist, who defined and developed a concept and framework for the development

of management skills and competencies. This team designed programs that would prepare candidates for management positions, support new managers during their first year of transition and provide them with a solid foundation and developmental direction, and provide for continuing development of experienced managers. The design of the program and the competency-based framework, which included specific requirements for succeeding levels of management, was derived from OPM's leadership model but tailored to the Volpe Center's structure and was approved by the Volpe Center's Management Council. The Management Council, comprised of the Equal Employment Opportunity (EEO) Officer, the Chief Counsel, the Human Resources Management Division Director, and all of the Volpe Center's Senior Executives, continues to support these goals and the investment of resources to fully implement the program components. Members of the management team continue to play a significant role in the ongoing planning and implementation activities, and various members of employee groups (e.g., labor union) will continue to be involved where applicable; i.e., serving on focus groups and in program evaluation and improvement efforts.

Cultural Identification and Assessment Identification

The Volpe Center developed its core competency model in 2001. This is a compilation of the behaviors, skills, and performance expectations for all staff at grades GS-5 through the SES across the 13 competencies that were identified as necessary for success (managers have an additional competency of Supervision/Human Resources (HR) Management). The definitions for each of the competencies reflect the values of the Volpe Center in those areas. Many of the values were identified/derived from workforce planning interviews conducted with each of the Volpe Center's Division Chiefs when they were asked about the characteristics of their star performers. For example, the **Supervision/HR Management** and the **Leadership** competencies for the GS-15 level at the Volpe Center are described as follows:

Supervision/HR Management

- Attracts and assesses top people for jobs in the group
- Coaches, mentors, and challenges subordinates
- Uses appropriate tools and resources to resolve interpersonal problems/disagreements in the group in a constructive manner
- Accurately assesses strengths and development needs of employees
- Builds a strong team with complementary strengths: forms the right structures and teams
- Fully understands and participates in HR mgmt responsibilities: establishing positions, recruiting and selecting for core/essential competencies, developing employees for current and future roles, appraising and rewarding employees based on the value they have added to the organization and its goals
- Motivates individuals and groups to produce high quality work and takes responsibility for its products and actions
- Promotes cooperation among subordinates and peers, while guiding, motivating, coaching, mentoring

- Is familiar with and uses supporting services (administrative personnel) and info. resources such as IPPS/MIR, cost reports, Labor/Mgmt contract, etc.
- Provides challenging assignments and opportunities for development
- Provides for staff continuity
- Is sensitive to cultural diversity, race, gender and other individual differences in the workforce
- Empowers people by sharing power and authority
- Shares rewards for achievement w/employees
- Provides on- going feedback to employees - confronts the negative and reinforces the positive

Leadership

- Acts in a way consistent with corporate culture, teaches new hires, and screens for cultural fit
- Makes sound and well informed decisions and perceives the impact and implications of them
- Identifies the internal and external policies that impact the work of the organization
- Approaches each problem situation with a clear perception of organizational and political reality
- Navigates the political and bureaucratic environment effectively
- Instills a sense of vision and mission and demonstrates loyalty to them
- Applies networked decision-making: interacts with numerous and varied partners to determine action
- Commits to action in order to accomplish organizational goals
- Inspires, motivates, and guides others toward goal accomplishment
- Connected to the org. and credible w/employees
- Holds self and others accountable for rules and responsibilities
- Gets the job done
- Dependable
- Self confident
- Steps forward to address difficult issues

The Volpe Center's Workforce Planning program provides refined information on anticipated workforce changes, including the capabilities and competencies that attrition may take from the workforce; identification of key positions for which successors should be groomed; and the sources from which the future workforce may be effectively recruited.

Identification of the Talent Pool

The Volpe Center's Workforce Planning program provides a foundation for the human capital decisions and development of programs needed to recruit, develop, and retain, or to procure (by contract) the future workforce. That foundation is based on project requirements as well as on

strategic plans and is provided in part via workforce analysis to understand the nature of the current "whole" workforce (Federal and contractor), project future scenarios, identify actions to address current problems and recommendations to deal systematically with likely future problems, and identify management priorities for action.

The Volpe Center has an evolving dual career track program that provides opportunities for continuing growth and development in either the technical or management career tracks. Those individuals interested in advancing to management positions may pursue the Project Leader/Division Manager/Senior Executive track. The Management Preparatory program is a means for the employee who wishes to progress as a manager to more fully appreciate the requirements. A competitive process involving internal Volpe candidates only is how selections are made. There is no guarantee of a management position upon completion of the preparatory tour, but the expectation is that one third of management vacancies will be filled by competitively selecting an employee from that pool.

Management successors are selected through the competitive promotion process. In considering the pool of potential successors for Division Chief positions, Volpe Center managers are encouraged to look broadly across the Volpe Center as well as to external sources of candidates, e.g., professional associations, universities, and industry. Leadership, interpersonal skills, customer service, resource planning and management, ability to manage multiple priorities, program development skills, and seasoned judgment are generalized requirements for all Division Chief positions and may be developed in project leaders both within and external to the Volpe Center.

The Volpe Center encourages all staff who are interested in and show some promise for management work to focus some of their development in those skill areas. There are many competencies needed for successful supervision and management, the development or evolution of which will additionally serve to strengthen people's capabilities in their current jobs as project or team leaders.

Competency Assessment

Leadership is a core competency for professional employees, and leadership potential is considered as part of the selection process regardless of the level of the position or source of candidates. Progressively refined leadership behaviors and skills are expected as employees move up their career ladders and through their roles of team member to team leader and project leader. As employees move to the highest non-supervisory levels, they may consider the career track for additional career growth most in line with their interests and skills.

In reinforcing the emphasis on leadership skills, the Volpe Center encourages executives to carefully consider how necessary any unique requirements are to bring to the position versus whether those can be readily picked up. The interview panel process for management positions and for the management preparatory program includes a cross section of Volpe Center executives to provide this type of perspective on the final assessment and selection process.

The behaviors, characteristics, skills, and values described in the competency model are linked to the interview questions and response indicators (including observable behaviors) provided for in the selection interview tools/guides used by the interview panel members. These same competencies also serve as the basis for the competency assessment tool used by employees and managers in developing Individual Development Plans (IDPs) and assessing competency gaps for developmental purposes. As full implementation and integration of the competency model across selection, development, and performance management occurs, performance improvements can be assessed. The competency model and related tools are easily modified as different requirements emerge.

Planned Developmental Experiences

IDPs are central to the Preparatory and New Managers Development Programs and planned developmental experiences are integrated into each of the stages of development as described below.

The Preparatory Program helps high potential employees decide if supervision/ management is the right career path. Its focus is on opportunities to develop the skills essential for achieving results through people. The program provides formal training followed up with specific on-the-job opportunities for application and further evolution of the skill. The IDP will identify and structure some experiences on-the-job that will expose the individual to challenges similar to those encountered in management jobs and build on formal training. In moving from being an individual contributor of “knowing the right answer” to a dominant role of “getting things done through others,” potential successors are encouraged to expand the scope of their teamwork beyond their own technical arena to other internal options (e.g., volunteering for the partnering issues teams) where lessons might include learning to obtain cooperation without authority and relying on others for the technical component. The Preparatory Program provides opportunities to work closely with managers (shadow, special assignments) for first-hand exposure to the responsibilities.

The New Manager's IDP is derived through input from the selecting official and the employee regarding the leadership competencies to target. This input is then integrated into the standard formal and on-the-job training components prescribed for all new managers. Once a new manager, who is also the first-line supervisor, is selected, he/she enters a formal program of development over the course of the first year to ensure successful transition to the new role as a member of the Volpe Center’s management team. The first year program for New Managers includes the following:

- **Orientation to Human Resources** where the manager is introduced to the roles and responsibilities of the various people and programs involved in managing human resources,

- **Formal training** that pertains to the individual manager's needs, as well as participation in the mandatory training programs that the Volpe Center provides for all managers (e.g., EEO for managers, Position Classification) and,
- **On-the-Job Development** activities which are documented in an IDP and support the competency areas identified as most important for the manager to work on. Part of the on-the-job development includes the Office Director serving as an informal mentor to the new manager, specifically to facilitate the manager's understanding of the institutional practices and requirements for the Volpe Center.

Experienced Managers: As part of the annual training plan, the Volpe Center provides specific resources for formal training of managers (GS-15) and executives (SES) both on an individual and group basis. Development frequently includes participation in programs provided as a result of affiliations with local universities (e.g., the Massachusetts Institute of Technology and Harvard University's John F. Kennedy School of Government) for specialized management development purposes (e.g., Managing the IT function, E-Government best practices). On-the-job development is ongoing for experienced managers and executives in several ways. They are gathered on a bimonthly basis for management team and management council (only executives) meetings where they discuss institutional and technical aspects of the Volpe Center's business. In addition, division managers are periodically provided with developmental opportunities to prepare for executive positions through rotations as the "Acting Deputy Office Director" during the Senior Executive's Office Director's absence. Similarly, executives may be rotated to the Volpe Center Deputy Director position during absences. IDPs for experienced managers and executives are available as are the Career Counseling services, which may include executive coaching for targeted on-the-job experiences.

Knowledge Sharing

The Volpe Center's core value as a "learning organization" and its reputation for providing for ongoing professional development are critical to ensuring a flow of talent in relation to future requirements, in attracting and retaining a highly motivated and talented workforce, and in achieving business objectives and results. This challenge has required innovation in the way the Volpe Center develops employees and manages the knowledge transfer of senior and departing employees. Some of the programs and practices that the Volpe Center has in place that involve the personal interaction aspects of knowledge sharing (as opposed to information systems and on-line resources) to support staff development and knowledge transfer include:

- The **Emeritus Program** that helps to ensure knowledge transfer from retiring technical and management staff who come back to work part-time. The Emeritus Program was designed to moderate the impact to critical technical and policy expertise. A Volpe Center emeritus can be an internal consultant helping newer staff members or individual contributors in order to ensure continuity on a project.

- **New Employee Orientation, Mentoring, and IDP programs** that all provide for knowledge sharing and transfer from senior employees to those assuming new positions or responsibilities. **New Employee Orientation** features seminars where managers and executives highlight their organizations' missions and programs and where senior employees share lessons they have learned. **Formal Mentoring** pairs key experienced employees as mentors with new staff to provide a supportive alliance that facilitates an understanding of the norms and culture of the Volpe Center while serving as a means for transferring knowledge from key performers. **Informal Mentoring** is built into the Management Development Program where the immediate supervisor acts as a "coach," providing context and guidance on the norms, practices, and procedures for handling issues and getting things done. **IDPs** provide a means for managers to discuss and share their knowledge of the organization's requirements with employees, identifying the specific competencies that will have both immediate and long term consequence for employees learning and growth.
- **On-the-job Training** that provides resources for experienced employees who are transitioning between direct projects and involved in developmental assignments/ activities (e.g., shadowing, apprenticing) to enhance specific competencies relevant to an expected next project's assignment.
- **Program Reviews** that provide opportunities for project leaders to review the status of their projects, including the objectives, context, approach, outcomes, and lessons learned among peers and managers. Senior managers share their wisdom in the discussion of issues or problems.
- **Expert Program** where non-supervisory, GS-15-level, nationally recognized experts lead, coordinate, and serve as a single point of contact for specific programmatic initiatives and disseminate their knowledge and understanding throughout the organization.

Executive and Supervisory Support

The Volpe Center's executives work together to provide guidance on the specific formal training programs and level of resources that will be available annually for management/leadership development. There is a specific part of the annual Training Plan and Budget committed to Executive and Management training. In addition, executives serve as informal mentors to newly selected supervisors, focusing on developing an understanding of the administrative/institutional values and practices at the Volpe Center. Executives serve as members of the selection interview panels for division chief positions and for preparatory program candidates. Executives provide on-the-job development opportunities for subordinate managers, frequently involving aspects of the executive management of the organization. Division chiefs, who are the direct supervisors, in turn provide on-the-job development opportunities for preparatory program candidates and ensure that the plan for development is carried out. Division chiefs serve as informal mentors for Preparatory Candidates who are carrying out assignments in their organizations, and they

provide feedback to the candidates. Executives provide input into the development of IDPs for their new supervisors and both division chiefs and executives provide input for preparatory program candidates based on their participation in the selection process and knowledge of the candidates' developmental needs.

Selection and Placement

OPM's leadership competencies were originally integrated into the Volpe Center's management development program when it was designed in 1993 and these competencies have evolved along with OPM's since then.

The criteria for candidates interested in being considered for selection for the preparatory program include: (1) an assessment of the management skills of the employee using the Volpe Center's competency model as a framework, (2) consideration of the employee's leadership experience, (3) the efforts the employee has made to develop leadership and management skills, (4) the employee's past achievements as evidence of their skills, and (5) an assessment of their interest, experiences, and past performance in leadership roles (e.g., project teams, task forces). Candidates who meet the basic criteria will be interviewed by a panel of managers and executives, using a "structured interview" type of process.

The criteria for candidates for supervisory/management positions include assessment against the supervisory quality ranking factor as well as further exploring the leadership and management competencies during the panel interview. The interview panel process for managers and executives includes use of a structured interview tool designed to assess critical leadership qualities and skills required of the Volpe Center's managers and executives as defined in the Volpe Center's core competency model. Those same requirements that are assessed for selection are also integrated into the process for developing an IDP and targeting developmental needs.

Continual Reassessment

A program assessment component is built into the Volpe Center's Leadership Succession/Management Development Program design and is integral to ensuring its ongoing effectiveness. The full scope of the assessment activities will entail several methods of input for the evaluation and evolution of the Leadership Development Program, including the selection and formal training processes, tools, and activities. The evaluation-related activities currently in place include:

The workforce planning system which provides data and projections on workforce needs, including management positions. This information will help determine the size of the leadership development (preparatory) candidate pool.

- The annual Training Needs Assessment that collects information on leadership skills training needed and which programs to continue and which to change.

- The survey conducted following the first year activities of the New Managers Program seeking feedback on the effectiveness of the program components and the materials.
- The IDP process requiring the employee and the supervisor to complete a competency assessment tool that serves as the basis for discussion of the contents and objectives of the IDP. The IDP includes the expected outcomes of the developmental experience and thus progress can be evaluated.

These activities will be supplemented by evaluation processes and tools to gauge the effect of the various activities and program components on leadership performance and effectiveness so that adjustments and continuing refinements can be made.

Attachments Available Upon Request:

Milestone Chart for Program Development and Implementation
Management Development Program Briefing Slides

Attachment 13 - RSPA's Diversity Action Plan

Goals	Performed By
<p><i>DOT GOAL 1:</i> Increase the participation of minorities, women and persons with disabilities in managerial and executive ranks.</p> <p><i>Performance Measure:</i> The Departmental Office of Human Resource Management will monitor the participation rate of the targeted groups through quarterly reports from each OA, and brief the Secretary's Diversity Advisory Council on progress.</p> <p><u>RSPA Actions Planned</u></p> <p>a. <i>Advancement Programs for Existing Employees</i></p> <ul style="list-style-type: none"> • Provide career development opportunities, through participation in the Aspiring Leader Program, for existing GS-5-7 level employees to assist them in becoming better qualified and more marketable for mid-level positions, and for GS-7-11 employees through participation in the New Leader Program. Programs with similar objectives may also be used when appropriate, particularly for field employees. • Provide career development opportunities for existing mid-level employees, to include participation in such programs as the Executive Leadership Program, the DOT Leadership Development Program, the DOT Mentoring Program, the DOT Rotational Assignment Program, Volpe project management certification, and assignments to special crosscutting projects. • Provide career development opportunities for senior level employees through the Executive Potential Program (GS-13-15), SES Developmental Seminars (GS-14-15), the Federal Executive Institute (GS-15 and SES), the DOT Rotational Assignment Program, and equivalent programs. <ul style="list-style-type: none"> - Selections for leadership development opportunities at all levels as described above will be through a competitive selection process open to all employees including diverse populations. - A baseline will be established and tracked in order to measure participation of minorities, 	<p>Supervisor/Managers HR CR</p>

<p>women and people with disabilities currently and for comparison in future years.</p> <ul style="list-style-type: none"> • Ensure that supervisors complete an Individual Development Plan (IDP) with all entry level employees and with any other employee who requests an IDP. • The Volpe Center will continue its local mentoring program and further explore the potential for developmental and training opportunities with Hanscom AFB, a major Air Force acquisition center for electronics systems. <p>b. <i>External Recruitment at all levels, targeting minorities, women and PWD</i></p> <p>The RSPA Recruitment Plan (Appendix A) contains external recruitment strategies and action items, such as:</p> <ul style="list-style-type: none"> • Create and maintain a recruitment pipeline with professional organizations such as Hispanic Professional Engineers (SHPE), National Society of Black Engineers (NSBE), and American Indian Science and Engineering Society. • Sponsor internships and CO-OP programs (such as the Student Temporary Employment and Student Career Experience Programs) • Senior level technical supervisors or managers will participate in diversity conferences and job fairs for recruiting purposes. (Appendix B contains a list of external contacts.) • To enhance recruitment of a diverse workforce on behalf of all DOT, RSPA will form ongoing recruiting relationships with University Transportation Centers (UTCs) and also provide information on UTCs to the other DOT OAs as a recruiting source for undergraduate and graduate students. 	<p>Senior Leadership Supervisor/Managers Employees HR CR</p>
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<p>DOT GOAL 2: Consistent with the Departmental Corporate Recruitment Plan, develop a recruitment and implementation plan over the next three years that maximizes access to diverse applicant pools.</p> <p>Performance Measure: The Departmental Office of Human Resource Management will monitor efforts and brief the Secretary’s Diversity Advisory Council on progress.</p> <p><u>RSPA Actions Planned</u></p> <p><i>See specific RSPA initiatives for diversity in the RSPA Recruitment Plan (at Appendix A).</i></p>	<p>Senior Leadership Supervisor/Managers HR CR</p>
<p>DOT GOAL 3: Develop plans to track and improve retention for those segments of DOT’s 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.</p> <p>Performance Measure: The Departmental Office of Human Resource Management will conduct an annual analysis of DOT’s attrition rates to measure progress.</p> <p><u>RSPA Actions Planned</u></p> <ol style="list-style-type: none"> a. The RSPA will implement a formal exit interview process and provide quarterly reports to senior management on reasons and trends in employee separations. b. The RSPA will implement a formal annual review and trend analysis of grievances/complaints. 	<p>CR HR</p>

DOT GOAL 4: Assess the needs for diversity training. Set goals and methods for meeting those training needs. Measure the effectiveness of the methods chosen.

Performance Measure: The Departmental Office of Human Resource Management and the Secretary's Diversity Advisory Council will review the goals and methods for diversity training.

RSPA Actions Planned

The results of the RSPA Cultural Audit that was conducted in FY 2000 provides information about a number of diversity issues and concerns as expressed by RSPA employees. Data and information from the Cultural Audit will be used to develop training plans and create baseline measures for comparative studies.

a. *Develop a RSPA-wide managing diversity education strategy that is consistent with the Department's goals*

- Provide mandatory Track A diversity training for all managers to include:
 - Training materials to integrate diversity management interventions into day-to-day work
 - Understanding "special hiring" authorities and their value in achieving diversity hiring goals
- Provide mandatory Track B diversity training for employees who have not received training for the past 5 years.
- Provide opportunities to have open forum discussions on general diversity issues throughout the year
- Support the DOT Special Emphasis Program (SEP) calendar of diversity events.

b. *Measuring Success/Failure*

- Track training participation throughout the year
- Conduct follow-up evaluations with training participants
- Exit interviews

CR
HR

<p>DOT GOAL 5: Improve the way data are gathered, analyzed, and communicated in connection with assessments of the organization’s diversity status and the effectiveness of diversity initiatives.</p> <p>Performance Measure: The Departmental Office of Human Resource Management will establish a diversity data task force to identify the functional requirements for data that focus on a diverse work force at DOT.</p> <p>Each organization’s final action plan will include a schedule for annual assessment against the goals and measurement approaches it has established. The results of these annual assessments will be communicated to all employees through the RSPA intranet.</p> <p><u>RSPA Actions Planned</u></p> <ul style="list-style-type: none"> • The Volpe Center EEO Office will gather and prepare statistical reports on demographics, accessions, attritions and promotions for all of RSPA. • Reports will be produced and shared with Management through RSPA Headquarters Civil Rights Office on a quarterly basis. • Reports will be used as one input for performance assessment of supervisors, managers and executives against the mandatory diversity performance objective. • Reports will be used as support information for the previous 4 goals. • Reports will be posted annually on the RSPA website. 	<p>CR HR Senior Leadership</p>
<p>DOT GOAL 6: Develop a demographic workforce profile to compare with available Relevant Civilian Labor Force (RCLF) data. The RCLF is that portion of the national labor force that is prepared for a particular occupation, as reflected in U.S. Census data.</p> <p>Performance Measure: The Departmental Office of Human Resource Management will provide RCLF data on its website. Each organization will include demographic comparisons as part of its annual assessment.</p>	

<p><u>RSPA Actions Planned:</u></p> <ul style="list-style-type: none">• The OST Diversity Data Task Force will develop a demographic workforce profile program for the Department. RSPA will initiate their use for reporting purposes. In the interim, RSPA will use the Volpe Center's Excel program for accessing demographic workforce statistical information necessary for analysis and reporting.	CR HR
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Attachment 14 - RSPA's Recruitment Plan for Professional and Technical Positions: FY 2003-2005

INTRODUCTION

The Research and Special Programs Administration (RSPA) comprises six distinct programs or operations: the Office of Pipeline Safety, the Office of Hazardous Materials Safety, the Office of Emergency Transportation, the Office of Innovation, Research and Education, the Transportation Safety Institute, and the Volpe National Transportation Systems Center (Volpe Center). These programs collectively advance all five of the Department of Transportation's (DOT) strategic goals as well as the DOT's organizational excellence goal. RSPA has been authorized 957.5 full-time equivalents (FTEs) to accomplish this work, leveraging its expertise through the use of contractors, associate staff, and emergency contingency staff as well as through inter-modal, state and local government, and industry partnerships.

RSPA conducted a workforce analysis in June 2001, addressing mission critical occupations in support of the development of a workforce restructuring plan required by the Office of Management and Budget (OMB). This recruitment plan describes specific recruitment strategies for increasing diversity in the workforce in those same mission critical occupations. It emphasizes recruitment of people with disabilities and Hispanics because they are the largest underrepresented groups in the Department. In accordance with the Department's requirements for the plan's components, the attached information is provided.

RSPA Diversity Profile as of March 31, 2003

	Total	Other	American Indian	Asian Pacific	African-American	Hispanic	People with Disabilities	People with Targeted Disabilities
Total RSPA Workforce	999	782	3	60	102	52	54	15
% of RSPA Total Workforce	100%	78.3%	.3%	6.0%	10.2%	5.3%	5.4%	1.5%
% of Civilian Labor Force (CLF)	100%	72%	.9%	3.9%	11.3%	11.8%	11%	6.00%
CLF % x RSPA Total Workforce (999)		719	9	39	113	118	110	59

*Total workforce includes full-time and part-time permanent, term and temporary employees and students.

Item 1. The total number of position that are anticipated to be filled in each of the fiscal years FY 2003 through FY 2005, broken down by occupations and grade ranges.

Grades:	FY 2003			FY 2004			FY 2005		
	5-7	9-12	13-15	5-7	9-12	13-15	5-7	9-12	13-15
Attorney-Advisor, GS-0905	-	1	-	1	13	1	-	2	1
Program Specialist, GS-0301	-	3	3	-	1	2	-	1	2
Engineer, GS-0800	9	8	42	12	10	31	7	9	18
Operations Research Analyst, GS-1515	1	3	2	2	4	4	3	3	5
Transportation Industry Analyst, GS-2110	1	-	4	-	-	1	-	1	2
Engineering Psychologist, GS-0180	1	1	-	2	-	-	-	-	-
Economist, GS-0110	5	1	1	-	-	-	1	1	-
Training & Information Specialist, GS-1001	-	2	-	-	-	-	-	1	-
Physical Scientist, GS-1300	-	-	1	-	-	-	-	-	-
Transportation Specialist, GS-2101	2	7	15	10	14	17	3	3	5
All Other Positions (includes admin and management)	8	11	19	8	8	18	6	9	8
TOTALS	27	37	87	35	50	74	20	30	41

Item 2. The total number of positions that are anticipated to be filled in each fiscal year from external sources, e.g., from outside the Department, broken down by occupations and grade ranges.

AND

Item 3. For FY 2003 and FY 2004, the external recruitment number are further broken down by the quarter in which the position(s) are anticipated to be filled.

Grades:	FY 2003			FY 2004*			FY 2005		
	5-7	9-12	13-15	5-7	9-12	13-15	5-7	9-12	13-15
Attorney-Advisor, GS-0905 - Total	–	1	–	1	13	1	–	2	1
First Quarter		–		–	–	–			
Second Quarter		–		–	2	1			
Third Quarter		1		1	–	–			
Fourth Quarter		–		–	11	–			
Program Specialist, GS-0301-Total	–	2	2	–	1	2	–	1	2
First Quarter		–	2		–	–			
Second Quarter		–	–		1	1			
Third Quarter		2	–		–	1			
Fourth Quarter		–	–		–	–			
Engineer, GS-0800 - Total	9	8	26	12	10	27	7	9	10
First Quarter		1	5	–	2	3			
Second Quarter		1	6	3	4	7			
Third Quarter	4	2	2	4	4	8			
Fourth Quarter	5	4	13	5	–	9			
Operations Research Analyst, GS-1515 - Total	1	3	2	2	4	4	3	3	5
First Quarter		–	–	–	3	2			
Second Quarter		1	1	–	–	1			
Third Quarter		–	–	1	1	1			
Fourth Quarter	1	2	1	1	–	–			
Transportation Industry Analyst, GS-2110 - Total	1	–	4	–	–	1	–	1	2
First Quarter	1		–			–			
Second Quarter	–		1			1			
Third Quarter	–		–			–			
Fourth Quarter	–		3			–			

Grades:	FY 2003			FY 2004*			FY 2005		
	5-7	9-12	13-15	5-7	9-12	13-15	5-7	9-12	13-15
Engineering Psychologist, GS-0180 - Total	1	1	–	2	–	–	–	–	–
First Quarter	–	–	–	–	–	–	–	–	–
Second Quarter	1	1	–	2	–	–	–	–	–
Third Quarter	–	–	–	–	–	–	–	–	–
Fourth Quarter	–	–	–	–	–	–	–	–	–
Economist, GS-0110 - Total	5	1	1	–	–	–	1	1	–
First Quarter	–	–	–	–	–	–	–	–	–
Second Quarter	1	–	–	–	–	–	–	–	–
Third Quarter	2	–	–	–	–	–	–	–	–
Fourth Quarter	2	1	1	–	–	–	–	–	–
Training & Information Specialist, GS-1001 - Total	–	2	–	–	–	–	–	1	–
First Quarter	–	–	–	–	–	–	–	–	–
Second Quarter	–	2	–	–	–	–	–	–	–
Third Quarter	–	–	–	–	–	–	–	–	–
Fourth Quarter	–	–	–	–	–	–	–	–	–
Physical Scientist, GS-1300 - Total	–	–	1	–	–	–	–	–	–
First Quarter	–	–	–	–	–	–	–	–	–
Second Quarter	–	–	1	–	–	–	–	–	–
Third Quarter	–	–	–	–	–	–	–	–	–
Fourth Quarter	–	–	–	–	–	–	–	–	–
Transportation Specialist, GS-2101- Total	2	7	3	10	13	17	3	3	3
First Quarter	–	–	–	–	3	3	–	–	–
Second Quarter	–	–	1	2	4	4	–	–	–
Third Quarter	–	3	1	4	3	5	–	–	–
Fourth Quarter	2	4	1	4	3	5	–	–	–

All Other Positions (includes admin. & management) - Total	8	11	13	8	8	17	6	9	8
First Quarter	1	1	1	–	–	4			
Second Quarter	4	2	3	2	4	5			
Third Quarter	2	2	2	2	3	3			
Fourth Quarter	1	6	7	4	1	5			
TOTALS	27	36	52	35	49	69	20	30	31

*Includes 68 new positions requested in the FY 04 budget. Projections may need to be adjusted if positions are not approved.

Item 4. Strategy for Meeting External Recruitment Needs.

Within each group of positions, recruitment strategies include efforts aimed at increasing the number of well-qualified diversity candidates, with particular emphasis on Hispanics and People with Disabilities, particularly those with “targeted” disabilities.

To meet external recruitment needs at the GS-5-7 level:

Strategy	Performed By
<p>RSPA will recruit and fill a minimum of 25% of its professional vacancies at the entry level. A request to advertise a vacancy at other than the entry level will include a justification for recruiting a non-entry-level employee.</p> <p>The primary recruitment source will be students in the Student Career Experience Program (SCEP) as a staffing pipeline for permanent entry-level positions.</p> <p>Positions at the GS-5-7 level will be filled from conversions of undergraduate students from the SCEP</p> <p>We will form ongoing relationships with University Transportation Centers, Minority Serving Institutions, Historically Black Colleges and Universities, and Hispanic American Colleges and Universities.</p> <p>We will establish relationships with on-campus minority student organizations.</p> <p>In partnership with the Department of Transportation’s DOT Connection, RSPA will participate in college career fairs.</p>	<p>HR Staff and RSPA Managers</p>

Strategy	Performed By
<p>RSPA will participate in the Transportation Career Intern Program when the Department launches the program.</p> <p>RSPA’s Volpe Center Human Resources Staff, accompanied by hiring managers and other technical staff will attend:</p> <ul style="list-style-type: none"> • on-campus career fairs including both campus-wide and those hosted by minority student groups at: Massachusetts Institute of Technology, Boston University, University of Massachusetts, Northeastern University, and Tufts University • “Northeast” regional career fairs sponsored by the Society of Hispanic Professional Engineers and the National Society of Black Engineers • the job fair in the Boston metropolitan area for People with Disabilities with focus on recruiting people with “targeted” disabilities 	

To meet external recruitment needs at the GS-9-12 level:

Strategy	Performed By
<p>RSPA will utilize the Presidential Management Intern Program, participating in the Office of Personnel management’s PMI Job Fair in April of each year.</p> <p>Positions at the GS-9-12 level will be filled from conversions of graduate students from the SCEP.</p> <p>In partnership with the DOT Connection, RSPA will participate in job fairs, particularly those that target diverse groups.</p> <p>Each RSPA program office will identify an employee in a mission critical occupation to represent RSPA at recruitment activities, particularly those activities where a largely diverse population would be expected.</p> <p>RSPA’s Volpe Center will attend the job fair in the Boston metropolitan area for People with Disabilities with focus on recruiting people with “targeted” disabilities.</p>	<p>HR Staff and RSPA Managers</p>

To meet external recruitment needs at the GS-13-15 level:

Strategy	Performed By
RSPA will identify and advertise in publications with an audience consisting of largely Hispanics and other minorities.	HR Staff
We will maintain a database of websites maintained by minority organizations, and regularly post our vacancy announcements.	HR Staff
We will post positions on national trade association websites such as those hosted by the American Planning Association.	HR Staff and RSPA Managers
We will utilize public exposure on national web-based recruitment sources such as Monster.com.	HR Staff
Senior level program office employees will establish networks with minority organizations.	RSPA Managers

Item 5. Recruitment of People with Disabilities.

Strategy	Performed By
Information on agency opportunities will continue to be disseminated to a wide array of organizations and constituencies representing diverse populations.	HR Staff
We will target 30% disabled veterans by disseminating agency employment opportunities to veterans affairs organizations.	HR Staff
In partnership with the DOT Connection, we will participate in job fairs targeted for individuals with disabilities.	HR Staff and RSPA Managers
We will establish on-going relationships with the DC, Maryland, Massachusetts, Oklahoma, and Virginia State Rehabilitation agencies.	HR Staff
RSPA will work with the DOT Disability Resource Center to provide assistance in developing skills for managers in interviewing and hiring people with disabilities.	HR Staff
We will participate in the Workforce Recruitment Program (WRP) to solicit resumes of people with disabilities.	HR Staff

Strategy	Performed By
<p>Specifically, RSPA will conduct targeted recruitment to locate candidates with disabilities to fill 6-8 of the following anticipated position vacancies:</p> <ul style="list-style-type: none"> - Attorney, GS-0905 - Operations Research Analyst, GS-1515 - Transportation Specialist, GS-2101 - All Other Positions (includes administrative and management) 	<p>HR Staff and RSPA Manager</p>

Item 6. Recruitment for Entry-level Positions and Building a Student Pipeline.

Number (or percentage) of positions specifically set aside for students and for entry-level positions in FY 2003 and FY 2004:

RSPA will recruit and fill a minimum of 25 percent of its professional vacancies at the entry level in FY 2004; 20 percent will be set aside for students. In FY 2003, RSPA will phase in its recruitment plan with a target to fill 20 percent of its professional vacancies at the entry level, with 15 percent for students.

Specific sources to be used to identify candidates for both student employment and entry-level employment opportunities:

- The Student Career Experience Program (SCEP) will be the primary source for filling these permanent entry-level positions. Currently, RSPA’s Volpe Center make extensive use of the SCEP for filling its entry-level positions and will maintain its current level of 40-50 SCEP students.
- RSPA will form ongoing relationships with University Transportation Centers (UTCs) and also provide information on the UTCs to the other DOT Administrations and encourage them to use UTCs as a recruiting source for undergraduate and graduate students.
- We will designate an outreach coordinator to make personal contacts with university career counselors and career/placement offices.
- RSPA currently has established relationships with the University of Maryland, the Massachusetts Institute of Technology, Boston University, the University of Massachusetts, Northeastern University, and Tufts University for hiring students in the SCEP. We will expand our partnerships to include the UTCs and academic institutions with high numbers of Hispanic students. RSPA’s Volpe Center will specifically establish recruitment contacts with the University of Puerto Rico-Mayaguez.

- We will provide information regarding RSPA to career counselors and general marketing at colleges and universities describing opportunities at RSPA.
- RSPA will continue to administer the Department's Honors Attorney program to bring in entry-level law clerks at the GS-9 level as a staffing pipeline for attorney positions that go to a journeyman level of GS-14.
- In FY 04, RSPA also anticipates piloting its proposed internship program, the Recruitment And Professional Intern Development (RAPID) program that is based on the guidelines of the Federal Career Intern Program. We anticipate up to two hires at the entry level for participation in the pilot. (An overview of the program is provided at the end of this plan.)

Detailed plan for training and mentoring both students and entry-level employees:

- RSPA program managers will designate a mentor for each student employed.

RSPA supervisors will develop with each student a formal agreement with the university, identifying classroom and on-the-job training to be provided for SCEP students.

- RSPA will require each entry-level employee to complete with their supervisors the agency's IDP that provides documentation of the employee's short/long term goals, organizational goals, competencies needed to perform current and future job duties, and specific development and training activities to obtain the needed competencies.
- RSPA has provided a web-based on-line learning program for employees to ensure that continuous learning opportunities are available to all employees. All employees have access to GoLearn courses and other learning resources which enable them to learn at their own speed and when their work schedule permits.

Detailed plan for moving students, both paid and unpaid, through the staffing pipeline to permanent employment:

- We plan to bring employees into the workforce primarily at the lower grade levels to create a staffing pipeline for meeting our mission critical long-term needs.
- As vacancies occur, we plan to request that supervisors establish career ladder positions and backfill positions at lower grade levels.
- RSPA will set aside appropriate FTE for converting SCEP students to permanent appointments.
- RSPA's Volpe Center will maintain its historical rate of 10-12 students converted to career-conditional appointments each fiscal year.

Human Resources and EEO Staffs will meet quarterly to review progress in the diversity of students hired.

A detailed plan for incorporating the recruitment of underrepresented groups, specifically Hispanics and people with disabilities, into this initiative. Address the recruitment of any other group that is underrepresented:

Detailed plans for incorporating underrepresented groups into this initiative have been addressed in the individual grade groups on Strategies for Meeting External Recruitment Needs and Recruitment of People with Disabilities. In addition to those activities:

- RSPA will also provide information on the University Transportation Centers (UTCs) to the other DOT Administrations to encourage the UTCs as a recruiting source for undergraduate and graduate students.
- This plan and all updates will be distributed to all RSPA program offices. Each RSPA office will submit its plan annually for carrying out these requirements.
- RSPA will require a job element in each supervisor's performance standards on "obtaining and maintaining a diverse workforce."
- We will include diversity as a required competency for supervisory training.
- We will put into place a web link on employment opportunities on RSPA's site to attract students, individuals with disabilities, and others to increase interest in the agency. We will specifically include a link to the UTCs.

Overview of Recruitment And Professional Intern Development (RAPID) Program

RSPA's Office of Civil Rights has developed a prototype internship program, RAPID, to create a small but steady stream of qualified employees in mission-critical occupations in RSPA. This program uses the flexibilities of the Federal Career Intern Program to provide for a two-year full-time professional internship to prepare entry-level college graduates to meet RSPA's strategic challenges. Interns would receive formal training and developmental assignments and other opportunities designed to help them acquire the appropriate competencies needed for conversion to career or career-conditional employment. They would be required to develop and follow an Individual Development Plan (IDP) to be determined collaboratively with managers and coaches and complete a number of mandatory courses. The RAPID internship program would also provide for current employees with leadership potential the opportunity to develop managerial, coaching and mentoring skills. Current plans call for a pilot of the RAPID program to be conducted in FY04.