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United States Department of State

Washington, D.C. 20520

SEP 15 2014

Case No. F-2013-15643

Segment: CSO-0001

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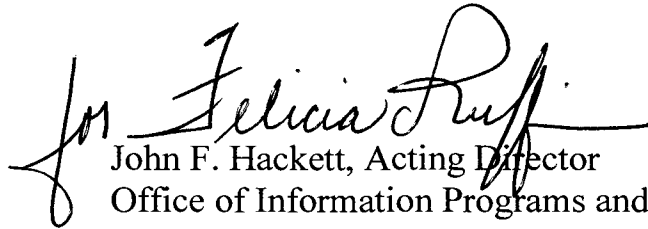
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We hope that the Department has been of service to you in this matter.

Sincerely,

A handwritten signature in black ink, appearing to read "John F. Hackett". The signature is written in a cursive style with a large, prominent "J" and "H".

John F. Hackett, Acting Director
Office of Information Programs and Services

Enclosures:
As stated.

Workforce Assessment and Plan

July 10, 2009

RELEASED IN FULL

Prepared by Lindholm & Associates

REVIEW AUTHORITY: Charles Lahiguera, Senior Reviewer



***Department of State
Office of the Coordinator
for Reconstruction and Stabilization***

TABLE OF CONTENTS

I. Executive Summary	3
II. Introduction	10
-Assessing S/CRS	10
-Steps Taken in the Assessment Process	10
III. S/CRS Organizational Structure	11
-History and Background of S/CRS	11
-Mission, Vision, and Goals	12
S/CRS Mission	12
S/CRS Vision	12
S/CRS Goals	12
-Core Objectives	13
-Current Organizational Structure	13
-Current Organizational Chart	14
Description of Office Functions	14
<i>Office of the Coordinator</i>	14
<i>Strategic Communications Office</i>	15
<i>Planning Office</i>	15
<i>Resource Management Office</i>	15
<i>Civilian Response Operations Office</i>	15
<i>Civilian Response Corps – Active</i>	16
<i>Civilian Response Corps – Standby</i>	16
<i>Civilian Response Corps - Reserve</i>	16
<i>Conflict Prevention Office</i>	16
-S/CRS Staffing Levels as of July 2, 2009	17
IV. Current Workforce Structure Issues	18
-Front Office Span of Control and Reporting	18
Balancing Leadership between Civil Service and Foreign Service	18
Span of Control and Reporting Relationships	18
Need for Additional Front Office Positions	19
Senior Level Positions	19
-Legislative and Budget Limitations on Staffing Levels and Workforce Blend	20
Effort Required to Stand up Reserve Corps	21
-Need to Clarify Overlapping/Conflicting Office Roles and Responsibilities	21
Managing Resources	22
Managing Planning Responsibilities	22
-Training	23
-Need for Capacity at All Levels [Entry, Intermediate, and Journey]	23
Civil Service Career Ladders	23
Career Paths and Career Patterns	25
V. S/CRS Future Staff	26
-S/CRS Staff Levels by End of FY 2011	26
-Emerging Skill and Competency Requirements	27
What Are Competencies?	27
Current and Future S/CRS Competencies	27
<i>Front Office</i>	27
<i>Strategic Communications</i>	27
<i>Planning</i>	28
<i>Resource Management</i>	28
<i>Civilian Response Operations</i>	28
<i>Conflict prevention</i>	29

S/CRS Workforce Assessment and Plan
July 10, 2009

Leadership Competencies	29
-Future Competency Gaps	31
VI. Closing the Gaps	32
-Improving Span of Control and Clarifying Reporting Relationships	32
Establish New Deputy Coordinator Position	32
Establish New Chief of Staff Position	32
Establish Senior-Level Positions for Foreign Service and Civil Service	33
Clarify Specific Roles and Functions to Minimize Overlap	34
Establish Strategic Planning Group	34
-Budget/Staffing	35
-Building Capacity at all Levels (Entry, Intermediate, and Journey)	36
Establishment of Career Ladders and Career Paths/Patterns	36
Require Learning Agreements and Leadership Development Training	37
Use of Executive Coaches	37
Recruiting Staff	38
-Retaining Staff	40
-Training and Developing Staff	41
-Creating a High Performance Organization's Culture and Work Environment	42
VII. Implementation Strategies	44
APPENDIX A: Competencies	49
-Competencies Defined	49
APPENDIX B: Hiring Flexibilities	53
-Recruitment and Hiring Flexibilities	53
Federal Career Intern Program	53
Student Educational Employment Programs	53
SCEP	54
STEP	54
Hiring of Peace Corps	54
Presidential Management Fellows (PMF)	54
Pickering Fellows	54
Student Loan Repayment	55
Tuition Assistance	55
Waiver of Dual Compensation Restrictions	55
Recruitment Bonuses	55
Direct Hire Authorities	55
Veterans Recruitment Authority (VRA)	56
Superior Qualifications	56
Travel and Transportation Expenses for Interviews and/or New Appointments	57
Advanced Payments for New Appointees	57
Bilingual/Bicultural Program	57
30% or More Disabled Veterans	57
Hiring of Persons with Disabilities	57
-Retention Flexibilities	58
Relocation Incentives	58
Retention Allowances	58
Referral Bonus	59
Incentive Awards	59
APPENDIX C: Study Interviewees and Off-site Participants	60
-Participants in May 19, 2009 Off-site	60
-Study Interviewees	60

I. Executive Summary

In May 2009, the Office of the Coordinator for Reconstruction and Stabilization (S/CRS) undertook an overall assessment of the organizational and workforce structures necessary to address the increasing and changing program requirements for S/CRS. This review was focused on determining the right mix of skills and talent and the best way to blend them in an effective, cohesive organizational structure. The assessment was intended to yield final recommendations which would align with S/CRS's articulated mission, vision, and strategic goals.

This report represents the findings and recommendations of that assessment.

S/CRS's mission is:

"To prevent or mitigate conflict and help stabilize and reconstruct societies at risk of, in, or in transition from conflict or civil strife by building, leading, managing, and institutionalizing an effective US Government civilian response capacity. This capacity will coordinate and integrate all appropriate US government assets; utilize rigorous assessment, planning and metrics tools; and include a rapidly deployable, well-trained civilian force."

S/CRS works across the U.S. Government and with the world community to anticipate state failure, avert it when possible, and help post-conflict states lay a foundation for lasting peace, good governance, and sustainable development.

S/CRS is comprised of six organizational components:

- The Office of the Coordinator
- Strategic Communications Office
- Planning Office
- Resource Management Office
- Civilian Response Operations Office
- Conflict Prevention Office

S/CRS has not yet reached its organizational maturity and is still in the growing stage. At present, not all of the operational funds anticipated for all of the organization's functions have been received and full staff level requirements have been only partially authorized. The current staff composition is reflective of this reality.

It is important to note that S/CRS, in existence for less than five years, was organized and stood up as efficiently as possible, given the piecemeal nature of its authorization and funding. The organization has been able to establish and staff key functions and operations through aggressive and successful use of a combination of Federal employees, contractors, and detailees. Now S/CRS is at a point where long-term workforce planning will provide a strategic framework to guide future staffing, development and management decisions.

S/CRS Workforce Assessment and Plan
July 10, 2009

Issues Affecting Current Workforce Structure:

1. Front Office Span of Control and Reporting

Balancing Leadership between Civil Service and Foreign Service

The two current Deputy positions have not been staffed on a permanent basis. Currently, they are filled on an acting basis by a Foreign Service Officer (FSO) and a USAID detailee. FSOs, by the nature of the Foreign Service, are generally not long-term employees in a specific organization, rotating on a regular basis to other parts of the Department. Additionally, most S/CRS organizations' office directors are currently FSOs. As such, it is a certainty that there will be predictable and continual turnover in key leadership positions in S/CRS. Staffing the top positions exclusively with FSOs and detailees from other agencies leaves two of the more critical leadership positions in the organization, as well as key management positions, subject to on-going change and turnover.

Span of Control

The current organizational structure is not reflected in the actual management and reporting structure of S/CRS. The Coordinator is supported by two Deputy Coordinators and at least four advisors report directly to the Coordinator. In addition, five office directors all report generally in a direct nature to the Coordinator. This broad span of control is unwieldy and complicates decision-making and accountability.

Contributing to the span of control issue is the need for balanced Foreign Service and Civil Service representation in key leadership positions as well as on-going vacancies and non-permanent assignments in leadership positions. Overall, the reporting structure is not as efficient as it could be.

Need for Additional Front Office Positions

S/CRS may wish to consider the creation of a new Deputy Coordinator within the Office of the Coordinator to enable the organization to designate a Principal Deputy Coordinator position to focus on the total operation and cross-cutting issues S/CRS must address during its future growth. The remaining two Deputy Coordinators would report to the Principal Deputy Coordinator and be responsible for the daily office operations.

S/CRS may also wish to consider creating a Chief of Staff position which could help alleviate much of the burden currently on senior leadership and help alleviate logjams in the most senior decision-making and management areas of the organization. The Chief of Staff would serve a staff role and serve as a buffer between the Coordinator and Deputies.

Senior Level Positions

Currently, most of the senior positions in S/CRS are classified as Senior Foreign Service (SFS) with GS-15 managers occupying the remaining ones. This structure, with additional senior Foreign Service officers serving on Y tours, has provided the level of leadership necessary to set up and organize S/CRS during its early stages. However, now that the organization is more institutionalized with greater and more complex responsibilities placed on its leaders, it is time to evaluate the right mix for defined leadership roles by SFS and Civil Service senior executives/leaders.

In the Civil Service system, senior executives are classified in the Senior Executive Service (SES) when they are encumbering supervisory, managerial, or policymaking positions that are evaluated above the GS-15 level. Classification and recruitment of SES positions are approved by the Department's Executive Resources Board under an allocation

delegated by OPM to the Department. There is another category of Civil Service positions that are above the GS-15 level. These positions are called Senior Level (SL) and include positions whose duties are above the GS-15 level but do not meet the SES criteria.

The S/CRS leaders who are currently GS-15 managers carry out duties and responsibilities which may be described at the SES level, depending on each one's ability to exercise final authority for his/her decisions. In addition, these same GS-15 managers are often interacting with senior leaders who are SES members from other departments and agencies or from within the Department as well as executive-level external stakeholders outside of the Federal government.

With the current and anticipated supervisory, managerial and policy-making demands being placed on S/CRS's Civil Service leadership, S/CRS appears to be in a strong position to request SES slots for its top CS leadership positions. The Director of the Civilian Response Corps program should support an SES allocation and classification, and the position of Director of the Resource Management Office (RMO) may be supportable at the SES level or as an SL, depending on the Department's determination.

2. Legislative and Budget Limitations on Staffing Levels and Workforce Blend

S/CRS has very effectively leveraged contractors, Foreign Service Y-Tours, and detailees from other agencies to rapidly augment its expertise and serve immediate needs to grow and expand. In the long run, the use of "non-permanent" staffing arrangements such as this may begin to take a toll on the organization, directly affecting institutional knowledge and experience, continuity of operations, etc.

Many of the contractor, detailee, temporary employee, and Foreign Service Y Tour positions should be "regularized" to permanent positions so that institutional knowledge, continuity, and stability are preserved.

Effort Required to Stand up Reserve Corps

In the very near term, S/CRS faces the prospect of staffing up the 2000 member Civilian Response Corps Standby component (CRC-R). S/CRS faces an enormous amount of work to begin recruiting, identifying, selecting, and tracking the individuals who will eventually comprise this vital Corps. In the short term, the initial 500 CRC-R positions must be filled through a significant effort on the part of all S/CRS components and their partners to most likely meet tight timeframes and workload demands.

3. Need to Clarify Overlapping/Conflicting Office Roles and Responsibilities

S/CRS has met many challenges in its developmental stage. Staffing shortages are being addressed by outsourcing, Foreign Service Y tours, Civil Service temporary and term appointments, and details. S/CRS did not achieve these important achievements by working in stovepipes. Instead people worked across office lines to achieve results. Notwithstanding these significant accomplishments, as S/CRS increases in staff size and locations, it is important that S/CRS leadership recognizes that lines of effort should fit into organizational structure to ensure better coordination and communication of direction. An appropriate segmentation of responsibilities consistent with organizational structure and functions reduces the overlap of effort while improving an organization's performance and effectiveness. Examples of S/CRS cross over and functional overlap are managing resources, and overlaps in planning functions.

4. Training

S/CRS relies on its Office of Civilian Response Operations (CRO) to develop and coordinate the critical training function. Currently, this staff operates with contractors, detailees from other agencies, and borrowed S/CRS staff. CRO is aware that the filling of existing vacancies is essential to continued success. CRO has been forced to look to contractor support during its first year operation in part due to lack of FS and GS positions. CRO should continue to use sound business case analysis to determine if direct hire or contract resources are appropriate.

5. Need for Capacity at All Levels [Entry, Intermediate, and Journey]

S/CRS is flat near the middle and top of the organization. There are virtually no permanent federal FTEs encumbered at grades GS-5/7 through 12. This lack of a talent pipeline will likely generate issues in the years ahead.

As senior employees leave (due to reassignments and retirements, as examples), there will be a void of skilled and experienced journey level employees ready to move up and assume responsibilities and manage operations and programs. Institutional knowledge will be lost, and the cost of recruiting and hiring replacements ready to step into senior positions will be expensive and difficult at best.

As S/CRS matures, the need for the establishment of formal career ladders will become more evident. Establishment of Civil Service career ladders for S/CRS would require the appropriate review and development of position descriptions at the entry, intermediate and full performance grade levels. In addition, a determination must be made that there is sufficient work to sustain all employees within a career ladder at the full performance level.

Career paths have not traditionally been as clearly defined in Civil Service occupations as they are in the Foreign Service. For many Civil Service occupations, movement to higher-graded positions is generally through a career ladder or "stove-pipe" kind of progression. To successfully introduce career paths in an organization, consideration should be given to the real potential for cross-over of staff among occupations and the organization's capacity to support movements requiring additional developmental activities or support to the staff. Career patterns are a new introduction to the Federal government, expanding the concept of career paths to account for employer-employee relationships across a variety of dimensions.

S/CRS Staff Levels by End of FY 2011

S/CRS will have a significant increase in staff over the next two fiscal years, and additional growth is anticipated after FY 2011.

While Foreign Service positions are projected to increase by 50% of their current number, they will remain 22% of the total workforce in 2011. Contractors will remain almost numerically unchanged, but will decrease from 44% of the staff to 33%. The most significant increase is the projection of a 250% increase in civil service positions. Civil Service employees will not only grow from 22 as of July 2009 to 56 at the end of FY 2011, they will increase from 17% of the workforce to 35% of the workforce.

The planning and management of that growth will be critical to S/CRS's effectiveness and ability to retain high performing civil service staff members. This staff transition marks a decided shift from a rapidly deployed team comprised of readily available contractors, detailees, and Y Tours, to a stable and steady staff built to maintain institutional knowledge, depth of experience, leadership pipelines, and longer-term success and continuity.

S/CRS Workforce Assessment and Plan
July 10, 2009

Based on interviews and study of S/CRS's future needs and available staffing levels and resources, the proposed 2011 staffing table (included in S/CRS's Bureau Strategic Plan and this report) reflects an appropriate and manageable number of staff going through the end of FY 2011. It includes a shift away from a current heavy contractor component, and includes the regularization of numerous non-permanent positions. This report validates and confirms that recent assumptions put forward in S/CRS's recent Bureau Strategic Plan (BSP) estimates and budget program needs are in line with S/CRS's needs.

Emerging Skill and Competency Requirements

Current and Future S/CRS Competencies

Interviews with S/CRS leadership indicated that the current staff (which includes almost half contract personnel) possesses the requisite competencies to accomplish the organization's mission. Based on these interviews as well as review of the current organization's mission statement, core objectives and positions, critical competencies – general and technical – have been identified for all offices.

Future Competency Gaps

While S/CRS leadership expects competencies to remain relatively the same as the organization grows and evolves, there could be future circumstances that impact the criticality and requirement of certain competencies, particularly those of a technical nature. S/CRS should continue to monitor and assess its competency requirements to ensure that the right people with the right skills and competencies are being hired, promoted and trained. Also, while the competencies themselves may not change, the need for more individuals possessing certain competencies may increase. Thus, S/CRS managers should ensure that they are factoring in competency gaps and needs when recruiting and training their workforce.

Closing the Gaps

Recommendations:

- S/CRS should establish a third Deputy Coordinator position, assign the Principal Deputy Coordinator to the Office of the Coordinator, and assign the two remaining Deputies as Deputy Coordinator for Operational Support and Deputy Coordinator for Operations.
- S/CRS should establish a senior Chief of Staff position to assist the PDC and other Deputy Coordinators in serving as "front office manager."
- S/CRS should establish a precise order and process for vetting issues and ensuring all S/CRS actions and paperwork are prepared consistent with NSC, Department of State, or interagency protocol and process.
- S/CRS should ensure that, as the organization grows in numbers and responsibilities, an Office Director position filled with an FSO is balanced with a Deputy Office Director in the Civil Service (or vice versa). S/CRS should work with A/EX/HRD to determine in which offices this arrangement would be supportable. The two Deputy positions could be similarly staffed so that both are never encumbered at the same time by FSOs or other agency detailees.
- S/CRS should work with A/EX/HRD and the Department's HR officials to evaluate and appropriately classify its senior Civil Service positions as SES and/or SL in the case of the Director of RMO.

S/CRS Workforce Assessment and Plan
July 10, 2009

- S/CRS should ensure necessary paperwork and approvals are secured to fill Deputy Coordinator and any open SFS Office Director positions as well as SES/SL positions in the Civil Service.
- S/CRS should incorporate, into its annual strategic planning process, future evaluations of its other Office Director positions for the potential for additional SFS and/or SES/SL positions.
- S/CRS should review and issue final revised functional statements for all organizations and ensure organizational understanding of roles.
- S/CRS should establish a formally chartered Strategic Planning Group comprised of agency leadership, key managers, and support office heads to coordinate, revise, update, and issue operating plans that are carefully linked to specific agency strategic goals.
- For the coming year, S/CRS should target the addition of new staff under the "Other" category by recruiting 4 – 6 SCEP students (either baccalaureate or graduate level), hiring 1 former Peace Corps individual, and expanding the numbers of Presidential Management Fellows and/or Pickering Fellows to a combined total of 3. By starting with reasonable numbers, S/CRS will ensure that the existing staff will have time to determine how to effectively use the new recruits and to focus on developing and implementing a new Career Intern Program to be included with these programs in the next recruitment round. The recruitment efforts for all programs will include a goal of improving workforce diversity.
- S/CRS should work with its Human Resources experts including A/EX/HRD to explore development of career ladders for its most critical program occupations. These career ladders would then serve as the foundation for recruitment efforts at multiple grade levels.
- In conjunction with the development of career ladders for its mission-critical occupations, S/CRS should consider the development and implementation of career patterns linked to these career ladders. This effort would also incorporate the benefits of career pathing in a more S/CRS-specific plan.
- S/CRS should review and evaluate the feasibility of participating in leadership development programs and courses sponsored by the Foreign Service Institute, OPM, universities, and other institutions. Each of the S/CRS leaders, particularly those in the Civil Service, should be assessed for his/her leadership competencies. Based on this assessment, a Learning Agreement (focused on enhancement of leadership competencies) should be prepared and applied for each applicable employee.
- S/CRS should explore existing resources (State programs such as FSI, HR Bureau, etc.) or consider seeking assistance from external providers to obtain certified Executive Coaches to develop and foster strong leadership skills at executive levels of the organization.
- S/CRS should develop a recruitment plan that incorporates efforts to introduce and implement SCEP, Peace Corps hiring, and Federal Career Intern Program and to continue its tapping of Presidential Management Fellows and Pickering Fellows. Prior to initiating the recruitment plan, S/CRS should explore ways to leverage and maximize its resources in dealing with colleges and universities, Peace Corps, and other institutions serving as talent sources. In its recruitment plan, S/CRS should also factor in ways to improve its workforce diversity and meet its EEO goals.

- While use of the Superior Qualifications flexibility has served S/CRS well in the past, the organization should consider using other flexibilities, in addition to the superior qualifications one, linked to the career levels for which S/CRS is recruiting. For the cooperative education students, tuition assistance is an excellent flexibility; for recent college graduates, the student loan repayment program is well-received by candidates; for Federal retirees, the waiver of dual compensation is important; and, for all recruits, travel and transportation expenses and recruitment bonuses are attractive flexibilities. S/CRS should tailor its offerings to the situation - i.e., difficulties in recruiting for the position and the criticality of the skills being sought.
- S/CRS should determine, based on valid and legitimate criteria, which retention incentives it will offer to ensure that staff will stay with the organization. These decisions should be based on the immediacy of someone's leaving, the availability of funds, the impact on accomplishment of S/CRS's mission and programs, and/or the desire to recognize the top performers.
- S/CRS, as part of its annual strategic planning exercise, should conduct a broad competency assessment of their organizations and workforce.
- S/CRS should ensure that Individual Development Plans (IDPs) are developed for all FS and CS employees and used as a routine part of ongoing employee development and as feeder sources for future agency leadership pipelines.
- S/CRS should examine its work-life balance and work assignments to determine the extent to which employee satisfaction is impacted. S/CRS should then examine its use of family-friendly programs, make appropriate adjustments, and convey clearly to employees what is available.

II. Introduction

Assessing S/CRS

In May 2009, the Office of the Coordinator for Reconstruction and Stabilization (S/CRS) undertook an overall assessment of the organizational and workforce structures necessary to address the increasing and changing program requirements for S/CRS. This review was focused on determining the right mix of skills and talent and the best way to blend them in an effective and cohesive organizational structure. The assessment was intended to yield final recommendations which would align with S/CRS's articulated mission, vision, and strategic goals.

This report represents the findings and recommendations of that assessment. In particular, this report provides:

- Recommendations for a road map to making future organizational and staffing decisions that are aligned with S/CRS vision and strategic goals.
- Identification of the proper staffing mix of Civil Service, Foreign Service and contractors; the most effective supervisory ratios including the right number of managers; and, the best break-out of deputies and their work for the organization.
- The skills and competencies (including those related to civil-military, reconstruction and stabilization) that are needed throughout the organization for future hiring, retention and training efforts.
- The skills and competencies of current S/CRS staff serving as a reference point for organizational and individual development plans.
- Identification of and closure strategies for gaps between current workforce skills and those needed in the future.
- The recommended organizational structure to support good position management, effective span of control, and human resources requirements.

Steps Taken in the Assessment Process

For this effort, the assessment process was carried out according to the following steps:

- Step 1 - Data Gathering (including facilitation of discussions with key managers and other S/CRS officials);
- Step 2 - Data Analysis and Integration (organizational and workforce data);
- Step 3 - Future Organizational Structure and Workforce (specific staffing levels and mix in alignment with strategic goals and vision);
- Step 4 - Closing of Gaps in Organizational Structure and Workforce (including identification of competency gaps and strategies for closing them); and,
- Step 5 - Report of Deliverables (recommendations of any changes to organizational structure, workforce needs, staffing levels and implementation activities - contained herein).

III. S/CRS Organizational Structure

History and Background of S/CRS

In 2005, National Security Presidential Directive 44 (NSPD-44), directed the Secretary, assisted by the Coordinator for Reconstruction and Stabilization, to lead and coordinate integrated U.S. government efforts to prepare, plan for, and conduct Reconstruction and Stabilization (R&S) activities, including ensuring harmonization with any planned or ongoing military operations. This mandate represented a revolutionary approach to the way the United States Government (USG) addresses foreign crises and S/CRS has led the interagency in building the planning, operations, and management tools necessary to ensure a new level of readiness across the government to meet the threats posed by weak and failed states. In 2007, the Interagency Management System for Reconstruction and Stabilization (IMS) was approved as the common operating approach for interagency involvement in R&S. Section 1207 of the FY 2006 National Defense Authorization Act (as amended) directed S/CRS to coordinate funds for reconstruction and stabilization that are reprogrammed from the Department of Defense. On September 27, 2008, Congress passed the Reconstruction and Stabilization Civilian Management Act of 2008 (Title XVI of P.L. 110-417), enshrining S/CRS's mandate into law. This law also authorized the buildup of the Civilian Response Corps and established the creation of the Civilian Stabilization Initiative account.

S/CRS works closely with seven other federal agencies: USAID, Commerce, Justice, Treasury, Agriculture, HHS, and DHS. Memoranda of agreement outlining the terms and conditions governing the activation, administration, and deployment of the Civilian Response Corps (CRC) have been signed between State and the participating agencies.

S/CRS coordinates and leads integrated U.S. Government (USG) efforts, involving all U.S. Government agencies with relevant capabilities, to prepare, plan for, and conduct reconstruction and stabilization (R&S) activities. It leads the U.S. Government's development and deployment of a strong civilian response capability including necessary surge capacity. S/CRS works with other U.S. Government agencies to strengthen the network of contacts, institutional arrangements and associated planning and operational capabilities to improve U.S. Government response and program implementation for R&S operations. S/CRS ensures harmonization of civilian and military R&S plans and operations. It engages with the U.S. Congress, nongovernmental organizations (NGOs), foreign governments, international/regional organizations, and the private sector on conflict response, prevention and R&S capabilities. It ensures program and policy coordination for R&S operations.

The Civilian Stabilization Initiative (CSI) builds on three years of interagency development, exercises, and pilot efforts. Title XVI of Public Law 110-447 charged the Department of State with leading the interagency effort to significantly improve the ability of the United States to respond to conflict and create a civilian counterpart to the U.S. military, ready and capable to stabilize countries in the transition from war to peace. This vital initiative establishes a permanent interagency civilian reconstruction and stabilization response capacity. This capacity is an essential part of the U.S. Government's strategy to enhance the tools of soft power projection and to permit the Defense Department to focus on its core military mission responsibilities. The CSI is designed to build, train, equip and deploy a 4250-member interagency Civilian Response Corps managed by the Department's Office of the Coordinator for Reconstruction and Stabilization (S/CRS).

Mission, Vision, and Goals

S/CRS Mission

S/CRS convened an off-site working group of senior managers, office directors, and executive leadership to review and modify the S/CRS mission statement to better reflect current legislation and on-going priorities of the organization. The mission statement is extremely important to an emerging organization like S/CRS because it serves as the key indicator of how an organization views its relationships with its customers, partners, employees, and stakeholders. The mission statement defines the basic business role; illuminates the organization's guiding principles and philosophies; and, sets the parameters within which business delivery strategies are built. As a result of this work, the S/CRS mission statement was revised as follows:

"To prevent or mitigate conflict and help stabilize and reconstruct societies at risk of, in, or in transition from conflict or civil strife by building, leading, managing, and institutionalizing an effective US Government civilian response capacity. This capacity will coordinate and integrate all appropriate US government assets; utilize rigorous assessment, planning and metrics tools; and include a rapidly deployable, well-trained civilian force."

S/CRS Vision

The group identified specific areas where S/CRS will focus to advance its vital mission. S/CRS vision is:

"The Coordinator for Reconstruction and Stabilization manages the United States Government's civilian expeditionary capacity to help battered societies achieve stability, good governance and a path to prosperity. As such, we are directly addressing our strategic objectives in molding civilian capacity and promoting long-term human security and strengthening global security capabilities. We are first responders to crises in weak states or societies broken by war, internal strife or institutional collapse where American interests are at stake. We lead, manage, coordinate and integrate whole-of-government assistance through doctrine, training, analysis, and planning, and through deployment of uniquely skilled personnel from our Civilian Response Corps (CRC). The CRC works overseas with the U.S. mission, the U.S. military, overseas partners, and international/multilateral organizations. When crises occur, we react quickly with uniquely-trained teams or individuals, able to stay engaged for days, weeks, months, or years, until initial stabilization operations can be replaced by regular U.S. Government foreign policy instruments. We train and exercise because our effectiveness is linked to institutional experience; plan in order to achieve unity of effort and measurable results; and we learn and adapt to increase our effectiveness and ensure best practices are applied."

S/CRS Goals

S/CRS has previously defined its goals and objectives but, as the organization has evolved, communication of these goals has become even more critical to ensure that there is clarity and understanding by all stakeholders. Individual offices should ensure that they are working toward common goals and communicating plans and activities among other offices and that office goals track with agency goals.

While S/CRS has recently revised its Bureau Strategic Plan (BSP), in order to effectively fulfill its purpose, S/CRS-wide and individual office operations should integrate and

coordinate strategic and operational goals both for the office, and as part of a broader agency strategic plan. Currently, support offices and program areas tend to be left alone to develop their own plans and approaches. Continued emphasis needs to be placed on developing plans that integrate across organizational lines.

S/CRS should guard against allowing office-centric goals to become institutionalized with supporting structures, staffs, processes, and policies. If various S/CRS offices engage in the process of vying for resources to deliver their internally focused goals, resources could be diverted away from mission-critical activities as internal bureaucracies work to "protect their turf." Over time, this can lead to the development of stovepipes and would have a negative effect on S/CRS's achievement of goals and objectives.

Core Objectives

S/CRS works across the U.S. Government and with the world community to anticipate state failure, avert it when possible, and help post-conflict states lay a foundation for lasting peace, good governance and sustainable development.

- **Monitor and Plan:** Develop clear policy options concerning states and regions of greatest risk and importance, and lead U.S. planning focused on these priorities to avert crises, when possible, and to prepare for them as necessary.
- **Mobilize and Deploy:** Coordinate the deployment of U.S. resources and implementation of programs in cooperation with international and local partners to accelerate transitions from conflict to peace.
- **Prepare Skills and Resources:** Establish and manage an interagency capability to deploy personnel and resources in an immediate surge response and the capacity to sustain assistance until traditional support mechanisms can operate effectively.
- **Learn From Experience:** Incorporate best practices and lessons learned into functional changes in training, planning, exercises, and operational capabilities that support improved performance.
- **Coordinate With International Partners:** Work with international and multilateral organizations, individual states, and NGOs to plan, accelerate deployment, and increase interoperability of personnel and equipment in multilateral operations.

Current Organizational Structure

S/CRS is comprised of six organizational components:

- The Office of the Coordinator
- Strategic Communications Office
- Planning Office
- Resource Management Office
- Civilian Response Operations Office
- Conflict Prevention Office

Each of these organizational components is discussed in more detail in the following sections.

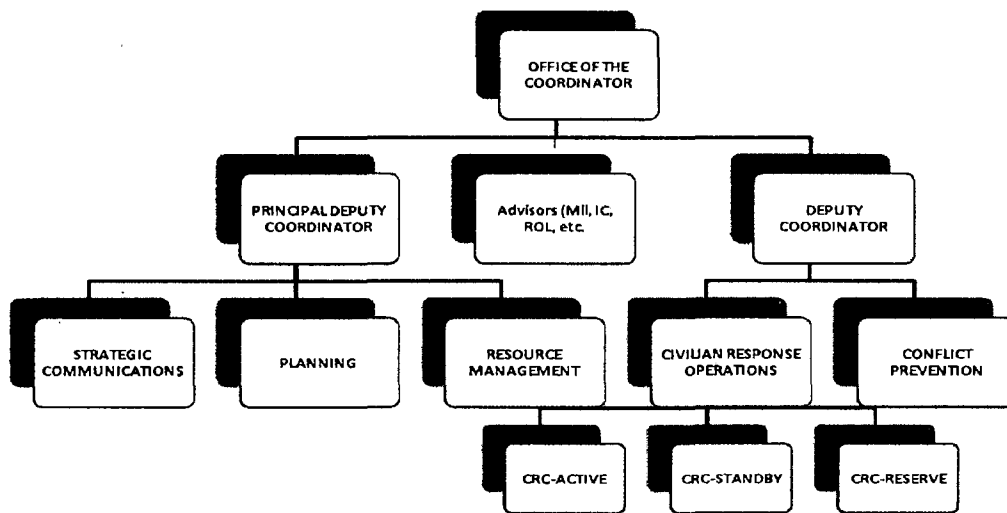
Current Organizational Chart

The following graphic depicts the current organizational structure and reporting relationships in S/CRS as of July 2, 2009 and is the official organizational structure as shown in the Foreign Affairs Manual (FAM). The chart below provides a condensed picture of the organization, focused only on the major functional offices.

The two Deputy positions are currently not filled on a permanent basis. A total of four advisors report to the Coordinator. The Principal Deputy Coordinator's position is currently being filled on an acting basis and has not been permanently staffed in quite some time. It was previously filled by a detailee from another agency.

It should be noted that, while the chart below depicts the current approved organizational and reporting structure, this is not necessarily how S/CRS operates. A discussion of the current de facto reporting relationships is provided later in the section "Issues Affecting Current Workforce Structure."

S/CRS ORGANIZATIONAL CHART AS OF JULY 2009



The following sections describe the function of each S/CRS organization.

Description of Office Functions

Office of the Coordinator

The Office of the Coordinator provides strategic guidance, leadership, oversight, and direction to S/CRS. Led by the Coordinator, the office also includes two Deputy Coordinators as well as several advisors (including Military and Rule of Law) and administrative support staff.

Strategic Communications Office

The Strategic Communications Office (SC) advises the Coordinator and conducts strategic communications in connection with R&S planning and operations, to include public affairs and public diplomacy, legislative affairs, diplomatic strategy and outreach, and information technology. Strategic Communications brings together all basic "outreach" functions under one roof. SC is responsible for public affairs and public diplomacy, legislative affairs, diplomatic engagement, and outreach to the academic and NGO communities on behalf of S/CRS.

Planning Office

The Planning Office (PLN) leads the planning for USG reconstruction and stabilization (R&S) activities in failed or failing states, promoting a whole-of-government approach. PLN plans and conducts highly complex and multi-faceted U.S. Government R&S operations in specific countries at risk of, in, or emerging from conflict. In support of this mission, the Planning Office leads S/CRS country engagement teams providing operational management and oversight of activities that require crisis response or long-term scenario-based planning, including when the Interagency Management System (IMS), an interagency planning and operating system, is activated. The Planning Office also is responsible for building a US whole-of-government civilian planning capacity for reconstruction, stabilization, and conflict transformation. It leads civilian-military integration efforts, applies the principles of the IMS, and implements both sectoral reconstruction and stabilization best practices.

Resource Management Office

The Resource Management Office (RMO) is S/CRS's equivalent of an Executive Office. The Office of Resource Management is responsible for programming, budgeting and financial management for all S/CRS resources and directs all administrative management and support activities within the Office of the Coordinator, including program planning, administrative policy development, personnel management and services, information systems management, general office services, property management, security, management analysis and evaluation, procurement, and contracting. The Resource Management Office serves as S/CRS' internal control manager, establishes internal management controls, and conducts periodic vulnerability assessments. RMO coordinates personnel activities with A/EX/HRD and provides a first point of service for any questions or problems that S/CRS personnel may have.

Civilian Response Operations Office

The Civilian Response Operations Office (CRO) recruits, readies, and deploys Active Response Corps (ARC) and Standby Response Corps (SRC) personnel for reconstruction and stabilization initiatives within the Department of State and among other agencies; builds systems and bodies of procedure to further develop response components; and provides operational and administrative support for the ARC, SRC, and long-term S/CRS deployments. CRO also oversees interagency reconstruction and U.S. Department of State stabilization training.

There are three complementary capacities related to the CRO, each of which is described below.

Civilian Response Corps – Active

Active Component (CRC-A) officers are full-time employees of their departments/agencies whose specific job is to train for, prepare, and staff reconstruction and stabilization (R&S) operations and conflict prevention and mitigation efforts. They may spend up to 60% of the year in overseas conflict areas, deployed on average for 90 days at a time. CRC-A members will attend up to eight weeks of formal training and exercises per year. They provide "first responder" expeditionary capabilities in civil-military environments and operate in whole-of-government structures such as the formal Interagency Management System or Country Engagement Teams. They focus on critical initial interagency functions such as assessment, planning, management, administrative, logistical, and resource mobilization in order to stand-up or increase the capabilities of USG systems/structures for response and implementation of R&S operations for a specific country engagement.

Civilian Response Corps - Standby

Standby Component (CRC-S) officers are full-time employees of their departments/agencies who may or may not have current positions related to reconstruction and stabilization. However, they have specialized subject matter expertise useful in reconstruction and stabilization operations, have secured permission from their department/agency office to be in the Standby Component, have been pre-screened and trained, and have committed to be available to leave their department/agency within 30 days of call up. CRC-S members will attend orientation training in the first year and additional training in following years. When activated, they serve as employees of their home departments/agencies assigned to U.S.-based planning, assessment, exercises or overseas deployment, under the supervision of a designated individual within the whole-of-government response structure. They provide critical reinforcement and follow-up for the Active component, as well as pertinent skills and expertise. Deployments will be on average for a 90-day period.

Civilian Response Corps - Reserve

Reserve Component (CRC-R—not yet funded) officers are U.S. citizens who have committed to be available within 45-60 days of call-up to serve as U.S. Government temporary employees in support of inherently government work of overseas reconstruction and stabilization operations. They provide a pool of qualified, pre-trained, and ready civilian professionals with specialized expertise and skills not readily found within the U.S. Government—such as municipal administration, policing, and local governance—that are critical for reconstruction and stabilization operations. Reserve officers can help fill capabilities career U.S. Government employees simply cannot match in expertise or in number.

Conflict Prevention Office

The Conflict Prevention Office (CP) leads interagency teams to assess conflict and engage in conflict prevention planning to address stability in weak and failing states; serves as the bureau's point of contact to the intelligence community as well as the Bureau of Foreign Assistance; and manages for the bureau the transfer authority created under section 1207 of the 2006 Defense Authorization Act (Public Law 109-163), which provides DOD funding for stabilization, security, and reconstruction activities overseas.

S/CRS Workforce Assessment and Plan
July 10, 2009**S/CRS Staffing Levels as of July 2, 2009**

S/CRS has not yet reached organizational maturity and is still in the growing stage. At present, not all of the operational funds anticipated for the full range of the organization's functions have been received. Full staff level requirements have been only partially authorized and the current staff composition is reflective of this reality. The following chart depicts the current staff composition in each major organization as of July 2, 2009.

	Total	FS	GS	Detail	Contract	Other
Front Office	17	6	2	3	6	0
Conflict Prevention	13	3	0	2	7	1
Civilian Response Operations *	40	12	6	3	17	2
Planning	34	6	6	3	14	5
Resource Management	14	0	6	0	7	1
Strategic Communications	8	1	2	0	4	1
Total Staff	126	28	22	11	55	10

* Breakout of CRC numbers

CRC-A	8	6	2	0	0	0
CRC-S	0	0	0	0	0	0
CRC-R	0	0	0	0	0	0
Total CRC	8	6	2	0	0	0

It is important to note that S/CRS, in existence for less than five years, was organized and stood up as efficiently as it could have been, given the piecemeal nature of its authorization and funding. The organization has been able to establish and staff key functions and operations through aggressive and successful use of a combination of Federal employees, contractors, and detailees. While this blend was extremely vital to getting the organization up and running, in the long run, it is problematic. The issues associated with this are described further in the remainder of this report.

IV. Current Workforce Structure Issues

Front Office Span of Control and Reporting

Balancing Leadership between Civil Service and Foreign Service

As previously noted, the two current Deputy positions have not been staffed on a permanent basis. Currently, they are filled on an acting basis by a Foreign Service Officer (FSO) and a USAID detailee. FSOs, by the nature of the Foreign Service, are generally not long-term employees in a specific organization, rotating on a regular basis to other parts of the Department. Additionally, most S/CRS organizations' office directors are currently FSOs. As such, it is a certainty that there will be predictable and continual turnover in key leadership positions in S/CRS. Staffing the top positions exclusively with FSOs and detailees from other agencies leaves two of the more critical leadership positions in the organization, as well as key management positions, subject to on-going change and turnover.

A remedy to this could be to ensure that every Office Director position filled with an FSO would be balanced with a Deputy Office Director in the Civil Service (or vice versa). The two Deputy positions could be similarly staffed so that both are never encumbered at the same time by FSOs or other agency detailees. This would provide more stable and balanced leadership at the Deputy level and at the Office Director level in every component of S/CRS. S/CRS should consider designating one of these two Deputy Coordinator positions as career SES to ensure a degree of leadership stability in the front office.

Span of Control and Reporting Relationships

As noted in the organizational chart narrative above, the current organizational structure is not reflected in the actual management and reporting structure of S/CRS. Under the existing organizational chart, the Coordinator is supported by two Deputy Coordinators (Principal Deputy Coordinator and Deputy Coordinator). Additionally, at least four advisors (Military, Interagency Coordination, Rule of Law, and Africa) all report directly to the Coordinator. The transient nature of recent appointments to fill the two Deputy positions creates a de facto reporting structure which results in the office directors for Strategic Communications, Planning, Resource Management, Civilian Response Operations, and Conflict Prevention all reporting generally in a direct nature to the Coordinator. This broad span of control is unwieldy and complicates decision-making and accountability as up to 11 senior officials interface directly with the Coordinator in one capacity or another.

Contributing to the excessively broad span of control is the previously discussed issue regarding the need for balanced Foreign Service and Civil Service representation in key leadership positions as well as on-going vacancies and non-permanent assignments in leadership positions.

It appears that organizational leadership, decision-making, and clearance/ vetting/ approval (e.g., all decision documents are vetted among all office heads, regardless of the subject matter's impact on each office) processes are more complex as a result of this overly broad span of control. Senior leaders are involved in day-to-day staffing and organizational decision-making which takes valuable time away from higher-level responsibilities of the Coordinator and senior leaders. Overall, the reporting structure is not as efficient as it could be and impacts the Coordinator directly, occupying valuable time better spent on other tasks.

S/CRS needs to work to formalize and institutionalize a reporting arrangement in which the number of direct reports is reduced and leadership is stabilized and staffed for a long-term horizon, beginning the move toward a more stable organization, rather than a newly-formed and developing organization. The Coordinator needs to be able to respond to significant demands that require attention rather than focusing on the day-to-day operations associated with building an organization. S/CRS should reduce the number of operational decisions made at the Coordinator level. Decisions on day-to-day operations should migrate to the Deputy Coordinator and Office Director levels consistent with the guidelines established by the Coordinator.

Need for Additional Front Office Positions

S/CRS still faces a dynamic near-term future. At the same time the organization is receiving legislative authorization and/or funding for some of its primary mission areas, it also must be gearing up to respond rapidly in on-going conflict areas while beginning to settle into an established and stable role as the government's interagency coordinator of R&S activities. In addition, the very nature of S/CRS's work requires intensive inter-agency cooperation and collaboration, much of which must be negotiated, planned, and developed immediately to ensure success. These factors place enormous burdens on the senior leadership of S/CRS.

As noted above, numerous office directors, deputies, and advisors have direct interface with the Coordinator, which increases demands on the Coordinator's schedule and impacts the amount of time that he has to serve as S/CRS' external representative to various US Government, NGO, and foreign counterparts.

S/CRS currently has both a Principal Deputy Coordinator and a Deputy Coordinator positions. The Principal Deputy Coordinator position supervises the mission support offices of the organization (Strategic Communications, Planning, and Resource Management) and assists the Coordinator in meeting the variety of demands that are external to the office. The other Deputy Coordinator supervises the operational side of the organization (Civilian Response and Conflict Prevention).

It is clear that the most senior leadership positions could benefit from the addition of several key, carefully designed executive positions focused solely on alleviating logjams in the most senior decision-making and management areas of the organization and reducing the burden currently on senior leadership. A position is needed to manage the Coordinator's interactions with Deputies and all direct reports. The incumbent could work behind the scenes to solve problems, mediate disputes, and deal with issues before they are escalated to the Coordinator as well as serving as a confidante and advisor to the senior deputy positions and a sounding board for ideas.

Senior Level Positions

Currently, most of the senior positions in S/CRS are classified as Senior Foreign Service (SFS) with GS-15 managers occupying the remaining ones. This structure, with additional senior Foreign Service officers serving on Y tours, has provided the level of leadership necessary to set up and organize S/CRS during its early stages. However, now that the organization is more institutionalized with greater and more complex responsibilities placed on its leaders, it is time to evaluate the right mix for defined leadership roles by SFS and Civil Service senior executives/leaders.

In the Civil Service system, senior executives are classified in the Senior Executive Service (SES) when they are encumbering supervisory, managerial, or policymaking

positions that are evaluated above the GS-15 level. Classification and recruitment of SES positions are approved by the Department's Executive Resources Board under an allocation delegated by OPM to the Department. There is another category of Civil Service positions that are above the GS-15 level. These positions are called Senior Level (SL) and include positions whose duties are above the GS-15 level but do not meet the SES criteria. An example of an SL position is a high-level special assistant who is not a manager, supervisor, or policy advisor. SL positions are also managed and allocated by the Department's Executive Resources board.

The S/CRS leaders who are currently GS-15 managers carry out duties and responsibilities which may be described at the SES level, depending on each one's ability to exercise final authority for his/her decisions. In addition, these same GS-15 managers are often interacting with senior leaders who are SES members from other departments and agencies or from within the Department as well as executive-level external stakeholders outside of the Federal government. Given the nature of these interactions and the importance of their outcomes, the S/CRS managers should be at an equal level if they are to be successful.

With the current and anticipated supervisory, managerial and policy-making demands being placed on S/CRS's Civil Service leadership, S/CRS appears to be in a strong position to request SES slots for its top CS leadership positions. The Director of the Civilian Response Corps program should support an SES allocation and classification since that position is the most senior CS leadership position over all three components of the program and is responsible for the management and direction of a major and critically important Federal government program. The position of Director of the Resource Management Office (RMO) may be supportable at the SES level if the Department determines that the position serves as the manager and final authority/advisor to the Coordinator/Principal Deputy Coordinator on matters related to fiscal, human resources, space, administrative services and information systems. If the Department and/or A/EX/HRD determines that the position does not have the required delegated authorities for all areas (such as human resources), then S/CRS should explore with the Department the appropriateness of an SL position for the Director of RMO.

Legislative and Budget Limitations on Staffing Levels and Workforce Blend

While S/CRS has very effectively leveraged contractors, Foreign Service Y-Tours, and detailees from other agencies to rapidly augment its expertise and serve immediate needs to grow and expand, in the long run, the use of "non-permanent" staffing arrangements such as this may begin to take a toll on the organization, directly affecting institutional knowledge and experience, continuity of operations, etc.

S/CRS's past and future staffing levels have been (and are likely to continue to be) driven by specific employment levels as defined both in existing and future legislation. Accordingly, S/CRS will have little flexibility in the number of Civil Service and Foreign Service positions it employs. DOS' HR Bureau may weigh into future decisions impacting the structure and staffing levels, based on its original approval of S/CRS' organization in 2008.

S/CRS has been able to supplement its staff with a variety of contractors, detailees, temporary employees, and Foreign Service Y Tours positions. However, in the long term, many of these positions should be "regularized" to permanent positions so that institutional knowledge, continuity, and stability are preserved. Given the restrictions and limitations on staff levels, S/CRS will need to carefully plan its staffing mix.

Effort Required to Stand up Reserve Corps

In the very near term, S/CRS faces the prospect of staffing up the 2000 member Civilian Response Corps Reserve component (CRC-R). The CRC-R is the third component of the Civilian Stabilization Initiative. CRC-R will consist of 2,000 volunteers from state and local governments as well as the private sector. The CRC-R will provide a depth of R&S skills in areas such as policing, court and prison administration, municipal governance, infrastructure development, and city planning that is either not readily available or is underrepresented within the Federal government. Drawing on other reserve models, the CRC-R members will enroll for up to four years, with a commitment to deploy overseas for up to twelve months during that time. S/CRS has worked with the interagency group over the last year to design the process and mechanisms for recruiting, training, equipping, and managing the CRC-R. Once sufficient funding is made available by Congress, S/CRS will be able to begin to create these three capabilities.

While not all funding is available to fully staff up this organization, S/CRS faces an enormous amount of work to begin recruiting, identifying, selecting, and tracking the individuals who will eventually comprise this vital Corps. In the short term, the initial 500 CRC-R positions must be filled. This will require a significant effort on the part of all SCRS components and their partners to most likely meet tight timeframes and workload demands.

It is important to note that, once the Corps volunteers are identified and selected, the on-going maintenance of these 2000 personnel will largely be tracking, training, and sustaining their numbers. Because the Corps members will serve only when activated, they will not be direct employees of S/CRS and will not require day-to-day management or supervision by S/CRS managers.

Need to Clarify Overlapping/Conflicting Office Roles and Responsibilities

S/CRS is still in the process of growing as an organization and has met many challenges in its developmental stage. Staffing shortages are being addressed by outsourcing, Foreign Service Y tours, Civil Service temporary and term appointments, and details. S/CRS has accomplished a great deal in the organization's few years of operation. A few examples are provided below.

- S/CRS has been leading an interagency effort of seven other agencies to establish a Civilian Response Corp (CRC) of 250 active and 2000 standby members.
- S/CRS has worked with the Foreign Service Institute to create a two-week Foundation course to introduce CRC members and other interagency staff to whole of government reconstruction and stabilization concept and tools.
- S/CRS has refined the interagency R&S planning process along with participation in military exercises.
- S/CRS, utilizing planning and assessment tools, has identified best practices regarding stabilization, integration of civil-military operations, and conflict prevention.
- S/CRS has created and developed an administrative infrastructure to meet and support budgetary, financial, procurement, human resources, and other critical needs.

S/CRS did not achieve these important achievements by working in stovepipes. Instead people worked collaboratively across office lines to achieve results. Notwithstanding these significant accomplishments, as S/CRS increases in staff size and locations, it is important

that S/CRS leadership recognizes that lines of effort should fit into the organizational structure to facilitate better coordination and communication of direction. An appropriate segmentation of responsibilities consistent with organizational structure and functions reduces the overlap of effort while improving an organization's performance and effectiveness. Examples of S/CRS cross over and functional overlap are:

Managing Resources

As mentioned earlier in the report, the Resource Management Office is responsible for programming, budgeting and financial management for all S/CRS resources and directs all administrative management and support activities within the Office of the Coordinator, including program planning, administrative policy development, human resources management and services, information systems management, general office services, property management, security, management analysis and evaluation, procurement and contracting.

S/CRS needs to support RMO in its responsibility for these traditional "Executive Office" functions and to ensure that all resources devoted to managing these functions are assigned to the office. While it may be helpful to have individuals from program offices assigned as liaison or points of contact with RMO, S/CRS should guard against allowing "shadow resource" offices/personnel to be created within other operating offices in S/CRS. Given the relatively small size of S/CRS, it would seem to be an unnecessary drain on limited funding. Allowing these shadow resources to spring up siphons resources away from RMO, causing its efficiency to suffer; creates organizational redundancies and overlap, which can lead to confusion and duplication of effort; and, blurs accountability for critical RMO services and functions leading to breakdowns in service.

Managing Planning Responsibilities

The Planning Office operates under two paradigms. There is a formal supervisory structure but the office operates as a matrix organization as well with staff crossing division lines to work on country engagements or other special tasks and projects. This method of operation is a matter of necessity since there is not sufficient staff to address the demands that are placed on this critical office. The Planning Office would not have achieved its performance results without staff functioning in more than one organizational component of the office. While the results of this operational model to date have been positive, as S/CRS/PLN doubles in size over the next two fiscal years, staff reporting to more than one supervisor/project leader may become problematic. As staff levels increase to appropriate levels, the Planning Office leadership should reduce the number of staff who are reporting to multiple supervisors.

CRO is responsible for hiring, training and management of the Civilian Response Corp (CRC). It has understandably relied heavily on the Planning Office in developing its doctrine and training programs for the CRC. These two offices must always work in close collaboration and be in sync. This is currently accomplished by a half dozen or more staff, on loan from the Planning Office, working directly for CRC. This has been effective as a short-term solution but should not be viewed as a permanent method of operation. As staff levels increase in CRO and PLN, S/CRS leadership must refine the delineation between the planning functions of the two organizations and how they will relate to one another in the future. This will enable both offices to staff the appropriate competencies without organizational redundancy and overlap.

Training

Training is a critical function in the accomplishment of the S/CRS mission. Civilian Response Corps (CRC), corporate S/CRS staff, and other interagency staff require training on reconstruction and stabilization doctrine and techniques. CRC members require appropriate orientation and training on the latest techniques and successful practices as well as training in preparation for deployment. Training will be a continuous S/CRS need since all components of the CRC (Active, Standby, and Reserve) will have attrition. Over time, many may find that they are no longer able to serve due to a change in their personal circumstances, so there will be continuing demand for on-going training.

S/CRS provides and coordinates training in a variety of areas. S/CRS has worked with the Foreign Service Institute to develop a two-week foundation course to introduce CRC members and other interagency staff to the "Whole of Government" reconstruction and stabilization concept and techniques. S/CRS also participates in civilian/military exercises and is the leading organization in developing concepts and training on civilian-civilian reconstruction and stabilization operations.

S/CRS relies on its Civilian Response Operations Office (CRO) to develop and coordinate the critical training function. Currently this staff operates with contractors, detailees from other agencies, and borrowed S/CRS staff. CRO is aware that the filling of existing vacancies is essential to continued success. CRO has been forced to look to contractor support during its first year of operation in part due to lack of FS and GS positions. However, after critical vacancies have been filled and CRO is near full staffing, there will continue to be a need for outsourced resources. CRO should continue to use sound business case analysis to determine the best mix of direct hire and contract resources.

Need for Capacity at All Levels [Entry, Intermediate, and Journey]

Another after-effect of S/CRS's rapid stand up is the "flat" nature of its on-board grade structure and experience levels. Currently, S/CRS is flat near the middle and top of the organization. Below the Coordinator and Deputy Coordinator positions, the organization is staffed almost entirely at the GS-13 and above and FS-03 and above level. There are virtually no permanent federal FTEs encumbered at grades GS-5/7 through 12. This is not the result of poor staffing decisions, but the result of the need for senior/experienced staff to facilitate an effective stand up of the organization.

While effective for start-up purposes, this lack of a talent pipeline will likely generate issues in the years ahead. As senior employees leave (due to reassignments or retirements, as examples), there will be a void of skilled and experienced journey level employees ready to move up and assume responsibilities and manage operations and programs. Institutional knowledge will be lost, and the cost of recruiting and hiring replacements ready to step into senior positions will be expensive and difficult at best.

Civil Service Career Ladders

Advancement for most Civil Service workers in the Federal Government is currently based on a system of grades, although some departments and agencies have been granted authority to utilize different pay systems. Workers typically enter the Federal Civil Service at the starting grade for an occupation and begin a "career ladder" of promotions until they reach the full-performance grade for that occupation. This system provides for a limited number of noncompetitive promotions, which usually are awarded at regular intervals, assuming job performance is satisfactory.

DOS utilizes this system for most Civil Service positions other than those positions that are clerical/technical in nature. Most Civil Service "professional and administrative series" positions have an entry level of GS-5, 7, or 9. Most incumbents are recent college graduates who qualify for the GS-7 based on their academic achievement at the baccalaureate college level while the GS-9 candidates are usually recipients of graduate degrees. After appointment at the appropriate entry level, employees are eligible for consideration for promotion to the next grade level after a minimum of one-year of successful performance at the lower grade. This "time-in-grade" requirement is based on Office of Personnel Management (OPM) regulation. In a career ladder position, an individual who has performed successfully for one year at the GS-7 level would be promoted to the GS-9 level. The following year the individual would be eligible for promotion from GS-9 to GS-11 level with promotion one year later to GS-12. If the career ladder for this position ends at GS-12, then this would be the last promotion in the career ladder in this example.

Most DOS career ladders begin at the GS-5/7/9 entry level and progress through the GS-12 or 13 full performance level. Similar to junior Foreign Service promotions, Civil Service career ladder promotions do not require further competition. These promotions are based on a minimum period of successful performance and the recommendation of the immediate supervisor. Most promotions beyond the full performance level require competition under a merit promotion announcement. Competition means the position is advertised Department-wide, and applications are rated and ranked. The highest ranked individuals are listed on a Certificate of Eligibles and interviewed by the selecting official. The successful candidate is then promoted to the position at the higher grade.

In its beginning stages, S/CRS has filled most of the organization's positions at the highest levels. As S/CRS matures, the need for establishment of formal career ladders will become more evident. Establishment of Civil Service career ladders for S/CRS would require the appropriate review and development of position descriptions at the entry, intermediate and full performance grade levels. In addition, a determination must be made that there is sufficient work to sustain all employees within a career ladder at the full performance level.

Based on the current structure and proposed staffing of S/CRS, there are occupations lending themselves to the development of career ladders through the GS-13 level. For example, recruitment for permanent FAO (General Operations) positions will be underway in the future. Prior to this effort, S/CRS could set up a career ladder from GS-7 through 13. Needs in the planning and training areas would also offer a chance to explore the establishment of similar career ladders. Development of these career ladders would enable S/CRS to make conscious decisions on a staffing mix that includes recent college graduates, professionals in the middle of their careers and more experienced/senior experts.

Currently, some positions at the GS-13 level in S/CRS are at a lead or supervisory level; GS-14 and 15 positions are supervisors and managers. While these positions would continue to exist in the future, S/CRS may be able to support more GS-14 and eventually even GS-15 non-supervisory personnel to serve as advisors and program experts in their areas of reconstruction and stabilization expertise. These positions would not be part of a career ladder since, initially, there would not be enough work at the highest grade levels to support everyone who is in a career ladder but these positions would give promotion opportunities to staff who have reached their full performance level at the GS-13 level. Management decisions related to the structuring of career ladders and other higher-graded promotion opportunities are all part of position management and should be made as part of a strategic plan for the future.

Career Paths and Career Patterns

Career paths are the road maps that provide direction and guidance to more than one career ladder or occupation. In other words, occupational series with different career ladders offer opportunities to incumbents to cross over into different occupations. An example: an S/CRS employee may start his/her career as a Foreign Affairs Officer in logistics, move partially through the appropriate career ladder, but then reassign into the training or instructional support field. If a career path had been developed for S/CRS's offices, then anyone entering into the organization would be able to see his/her opportunities for movement up in a particular occupation or crossing over into other occupations in which he/she can build on the previously gained skills and competencies.

Career paths have not traditionally been as clear for Civil Service occupations as they are for the Foreign Service. In the Foreign Service there are FS generalists and specialists with different areas of expertise and different likelihoods of promotion to the Senior Foreign Service. However, any of these different "career paths" may lead to an appointment as Chief of Mission. For many Civil Service occupations, the movements to the higher-graded positions are generally through the same career ladder or "stove-pipe" kind of progression. To successfully introduce career paths in an organization, consideration should be given to the real potential for cross-over of staff among occupations and the organization's capacity to support movements requiring additional developmental activities or support to the staff.

Career patterns were recently introduced to the Federal Government as a new 21st century approach to the design and staffing of Federal Civil Service positions. The career patterns approach recognizes that employer-employee relationships will increasingly vary across many dimensions. Based on solid research carried out by both public and private sectors, OPM has introduced its dimensions for Civil Service jobs as reflective of diverse work environments. Its five dimensions are:

- **Time in Career:** A work environment that welcomes entry at different stages of career from novice to retiree;
- **Mobility:** A work environment that welcomes advancement within and across occupations, organizations; and sectors including movement upward or across career paths;
- **Permanence:** A work environment that welcomes those who want to work temporarily, occasionally, or indefinitely while suiting the mission of the organization;
- **Mission-Focus:** A work environment that welcomes all motivations, from general service commitment to a specific passion, attracting individuals seeking public service opportunities, a profession of choice in any agency, or a program/project specific to one agency; and,
- **Flexible Arrangements:** A work environment that welcomes and accommodates traditional and flexible work arrangements.

As part of the S/CRS evolution in the coming months and years, exploration of career patterns supportive of its mission needs and work environment might be a good step to take in formalizing its organizational and workforce plans. By defining its job requirements and analyzing their criticality and impact for specific dimensions, S/CRS would be able to create a more detailed plan for future organizational design and workforce structuring.

V. S/CRS Future Staff

S/CRS Staff Levels by End of FY 2011

The chart below depicts the anticipated staffing level in each S/CRS component by the end of FY 2011. The chart reflects that S/CRS will have a significant increase in staff over the next two fiscal years, and additional growth is anticipated after FY 2011.

While Foreign Service positions are projected to increase by 50% of their current number, they will remain 22% of the total workforce in 2011. Contractors will remain almost numerically unchanged, but will decrease from 44% of the staff to 33%. The most significant increase is the projection of a 250% increase in civil service positions. Civil Service employees will not only grow from 22 as of July 2009 to 56 at the end of FY 2011, they will increase from 17% of the workforce to 35% of the workforce.

The planning and management of that growth will be critical to S/CRS's effectiveness and ability to retain high performing civil service staff members. This staff transition marks a decided shift from a rapidly deployed team comprised of readily available contractors, detailees, and Y Tours, to a stable and steady staff built to maintain institutional knowledge, depth of experience, leadership pipelines, and longer-term success and continuity.

Based on interviews and study of S/CRS's future needs and available staffing levels and resources, the 2011 staffing table below seems to reflect an appropriate and manageable number of staff going through the end of FY 2011. It includes a shift away from a current heavy contractor component, and includes the regularization of numerous non-permanent positions. These levels seem to validate and confirm that assumptions put forward in S/CRS's recent Bureau Strategic Plan (BSP) estimates and budget program needs are in line with S/CRS's needs.

This chart reflects goals for 2011 and beyond, but may not capture slight deviations which may occur as plans are better massaged and solidified

	Total	FS	GS	Detail	Contract	Other
Front Office	21	6	5	4	6	0
Conflict Prevention	21	3	7	2	9	0
Civilian Response Operations	60	10	23	6	21	0
Planning	72	16	26	13	17	0
Resource Management	32	3	17	1	11	0
Strategic Communications	17	2	10	1	4	0
Total	223	40	88	27	68	18-20*
CRC-A	36	16	2	0	18	0
Total Staff	259	56	90	27	86	0
[All estimates as of July 2, 2009] * Covers other programs (Presidential Management Fellows, Pickering Fellows, Student Career Experience Program, Federal Career Intern Program, etc.) some of which will rotate among offices and not count against FTE levels.						

Emerging Skill and Competency Requirements

What Are Competencies?

A competency, as defined by the Office of Personnel Management and human resources experts, is a "an observable, measurable pattern of skills, knowledge, abilities, behaviors, and other characteristics needed to perform work roles or occupational functions successfully." Competencies reflect what a person must know to perform defined job tasks (KSAs) as well as behaviors that motivate the person and impact the accomplishment of goals and objectives.

The current staff of S/CRS consists of both Civil Service and Foreign Service officers. The staff are currently employed throughout the Office of the Coordinator. Both civil service and Foreign Service staff work side by side in Planning, Strategic Communication, and Civilian Response Operations. Once current vacancies are filled that will be the case in Resource Management and Conflict Prevention. Staff work in a variety of positions to achieve the core objectives of S/CRS:

Current and Future S/CRS Competencies

Interviews with S/CRS leadership indicated that the current staff (which includes almost half contract personnel) possesses the requisite competencies to accomplish the organization's mission. Based on these interviews as well as review of the current organization's mission statement, core objectives and positions, the following competencies – general and technical – are identified as critical for each of these offices:

Front Office

General Competencies:

- Creative/Strategic Thinking
- Decision Making
- External Awareness
- Oral Communication
- Organizational Awareness
- Planning and Evaluating
- Program Management
- Writing

Technical Competencies:

- US Foreign Policy
- Reconstruction and Stabilization
- Strategic Planning and Management

Strategic Communications

General Competencies:

- Creative/Strategic Thinking
- External Awareness
- Influencing/Negotiating
- Interpersonal Skills
- Oral Communication
- Organizational Awareness
- Problem Solving/Reasoning
- Teamwork
- Writing

Technical Competencies:

- US Foreign Policy
- Reconstruction and Stabilization
- Strategic Communications
- US Foreign Affairs Information Sources

Planning**General Competencies:**

- Creative/Strategic Thinking
- Decision Making
- External Awareness
- Interpersonal Skills
- Oral Communication
- Organizational Awareness
- Planning and Evaluating
- Problem Solving/Analytical Skills
- Teamwork
- Writing

Technical Competencies:

- US Foreign Policy
- Reconstruction and Stabilization
- USG Planning Tools

Resource Management**General Competencies:**

- Attention to Detail
- Creative/Strategic Thinking
- Customer Service
- Flexibility
- Interpersonal Skills
- Oral Communication
- Organizational Awareness
- Problem Solving/Analytical Skills
- Self-Management
- Teamwork
- Technology Application
- Writing

Technical Competencies:

- Administrative and Management Services
- Budgeting and Financial Management
- Contracting/Procurement
- Human Resources Management – Civil Service and Foreign Service
- Strategic Planning and Management

Civilian Response Operations**General Competencies:**

- Creative/Strategic Thinking
- Decision Making
- External Awareness
- Influencing/Negotiating
- Interpersonal Skills
- Oral Communication
- Organizational Awareness

- Planning and Evaluating
- Problem Solving/Analytical Skills
- Program Management
- Teaching Others
- Teamwork
- Writing

Technical Competencies:

- US Foreign Policy
- Reconstruction and Stabilization
- US Foreign Affairs Information Sources
- International Program/Project Management
- Instructional Design and Delivery

Conflict Prevention**General Competencies:**

- Creative/Strategic Thinking
- Decision Making
- External Awareness
- Influencing/Negotiating
- Interpersonal Skills
- Oral Communication
- Organizational Awareness
- Planning and Evaluating
- Problem Solving/Analytical Skills
- Teamwork
- Writing

Technical Competencies:

- Foreign Policy
- Reconstruction and Stabilization
- US Foreign Affairs Information Sources
- Conflict Prevention

Leadership Competencies

Current leadership competencies were not separately identified for each of the offices. However, S/CRS should focus on the introduction and implementation of a leadership competency model that links to the U.S. Office of Personnel Management's (OPM's) Executive Core Qualifications (ECQs) and the leadership competencies of State's Foreign Service Institute. Building on OPM's leadership competencies, as well as those of the Foreign Service, would enable S/CRS to establish a consistent, core model for all leadership positions while providing a road map for the selection and development of the organization's future leaders.

The five core competencies, based on OPM's five ECQs, are:

- Leading Change (i.e., designing and implementing an organizational vision that integrates key national and/or program goals, priorities, values, and other factors; balancing change and continuity while creating a work environment that encourages creative thinking and improved customer service and program performance);
- Leading People (i.e., designing and implementing strategies that maximize employee potential and foster high ethical standards in meeting the organization's vision, mission, and goals);

- Results Driven (i.e., making timely and effective decisions and producing results through strategic planning, performance measurement, continuous improvement, and implementation and evaluation of programs and policies);
- Business Acumen (i.e., acquiring and administering human, financial, material, information, and resources in a manner that instills public trust and accomplishes the organization's mission); and,
- Building Coalitions and Communication (i.e., explaining, advocating, and expressing facts and ideas to negotiate with or convince others to work toward common goals; developing a professional network with other organizations and effectively representing an organizational unit and its work to others).

Each of the above five core competencies has "underlying competencies" that more definitively describe the meaning and characteristics of the core competency. The "underlying competencies" for each of the five core competencies are:

Leading Change

- Creativity and Innovation
- External Awareness
- Flexibility
- Resilience
- Vision
- Strategic Thinking

Leading People

- Team Building
- Conflict Management
- Leveraging Diversity
- Developing Others

Results Driven

- Accountability
- Customer Service
- Decisiveness
- Entrepreneurship
- Problem Solving
- Technical Credibility

Business Acumen

- Financial Management
- Human Capital Management
- Technology Management

Building Coalitions and Communication

- Influencing/Negotiating
- Partnering
- Political Savvy

Inherent in any leadership competency model is the understanding that prior to encumbering a leadership position, the new leader will also have shown certain fundamental competencies. These fundamental competencies are critical to success on the job as a leader and should be demonstrated prior to movement into the position. The following fundamental competencies are recognized by and linked to OPM's leadership framework and DOS's requirements:

- Integrity/Honesty
- Interpersonal Skills
- Oral Communication
- Written Communication
- Continual Learning
- Public Service Motivation
- Institutional Knowledge

Definitions for all of the competencies cited above are included in Appendix A.

Future Competency Gaps

While S/CRS leadership expects competencies to remain relatively the same as the organization grows and evolves, there could be future circumstances that impact the criticality and requirement of certain competencies, particularly those of a technical nature. S/CRS should continue to monitor and assess its competency requirements to ensure that the right people with the right skills and competencies are being hired, promoted and trained. Also, while the competencies themselves may not change, the need for more individuals possessing certain competencies may increase. Thus, S/CRS managers should ensure that they are factoring in competency gaps and needs when recruiting and training their workforce.

A challenge facing S/CRS is the need for strong leadership and management as the organization grows and employs more junior staff members. While the current workforce is more seasoned and experienced, thus demanding less direction and guidance, new more junior staff will be looking to its leaders for that "line of sight" and sense of achievement. S/CRS should develop a plan to strengthen its leadership competencies, particularly among the senior Civil Service cadre who serve as the continuity factor for the organization. Strong leadership is fundamental to program achievement, organizational efficiency and effectiveness, and staff development and retention.

VI. Closing the Gaps

There are a number of strategies that S/CRS may employ to close its leadership, organizational and workforce gaps. Many of them require significant long-term commitment of resources and may not be as feasible for S/CRS to consider now as they might be in future years. But some of the gap-closing strategies are more easily introduced and implemented and they are the ones that are being recommended to address issues previously discussed in this report.

Improving Span of Control and Clarifying Reporting Relationships

Establish New Deputy Coordinator Position

In order to increase its effectiveness, S/CRS may wish to consider the creation of a third Deputy Coordinator position within the Office of the Coordinator. This would enable the organization to designate a Principal Deputy Coordinator position, free from supervision of office operations, which could focus on the total operation and those issues that are cross-cutting that S/CRS must address during its future growth. The remaining two Deputy Coordinators would report to the Principal Deputy Coordinator and be responsible for daily office operations.

Recommendation:

S/CRS should establish a third Deputy Coordinator position, assign the Principal Deputy Coordinator to the Office of the Coordinator, and assign the two remaining Deputies as Deputy Coordinator for Operational Support and Deputy Coordinator for Operations.

The third Deputy, the Principal Deputy Coordinator (PDC), would be housed in the Office of the Coordinator and would be free to ensure the other Deputies are in-sync with the guiding principles established by the Coordinator and communicating the same direction to the office directors and staff. In addition, the PDC will monitor all issues, particularly those that are cross-cutting and impact more than one organizational unit, to ensure that the issue has been thoroughly discussed and all viewpoints considered before making a decision or referring to the Coordinator for decision. The only decisions that would be referred to the Coordinator would be those decisions that are not covered by the organizational guiding principles or previous Coordinator guidance.

Establish New Chief of Staff/Executive Assistant Position

A senior Chief of Staff/Executive Assistant position could be added and designed to assist the PDC and other Deputy Coordinators in serving as "front office manager" and establishing a precise order and process for vetting issues and ensuring all S/CRS actions and paperwork are prepared consistent with NSC, Department of State, or interagency protocol and process. Many organizations similarly structured effectively use a "Chief of Staff/Executive Assistant" function to solve problems, mediate disputes, and deal with issues before they are escalated to the Coordinator. A "Chief of Staff/Executive Assistant" is also well-suited to serve as a confidante and advisor to the senior deputy positions and

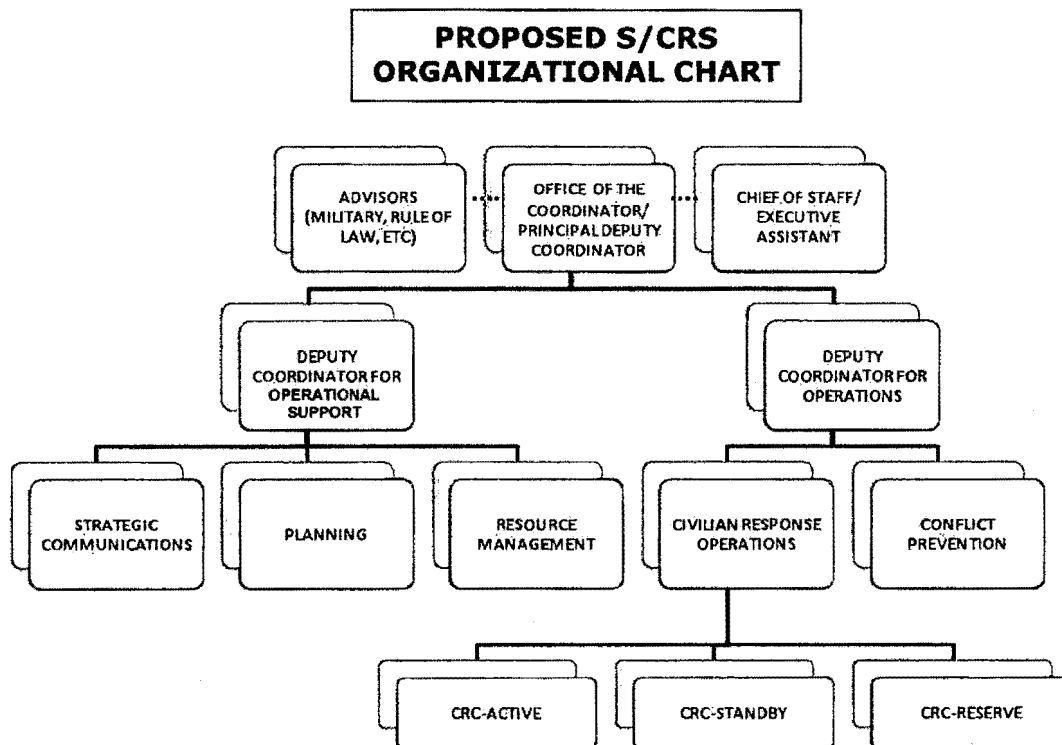
serve as a sounding board for ideas. This position should be at the SES or SFS level to enable the individual to effectively deal with office director and other senior level officials.

Recommendations:

S/CRS should establish a senior Chief of Staff/Executive Assistant position to assist the PDC and other Deputy Coordinators in serving as "front office manager."

S/CRS should establish a precise order and process for vetting issues to ensure all S/CRS actions and paperwork are prepared consistent with NSC, Department of State, or interagency protocol and process.

The following organizational chart depicts the possible organization including the new positions.



Establish Senior-Level Positions for Foreign Service and Civil Service

As S/CRS moves into organizational maturity, it is important that all senior positions be identified for appropriate classification determinations and staffing designations. The FS/CS staffing decisions regarding these positions will be a key element of ensuring leadership stability. While these positions would not be part of career ladders for civil service

S/CRS Workforce Assessment and Plan
July 10, 2009

employees, the possibility that some senior positions could be filled with civil service employees could serve as a promotion possibility and retention incentive for GS employees who are serving in junior positions. In addition, with FS positions at the mid- and senior-levels, S/CRS may be able to attract some officers to return for a second or third tour during their career.

Recommendations:

S/CRS should ensure that, as the organization grows in numbers and responsibilities, an Office Director position filled with an FSO is balanced with a Deputy Office Director in the Civil Service (or vice versa). S/CRS should work with A/EX/HRD to determine in which offices this arrangement would be supportable. The two Deputy positions could be similarly staffed so that both are never encumbered at the same time by FSOs or other agency detailees.

S/CRS should work with A/EX/HRD and the Department's HR officials to evaluate and appropriately classify its senior Civil Service positions as SES and/or SL in the case of the Director of RMO.

S/CRS should ensure necessary paperwork and approvals are secured to fill Deputy Coordinator and any open SFS Office Director positions as well as SES/SL positions in the Civil Service.

S/CRS should incorporate, into its annual strategic planning process, future evaluations of its other Office Director positions for the potential for additional SFS and/or SES/SL positions.

Clarify Specific Roles and Functions to Minimize Overlap

S/CRS in its formative stage has fostered extensive collaboration among all of the organizational units. As the organization more than doubles in size over the next two fiscal years, it is important to maintain communication across office lines in order to ensure understanding of office roles and responsibilities. The establishment of the new PDC and Executive Assistant position should strengthen the front office leadership capabilities. Each Deputy Coordinator should establish specific performance goals and performance metrics for each of their offices. The PDC and Chief of Staff will track those cross cutting issues and determine appropriate assignment of tasks. Any office disagreements or discussions regarding responsibilities will be addressed and resolved by the Chief of Staff or, if necessary, by the PDC.

Recommendations:

S/CRS should review and issue final revised functional statements for all organizations and ensure organizational understanding of roles.

Establish Strategic Planning Group

Recent work to review, revise, and update the S/CRS mission statement, vision statement, goals, and annual Bureau Strategic Plan points out the need for a formally chartered Strategic Planning group comprised of agency leadership, key managers, and support office heads to take responsibility for coordinating, revising, updating, and issuing operating plans that are carefully linked to specific agency strategic goals and backed by meaningful, measurable, and useful measures and metrics. This group would maintain and

ensure the currency of strategic planning documents and serve as an important component and contributor to annual budget planning processes.

It is important that this group have a direct linkage to the S/CRS leadership; therefore, the group should consist of the PDC, Deputy Coordinators, Chief of Staff, Office Directors and other senior S/CRS officials identified by the PDC. This group could meet on an established basis, perhaps quarterly, and ad hoc as necessary. The group should be chaired by the PDC with the Director of Resource Management serving as an executive secretariat with responsibility for developing meeting agenda, conducting necessary research requested by the Strategic Planning Group (SPG), and maintaining all records of meetings taskings and work products. RMO should receive additional resources to staff and/or support this new function.

Recommendations:

S/CRS should established a formally chartered Strategic Planning Group comprised of agency leadership, key managers, and support office heads to coordinate, revise, update, and issue operating plans that are carefully linked to specific agency strategic goals.

Budget/Staffing

The budget and staffing mix proposed for S/CRS's Bureau Strategic Plan for FY 2011, and supported by this review, maintains a general ratio of Civil Service to Foreign Service employees at 2:1. This ratio appears to be reflective of a level that will provide continuity within the organization while encouraging an influx of new ideas and experiences gained in the Foreign Service. The organizational structure that has been evolving since S/CRS's inception is developing into one that has manageable supervisory ratios throughout the offices. Should the movement of FS managers to new tours and/or the deployment of staff to developing countries, such as Afghanistan, begin to negatively impact these ratios and cause management hardships, then S/CRS may want to re-examine its allocation of supervisors/managers to professional/administrative staff for better position management and re-balancing of staff.

Under the staffing mix projected for FY 2011 and supported by this review, additional staff were included in the chart under the "Other" column. These numbers are based on the need to build the pipeline of talent for S/CRS, as described elsewhere in this report. In order to introduce new recruitment sources and career levels to the organization, the staffing numbers and associated funding will need to be initially increased for "Other" staff. Some of the programs recommended for new talent and positions do not require inclusion of FTEs while the students or fellows are working under the excepted service authority or special employment program. However, some – such as the SCEP hires – will be counted against the FTEs once they are converted to permanent positions upon graduation. Some programs (such as Pickering Fellows) require rotational assignments within DOS while others require rotations and developmental activities within S/CRS – such as the Federal Career Intern Program. S/CRS should work closely with its human resources contacts and experts to determine how best to develop and implement each new hiring program or authority, factoring in the requirements for career development and conversion to the competitive service at the end of the respective program. These decisions will drive the exact numbers to be hired under each designated program but the following recommendations support a range of new hires under the programs most conducive to S/CRS's needs at this time.

S/CRS Workforce Assessment and Plan
July 10, 2009

Recommendations:

For the coming year, S/CRS should target the addition of new staff under the "Other" category by recruiting 4 - 6 SCEP students (either baccalaureate or graduate level), hiring 1 former Peace Corps individual, and expanding the numbers of Presidential Management Fellows and/or Pickering Fellows to a combined total of 3. By starting with reasonable numbers, S/CRS will ensure that the existing staff will have time to determine how to effectively use the new recruits and to focus on developing and implementing a new Career Intern Program to be included with these programs in the next recruitment round.

Building Capacity at all Levels (Entry, Intermediate, and Journey)**Establishment of Career Ladders and Career Paths/Patterns**

As previously addressed, establishment of career ladders is critical to the planned management of work assignments and distribution, compensation for work products and performance, and career progression. With the proposed increases in staff and evolving demands on the existing staff's time and skills, S/CRS should initiate a classification effort to create career ladders for its line program jobs, to be later followed by a review and determination of the feasibility of career ladders for specific staff and support positions. The career ladders will ensure that, as the pipeline for S/CRS's talent is extended, new hires' competencies and work assignments are commensurate with their placement in the organization and may be expanded as the new hires progress through their careers.

Career paths and career patterns would be next steps for S/CRS to take in defining career opportunities for new and existing staff. Career patterns, in particular, focus on the ever-changing employer-employee relationships that are critical to attracting and retaining the workforce of the 21st century. These career patterns would enable the workforce to clearly see the linkage of the organization's mission to a dynamic work environment while also providing opportunities to the workforce to move throughout S/CRS, adjust work arrangements, and/or support career interests at various times in one's career.

Recommendations:

S/CRS should work with its Human Resources experts including A/EX/HRD to explore development of career ladders for its most critical program occupations. These career ladders would then serve as the foundation for recruitment efforts at multiple grade levels.

In conjunction with the development of career ladders for its mission-critical occupations, S/CRS should consider the development and implementation of career patterns linked to these career ladders. This effort would also incorporate the benefits of career pathing in a more S/CRS-specific plan.

Require Learning Agreements and Leadership Development Training

S/CRS's growth over the next few years will bring with it many junior level staff members. Junior staff will require greater direction and supervision than the current staff who are quite seasoned and work with little direction. In order to prepare for this leadership challenge, S/CRS should identify, through an appropriate mechanism, future supervisors and develop Learning Agreements as part of their performance management program. Learning Agreements (LA) should also be a critical part of each division chief and office director's performance plan.

Each LA should be individualized to address the competency development needs of each individual. The LA should consist of formal training at FSI and other training institutions such as Federal Executive Institute, National Defense University War College, and other sources of leadership training. The LA can also consist of on-the-job training in the form of special projects, interagency details, task force assignments, etc. On-line distance learning options are also possible components of an LA. An LA as a component of the performance management program indicates the importance S/CRS leadership places on the development of leadership competencies and the value these competencies have to an individual's professional development and career progression.

Recommendations:

S/CRS should review and evaluate the feasibility of participating in leadership development programs and courses sponsored by the Foreign Service Institute, OPM, universities, and other institutions. Each of the S/CRS leaders, particularly those in the Civil Service, should be assessed for his/her leadership competencies. Based on this assessment, a Learning Agreement (focused on enhancement of leadership competencies) should be prepared and applied for each applicable employee.

Use of Executive Coaches

Executive coaches can be an excellent tool for the development of current executives in S/CRS. Executive coaches can come from a variety of sources but in all cases should be properly certified and qualified to perform as a coach. S/CRS can work with existing Department of State programs to identify current or former senior officers who might serve as executive coaches, identify a viable list of candidates from a brainstorming session with S/CRS leadership, or possibly contract with a firm that specializes or offers executive coaching. Executive coaches do not solve the problems confronting their executives, but instead assist them in identifying the relevant factors in addressing the executive's issue. The coaching sessions should occur on a regular basis but can take the form of face-to-face meetings, conference calls, e-mails or a combination.

Recommendations:

S/CRS should explore existing resources (State programs such as FSI, HR Bureau, etc.) or consider seeking assistance from external providers to obtain certified Executive Coaches to develop and foster strong leadership skills at executive levels of the organization.

Recruiting Staff

There are a number of student and special employment programs that are highly effective in recruiting the best talent to an organization. To meet its program and organizational needs as well as future workforce requirements, S/CRS should focus, in the near term, on a targeted recruitment plan that includes programs such as

- **Federal Career Intern Program (FCIP):** Recruitment is at GS-5, 7 and 9 levels with a career development component; selected candidates are appointed to two-year internships in Excepted Service and eligible for conversion to permanent appointments after completion of the two years;
- **Student Career Experience Program (SCEP):** Formerly referred to as the cooperative education program for students at all levels of education, students work in jobs directly related to their field of study under agreements signed between educational institution and DOS; students who satisfactorily complete their course requirements and have worked minimum of 640 hours are eligible for conversion to permanent appointments within 120 days following successful completion of education requirements;
- **Employment of Former Peace Corps Staff:** Peace Corps staff with no less than 36 months of continuous service in the Peace Corps are eligible for non-competitive appointments to permanent positions for which they are qualified; appointments must be made within 3 years of separation from Peace Corps service;
- **Presidential Management Fellows Program:** One component is for hiring at grades GS-9, 11, or 12 and equivalent while second component is for grades GS-13, 14 or 15 and equivalent; candidates are nominated by their graduate schools and are screened by OPM for referral to and selection by agencies; finalists are eligible for two-year fellowships and may be converted to permanent positions following successful completion of the two-year fellowship; and,
- **Pickering Fellows Program:** Program is specifically designed for and funded by DOS; fellowships are directed to bachelor's and graduate degree candidates who rotate throughout DOS.

Recommendations:

S/CRS should develop a recruitment plan that incorporates efforts to introduce and implement SCEP, Peace Corps hiring, and Federal Career Intern Program and to continue its tapping of Presidential Management Fellows and Pickering Fellows. Prior to initiating the recruitment plan, S/CRS should explore ways to leverage and maximize its resources in dealing with colleges and universities, Peace Corps, and other institutions serving as talent sources. In its recruitment plan, S/CRS should also factor in ways to improve its workforce diversity and to meet its EEO goals.

FCIP and SCEP would allow S/CRS to create a recruitment and development program for students that is S/CRS specific, while programs such as Pickering and Presidential Management Fellows require a variety of organizational rotations within DOS. Employment of former Peace Corps volunteers provides an opportunity to hire employees who have experienced overseas assignments, often under difficult circumstances. Use of these new programs will require supervisory and management commitment to ensure proper development and utilization of skills. Student programs, particularly SCEP, are an excellent

vehicle to allow an organization to examine an individual in the work setting before making a permanent hiring decision; the programs also enable students to decide whether the organization has a suitable work environment and offers work opportunities commensurate with their career goals and objectives.

In addition to programs cited above, there are special hiring flexibilities that may be tapped to expand the candidate pool and encourage the best talent to accept positions in S/CRS. These hiring flexibilities or authorities have been developed and issued by OPM for agencies to use when recruiting and bringing new employees into the Federal Civil Service. Each hiring authority or flexibility has specific rules that must be followed throughout the hiring process or prior to the new hire coming on board. Some hiring flexibilities or authorities of potential value to S/CRS (and, in some cases, are already be used to some extent) in future recruitment efforts are:

- **Student Loan Repayment:** Repayment of student loans of Federal employees up to \$10,000 per year or \$60,000 total with service agreement required;
- **Tuition Assistance:** Payment of some or all of students' tuition costs for courses related to their jobs;
- **Waiver of Dual Compensation Restrictions:** Re-employment of annuitants with full salary based on unique credentials or emergency conditions and approved by OPM;
- **Recruitment Bonuses:** Recruitment incentive of up to a total of new employee's annual basic pay at beginning of service period with no more than 25% of basic pay per year, paid for up to 4 years;
- **Direct Hire Authorities:** Authorities granted by OPM for specific position or occupation where there is a severe shortage of candidates or a critical hiring need;
- **Veterans Recruitment Authority (VRA):** Eligible veterans appointed to positions at any grade level through GS-11 or equivalent and eligible for conversion after two years to permanent appointments;
- **Superior Qualifications:** Approval to set pay for appointment to General Schedule positions above step 1 of the grade, based on superior qualifications of the candidate or special needs of the agency;
- **Travel and Transportation Expenses for Interviews and/or New Appointments:** Payment of travel or transportation expenses of any individual candidate for a pre-employment interview or for a new appointee to the first duty post;
- **Advanced Payments for New Appointees:** Advancement to a new hire of up to two paychecks to meet living and other expenses;
- **Bilingual/Bicultural Program:** Hiring of applicants with Spanish language proficiency and/or requisite knowledge of Hispanic culture under non-competitive action when competitive examining is also used;
- **Hiring of 30% or More Disabled Veterans:** Appointment of eligible candidates to any position for which they are qualified, without competition and with eligibility for non-competitive conversion to permanent status at any time; and
- **Hiring of Persons with Disabilities:** Hiring under competitive or non-competitive process, based on disability and proof of disability, of candidates who are qualified for positions.

More in-depth information on each of the programs and hiring flexibilities/authorities is included in Appendix B.

Recommendations:

While use of the Superior Qualifications flexibility has served S/CRS well in the past, the organization should consider using other flexibilities, in addition to the superior qualifications one, linked to the career levels for which S/CRS is recruiting. For the cooperative education students, tuition assistance is an excellent flexibility; for recent college graduates, the student loan repayment program is well-received by candidates; for Federal retirees, the waiver of dual compensation is important; and, for all recruits, travel and transportation expenses and recruitment bonuses are attractive flexibilities. S/CRS should tailor its offerings to the situation - i.e., difficulties in recruiting for the position and the criticality of the skills being sought.

Retaining Staff

While attracting and hiring talent is extremely important, it is just as or even more important to retain and develop the talent already on the organization's rolls. Losing talented employees not only results in possible disruptions in delivery of agency work or continuity of agency processes, but it also brings with it the cost of recruiting, attracting, selecting, and developing a suitable replacement. Accordingly, an organization following smart principles of human capital management will stay attuned to possible losses of key personnel and will take steps to minimize these losses.

While there is no evidence S/CRS faces significant attrition or a retention problem, it is a relatively small organization with highly-specialized employees with skill and knowledge or experience in very specific areas. As a result, loss of even one employee with a key skill set in a critical area at an inopportune time could be very disruptive to S/CRS's ability to carry out its mission requirements. Accordingly, S/CRS would do well to prepare and plan for such losses and make available retention tools to help mitigate losses.

There are a number of specific retention tools and incentives geared to retaining existing employees in an organization. Some, such as the Student Loan Repayment Program and Tuition Assistance, are described above as recruitment tools but they are also applicable to existing employees as retention incentives. Given the status of S/CRS's existing size, the following are most likely the most beneficial retention tools to consider for existing employees who might be inclined to leave the organization for other opportunities:

- **Retention Allowances:** Allowance or bonus of up to 24% of an employee's annual rate of basic pay to a current employee who has completed one year of service with the agency and whose services are essential to retain;
- **Relocation Incentives:** Payment of up to 25% of an employee's annual rate of basic pay for up to 4 years when employee must move to a different commuting area;
- **Referral Bonuses:** Cash bonuses to employees referring job applicants who are later selected and successfully employed with S/CRS;
- **Incentive Awards:** Recognition of successful employees through performance awards and special act/service awards as well as DOS-specific awards.

Additional information on the retention incentives cited above is included in Appendix B.

Recommendations:

S/CRS should determine, based on valid and legitimate criteria, which retention incentives it will offer to ensure that staff will stay with the organization. These decisions should be based on the immediacy of someone's leaving, the availability of funds, the impact on accomplishment of S/CRS's mission and programs, and/or the desire to recognize the top performers.

Training and Developing Staff

S/CRS should ensure that Individual Development Plans (IDPs) are developed and implemented for all staff, both FS and CS. The IDPs should be prepared during meetings held jointly with the supervisor and employee to discuss what is needed by the employee to move to the next higher career level, what the organization needs to meet program and mission requirements, and training and developmental activities that may be generally applied throughout the organization. Meaningful interaction between the employee and his/her supervisor to develop and implement an IDP or learning agreement will ensure that individual and organizational competency gaps are addressed.

Training and development activities should be focused on each employee's growth and development critical to S/CRS's mission and programs. Activities should include formal training programs, self-development resource guides, e-learning and computer-based self-instructions; job details and assignments; coaching and mentoring relationships; development center workshops and feedback; and, workgroup/task-specific assignments that support development of critical competencies.

There are various approaches to offering meaningful training and development opportunities to employees. One method is not better than another; thus, S/CRS should seek to establish a blended learning system or approach that combines Web-based, interactive, collaborative, and face-to-face learning, and utilizes the best medium for the level of learning required. A blended learning system will also create a structure that enables movement from one learning experience to the next so that each approach reinforces and builds upon the last.

S/CRS has already invested considerable attention to training staff in preparation for deployments but additional efforts may be required to strengthen other competencies and skills. Lessons learned from FSI training and other evaluations should be considered in identification of other opportunities and their potential for application to S/CRS employees. Assessment of training objectives, curricula, and results should ensure that S/CRS makes the right decisions and receives the best return-on-investment when designing or implementing training and development activities.

Recommendations:

S/CRS, as part of its annual strategic planning exercise, should conduct a broad competency assessment of their organizations and workforce.

S/CRS should ensure that Individual Development Plans (IDPs) are developed for all FS and CS employees and used as a routine part of ongoing employee development and as feeder sources for future agency leadership pipelines.

Creating a High Performance Organization's Culture and Work Environment

While S/CRS's goal is to construct and maintain a high-performance organization, it should be cognizant of the following factors that are critical to attracting and retaining the workforce of the future:

- **Diversity** - a visible organizational commitment to the promotion of workforce diversity;
- **Career Development and Advancement** - identifiable organizational commitment to timely employee professional and personal development;
- **Work Life Balance** - organizational commitment to policies and programs designed to improve the quality of an employee's work life;
- **Recognition** - having a viable, valued incentive program that recognizes individual and team achievement;
- **Employee Benefits** - providing benefits to employees that have meaningful economic impact to them; and
- **Performance** - ensuring a fair and equitable system for evaluating employee performance.

While all of the factors listed above are important, research has shown that lack of career development opportunities is usually one of the primary reasons an employee leaves an organization. If S/CRS decides to use new recruitment methods and start to build workforce pipelines, then it is critical to understand and appropriately factor in those issues that will determine whether the right people with the right skills and competencies are attracted to and stay with the organization. Established career ladders, paths and/or patterns would serve as road maps for S/CRS employees seeking career advancement while expecting their contributions to be of value to the organization.

Besides offering retention incentives or tools, S/CRS should explore ways to continue to motivate their employees and build a stronger work culture and environment. In recent years there have been a number of studies that point to poor supervision or lack of supervision as the number one reason new hires quit their jobs early. New hires, as well as all employees, expect their supervisors to fairly assign challenging work, offer training and development opportunities, be open to new ideas and work processes, and provide the support necessary for them to succeed in the organization. Inadequate challenging work, lack of training and development, lack of opportunity to express ideas, and/or insufficient support by supervisors and managers have proven to be the underlying causes for employees' citing poor supervision and management as the reason for leaving.

Another major reason cited in numerous studies for employees' leaving public and private sector organizations is the lack of a family-friendly culture or environment. With the various family-friendly programs and activities available to Federal employees, S/CRS should ensure that its employees are educated on their requirements, offer them as appropriate, and ensure that the programs are implemented in a fair and equitable way. While some programs may not be feasible for certain situations, given the mission and demands of S/CRS, there are a number of family-friendly programs and activities that may provide employees with their desired work-life balance.

S/CRS Workforce Assessment and Plan
July 10, 2009

Recommendations:

S/CRS should examine its work-life balance and work assignments to determine the extent to which employee satisfaction is impacted. S/CRS should then examine its use of family-friendly programs, make appropriate adjustments, and convey clearly to employees what is available.

VII. Implementation Strategies

Based on the recommendations proposed in this report, S/CRS may want to determine which action items have the highest priority and may bring the greatest return on investment in a short time period. Other recommendations may require further evaluation and more extensive research and work in order to implement but may have more of a long-term impact on the organization. This outline of implementation strategies provides S/CRS with a brief description of potential actions to take for specific recommendations and can serve as a starting point for development of a more detailed workplan.

1. Recommendation: Establish a third Deputy Coordinator position and assign the Principal Deputy Coordinator to the Office of the Coordinator and the other two Deputy Coordinators for Operational Support and Operations respectively.

ACTIONS TO TAKE:

- Work with A/EX/HRD and other DOS officials to develop position descriptions and effect selection(s) and any related actions.
 - Update organizational chart and related documents to reflect reporting relationships and the new position.
-

2. Recommendation: Establish a senior Chief of Staff position.

ACTIONS TO TAKE:

- Draft a list of duties and determine if the position would be FS or CS.
 - Work with A/EX/HRD to develop and classify position description.
 - Initiate recruitment and staffing of position, according to FS or CS requirements.
-

3. Recommendation: Establish and effect senior-level positions in the SFS and CS – including SES position(s) and/or SL position.

ACTIONS TO TAKE:

- Evaluate the current status of Office Directors in terms of existence, need and supportability for Deputy positions.
 - Based on the above evaluations, work with A/EX/HRD to develop and classify position descriptions in either the FS or CS to act as Deputies to Office Directors.
 - Review Deputy Coordinator positions to determine appropriateness and feasibility of one position being encumbered by a CS individual.
 - Work with A/EX/HRD and Departmental HR officials to request SES slot for the position of Director, CRC, and SES or SL slot for the Director, RMO position, depending on the Department's determination.
 - Work with A/EX/HRD and Departmental HR officials to seek and secure approvals from the Executive Resources Board for the allocation, classification, and filling of approved position(s).
 - Ensure that, in the future, any organizational changes which may impact the classification of other Office Director positions are assessed in terms of supporting additional SFS or SES/SL positions.
-

4. Recommendation: Review and issue revised functional statements for all S/CRS organizations.ACTIONS TO TAKE:

- Review existing functional statements in FAM against recent briefing submissions prepared for the new Acting Deputy Coordinator, BSP 2011 documents and other appropriate materials to identify necessary changes to functional statements.
- Draft revised functional statements and circulate among Office Directors.
- Finalize functional statements and include them when updating FAM.

5. Recommendation: Establish a formally chartered Strategic Planning Group (SPG).ACTIONS TO TAKE:

- Draft charter covering composition, role and responsibilities of proposed SPG.
- Designate Principal Deputy Coordinator as chair and Director, RMO as Executive Secretariat.
- Set up first meeting of SPG and, based on Group's recommendations, establish a regular meeting schedule.
- Ensure SPG determines how to carry forward meeting results to an actionable direction.

6. Recommendation: Target addition of new staff under the "Other" category by using student employment and special programs and by developing and appropriate recruitment plan.ACTIONS TO TAKE FOR SCEP HIRING:

- Working with A/EX/HRD, gather information on which colleges and universities already have cooperative education (or SCEP) agreements with DOS for four-year and graduate degree programs.
- Based on information from above, determine feasibility of using any of these agreements and the need for initiating agreements with additional colleges and universities.
- Set up a recruitment plan and schedule to maximize timing of students' availability and meeting of requirements of selected colleges/universities for both baccalaureate and graduate levels as well as meeting workforce diversity goals.
- Match selected students' skills and coursework to specific S/CRS offices and/or determine if rotations within S/CRS are desired by managers.
- Work with A/EX/HRD to develop position descriptions and effect recruitment/staffing actions necessary to bring students on board.
- Orient students on S/CRS's mission and programs and regularly follow up with supervisors and students to ensure each student is given work assignments commensurate with his/her degree.
- Monitor with A/EX/HRD the completion of work schedules and eligibility for conversion within 120 days after graduation.

ACTIONS TO TAKE FOR PEACE CORPS HIRING:

- Draft list of duties for the proposed position(s) and determine which S/CRS office will employ the Peace Corps hire(s).
- Work with A/EX/HRD to develop and classify position descriptions and effect personnel actions.

S/CRS Workforce Assessment and Plan
July 10, 2009

ACTIONS TO TAKE FOR PRESIDENTIAL MANAGEMENT FELLOWS (PMFS) AND PICKERING FELLOWS:

- Continue to work with A/EX/HRD and DOS's coordinators to select PMFs and Pickering Fellows.
- Determine which offices will offer rotations for selectees and for what periods of time.

ACTIONS TO TAKE FOR ALL PROGRAMS:

- Establish whether numbers should be adjusted based on ability to select the right candidates. If unable to tap PMFs and Pickering Fellows, consider increasing the number of SCEP students.

ACTIONS TO TAKE FOR FEDERAL CAREER INTERN PROGRAM (FOR FUTURE RECRUITMENT EFFORTS):

- Work with A/EX/HRD to develop a Federal Career Intern Program (FCIP) plan that encompasses recruitment/employment and career development components.
- Determine the number of positions and placements in offices before initiating program.
- Conduct outreach to targeted recruitment sources with the goal of encouraging candidates with competencies needed to fill gaps and possibly meet diversity goals to apply for positions.
- Work with A/EX/HRD to make selections according to OPM and DOS requirements for FCIP.
- Monitor execution of the career development part of FCIP during the first two-years following appointments since this is a critical requirement that must be met in order to allow conversion to permanent jobs after two years.

7. Recommendation: Develop career ladders for appropriate program occupations.

ACTIONS TO TAKE:

- Work with A/EX/HRD to initiate review of the feasibility of career ladders for specific program occupations.
- Based on the results of this review, proceed with the establishment of career ladders including drafting lists of duties for positions for which there are no existing position descriptions.
- Request A/EX/HRD to develop and classify position descriptions for all levels in chosen career ladders.
- Monitor progression of employees within the established career ladders for career progression of incumbents.

8. Recommendation: Participate in leadership development programs, assess leadership competencies of S/CRS leaders, and establish learning agreements for leaders.

ACTIONS TO TAKE:

- Work with Foreign Service Institute and A/EX/HRD to identify existing leadership development programs and their availability to S/CRS leaders.
- Determine and carry out the most appropriate way to assess leaders against the leadership competencies (i.e., self-assessment, assessment by each manager's supervisor, questionnaire, etc.).
- Based on competency assessment results, develop learning agreements for each S/CRS leader.

S/CRS Workforce Assessment and Plan
July 10, 2009

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- Monitor implementation of learning agreements to ensure that development programs, courses and activities are completed.
-

9. Recommendation: Use hiring flexibilities, in addition to superior qualifications, for future recruits.

ACTIONS TO TAKE:

- Assess the effectiveness of previous cases in which superior qualifications' pay was awarded to determine their success in recruiting the best employees.
 - Determine the availability of funds to use for other flexibilities such as tuition assistance for SCEP hires, recruitment bonuses for hard-to-fill or critical-need positions, student loan repayments for recent college graduates, and any other flexibilities under consideration.
 - Establish criteria for when flexibilities would be offered to ensure that S/CRS is able to support its reasons for offering a flexibility to one person and not another.
-

10. Recommendation: Determine when retention flexibilities/incentives will be offered to employees.

ACTIONS TO TAKE:

- Determine the availability of funds to use for retention purposes.
 - Establish criteria for when retention incentives would be offered to encourage an S/CRS employee to remain with the organization.
 - Work with A/EX/HRD to consider the design and implementation of a referral bonus program and to evaluate use of incentive awards program with goal of motivating good performers through proper recognition.
-

11. Recommendation: Conduct competency assessment of organization and workforce as part of strategic planning exercise.

ACTIONS TO TAKE:

- Determine the most effective competency assessment process to be used on an annual basis, tied to the BSP process and timing (e.g.: Office Directors could identify competency gaps at a broad organizational level; or, each supervisor could assess his/her own subordinates against prescribed competency requirements and identify gaps; or, all employees could complete self-assessments against prescribed competencies and the results would be analyzed for gaps).
 - Identify any organization and/or individual competency gaps to serve as foundation for future recruitment and/or training/development efforts.
-

12. Recommendation: Develop and use Individual Development Plans (IDPs).

ACTIONS TO TAKE:

- Using information from the competency assessments or discussions between supervisor and employee, require each FS and CS employee to prepare an IDP with input/feedback from his/her supervisor.
- Monitor completion of training and development activities listed in each IDP.
- Update IDPs on an annual basis or after any position change.

S/CRS Workforce Assessment and Plan
July 10, 2009

The recommendations related to assessment of the vetting process for documents and decision papers, the use of executive coaches, the development of career paths and patterns, and the review of family-friendly programs geared to supporting work-life balance are not included in this section on Implementation Strategies since all three are areas that may be deferred for action until completion of the prioritized recommendations and associated action items.

APPENDIX A. Competencies

Competencies Defined

A competency, as defined by the Office of Personnel Management and human resources experts, is a "an observable, measurable pattern of skills, knowledge, abilities, behaviors, and other characteristics needed to perform work roles or occupational functions successfully" Competency-based management of human capital represents a significant departure from the "old way" of recruiting, selecting, developing, and measuring the performance of employees. In the past, organizations focused on knowledge and skills to define the requirements for their employees even though knowledge and skills do not typically differentiate superior performers from average performers; nor do they accurately predict which candidates will become successful employees.

To clarify the differences between the traditional knowledge, skills and abilities (KSAs) and competencies, competencies can be viewed as not only including KSAs but also encompassing the "Other Characteristics" concept that was used years ago in recruitment and staffing. Competencies reflect what a person must know to perform defined job tasks (KSAs) as well as behaviors that motivate the person and impact the accomplishment of goals and objectives. Thus, competencies go beyond job tasks and focus on more expansive and descriptive work roles. Competencies define the "whole person," not just the technical capabilities of the person (or knowledge, skills and abilities).

Competencies are applied to a particular job rather than an individual employee. They are typically validated by employees who are performing the competency at least at an acceptable (journeyman) level.

Competencies tend to be either general or technical. General competencies reflect the cognitive and social capabilities (e.g., problem solving, interpersonal skills) required for job performance in a variety of occupations. While technical competencies are more specific as they are tailored to the particular knowledge and skill requirements necessary for a specific job

A job analysis is the foundation of identifying requisite competencies for positions. A valid job analysis provides data that should be used to develop effective recruitment, selection, performance management, and career development methodologies. The time constraints and focus of this study did not include rigorous job analysis. Therefore the discussion of competencies is of a general nature but very relevant to S/CRS and its future organizational growth.

- **Attention to Detail** - Is thorough when performing work and conscientious about attending to detail.
- **Creative Thinking** - Uses imagination to develop new insights into situations and applies innovative solutions to problems; designs new methods where established methods and procedures are inapplicable or are unavailable.
- **Customer Service** - Works with clients and customers (that is, any individuals who use or receive the services or products that your work unit produces, including the general public, individuals who work in the agency, other agencies, or organizations outside the Government) to assess their needs, provide information or assistance, resolve their problems, or satisfy their expectations; knows about available products and services; is committed to providing quality products and services.

- **Decision Making** - Makes sound, well-informed, and objective decisions; perceives the impact and implications of decisions; commits to action, even in uncertain situations, to accomplish organizational goals; causes change.
- **External Awareness** - Identifies and understands economic, political, and social trends that affect the organization.
- **Flexibility** - Is open to change and new information; adapts behavior or work methods in response to new information, changing conditions, or unexpected obstacles; effectively deals with ambiguity.
- **Influencing/Negotiating** - Persuades others to accept recommendations, cooperate, or change their behavior; works with others towards an agreement; negotiates to find mutually acceptable solutions.
- **Integrity/Honesty** - Contributes to maintaining the integrity of the organization; displays high standards of ethical conduct and understands the impact of violating these standards on an organization, self, and others; is trustworthy.
- **Interpersonal Skills** - Shows understanding, friendliness, courtesy, tact, empathy, concern, and politeness to others; develops and maintains effective relationships with others; may include effectively dealing with individuals who are difficult, hostile, or distressed; relates well to people from varied backgrounds and different situations; is sensitive to cultural diversity, race, gender, disabilities, and other individual differences.
- **Oral Communication** - Expresses information (for example, ideas or facts) to individuals or groups effectively, taking into account the audience and nature of the information (for example, technical, sensitive, controversial); makes clear and convincing oral presentations; listens to others, attends to nonverbal cues, and responds appropriately.
- **Organizational Awareness** - Knows the organization's mission and functions, and how its social, political, and technological systems work and operates effectively within them; this includes the programs, policies, procedures, rules, and regulations of the organization.
- **Planning and Evaluating** - Organizes work, sets priorities, and determines resource requirements; determines short- or long-term goals and strategies to achieve them; coordinates with other organizations or parts of the organization to accomplish goals; monitors progress and evaluates outcomes.
- **Problem Solving** - Identifies problems; determines accuracy and relevance of information; uses sound judgment to generate and evaluate alternatives, and to make recommendations.
- **Project Management** - Knowledge and ability to apply the principles, methodology, and tools for creating, scheduling, coordinating, and managing projects and resources, including monitoring and inspecting costs, work, and providing contractor oversight.
- **Reasoning** - Identifies rules, principles, or relationships that explain facts, data, or other information; analyzes information and makes correct inferences or draws accurate conclusions.
- **Self-Management** - Sets well-defined and realistic personal goals; displays a high level of initiative, effort, and commitment towards completing assignments in a timely manner; works with minimal supervision; is motivated to achieve; demonstrates responsible behavior.

- **Teamwork** - Encourages and facilitates cooperation, pride, trust, and group identity; fosters commitment and team spirit; works with others to achieve goals.
- **Technical Competence** - Uses knowledge that is acquired through formal training or extensive on-the-job experience to perform one's job; works with, understands, and evaluates technical information related to the job; advises others on technical issues.
- **Technology Application** - Uses machines, tools, or equipment effectively; uses computers and computer applications to analyze and communicate information in the appropriate format.
- **Vision** - Understands where the organization is headed and how to make a contribution; takes a long-term view and recognizes opportunities to help the organization accomplish its objectives or move toward the vision.
- **Writing** - Recognizes or uses correct English grammar, punctuation, and spelling; communicates information (for example, facts, ideas, or messages) in a succinct and organized manner; produces written information, which may include technical material that is appropriate for the intended audience.

In addition to the general competencies described above some of the S/CRS positions require additional technical skills. Some of the technical competencies required in the S/CRS staff are:

- **Administrative and Management** - Knowledge of planning, coordination, and execution of business functions, resource allocation, and production.
- **Auditing** - Knowledge of generally accepted auditing standards and procedures for conducting financial and compliance, economy and efficiency, and program results audits.
- **Budgeting and Financial Management** - Prepares, justifies, and/or administers the budget for program areas; plans, administers, and monitors expenditures to ensure cost-effective support of programs and policies; assesses financial condition of an organization.
- **Conflict Prevention** - Knowledge of US philosophy and the ability to apply conflict prevention concepts, practices and techniques.
- **Contracting/Procurement** - Knowledge of various types of contracts, techniques for contracting or procurement, and contract negotiation and administration.
- **Foreign Affairs Information Sources** - Knowledge of information sources and associated processes and techniques required to tap sources in relation to USG foreign affairs.
- **Foreign Policy** - Knowledge of philosophy, doctrine, and goals governing the US international relations program.
- **Human Resources Management** - Knowledge of Civil Service and Foreign Service laws and regulations for employment, classification, benefits, labor relations, employee relations and other functional areas.
- **Instructional Design and Delivery** - Knowledge of concepts, processes, techniques, and best practices in instructional design and delivery.
- **International Program/Project Management** - Knowledge of and ability to apply the principles, methodology, and tools for creating, scheduling, coordinating, and managing programs, projects and resources for international programs and projects.

S/CRS Workforce Assessment and Plan
July 10, 2009

- **Planning Tools** - Knowledge of and ability to apply USG planning tools, both strategically and tactically, in relation to foreign affairs programs.
- **Reconstruction and Stabilization** – Knowledge of philosophy, goals and objectives of US Government and Department of State process to help battered nations achieve stability, good governance, and prosperity.
- **Strategic Communications** - Knowledge of the production, communication and dissemination of information and ideas to inform and entertain via written, oral, and visual media and the ability to create an action plan to ensure the organizations goals and objectives are accurate and consistent in all forms of media.
- **Strategic Planning** – Knowledge and understanding of the principles of an organization's process of defining its long term goals, or direction, and making decisions on allocating its resources to pursue these goals.

APPENDIX B. Hiring Flexibilities

Recruitment and Hiring Flexibilities

Federal Career Intern Program

The Federal Career Intern Program was established by Executive Order in late 2000. It is intended to provide a means to recruit at the GS-5, 7 and 9 levels with the addition of a career development component. Employees selected into an agency's Career Intern Program are appointed to two-year internships and, upon completing the training and development at the end of two years, are eligible for conversion to permanent appointments. The following are the major features of this program:

- Agencies may use this program for any occupation that lends itself to a career development activity;
- Public notice is not required;
- Veterans will be given priority according to category rating regulations;
- Each agency, not OPM, administers its own program.

Veterans' preference applies to the selection of Career Interns. Since Career Interns are appointed to positions in the excepted service, agencies must follow the procedures described in 5 CFR 302. There are many options for applying preference within the excepted service. An agency may consider candidates:

- Using a numeric rating and ranking system;
- According to preference categories (i.e., preference and non-preference); or
- Developing procedures that would grant as much preference in referral as the procedures used in 5 CFR 302

It should be noted that currently there is litigation underway that may ultimately impact the features of this program.

Student Educational Employment Programs

There are two components to this program, the Student Career Experience Program (SCEP) and the Student Temporary Employment Program (STEP). Both require that the student:

- Enroll in or be accepted for enrollment as a degree-seeking student at an accredited high school, technical or vocational school, two- or four-year college or university, or graduate or professional school;
- Take at least a half-time course load;
- Meet the minimum age requirement of 16; and
- Be a permanent resident of the U.S., or otherwise legally authorized to be employed. Students who participate in the Student Career Experience Program may not be converted to career conditional employment in the competitive service unless they are citizens at the time of conversion.

SCEP

The SCEP is the former cooperative education program and requires the student and the educational institution to enter into a written agreement and formally arrange a work and school schedule. SCEP students work in jobs that are directly related to their field of study. Those SCEP students who satisfactorily complete their course requirements and have worked a minimum of 640 hours may be converted to career-conditional appointments within 120 days following successful completion of their educational requirements.

STEP

The STEP covers student employment for temporary positions such as the former Stay-in-School program and summer hires. The STEP hire does not have to work in a job related to his/her field of study.

When making selections under the STEP or SCEP, veterans' preference principles must be followed as far as administratively feasible, and on the request of a qualified and available preference eligible, you must furnish him/her with the reasons for non-selection.

Hiring of Peace Corps

Peace Corps staff, with no less than 36 months of continuous service in the Peace Corps, are eligible for non-competitive appointments to permanent positions for which they are qualified. Appointments must be made within 3 years of separation from Peace Corps service. The Director of the Peace Corps must certify the individual as having satisfactorily served under the appropriate Peace Corps appointment and the individual must meet OPM qualification standards for the position for which being hired. The individual is given a competitive service appointment.

Presidential Management Fellows (PMF)

This program has two components: the Presidential Management Fellows (PMF) and the Senior Presidential Management Fellows. The PMF is used for grades, GS-9, 11, or 12 and equivalent, while the Senior PMF is for grades GS-13, 14 or 15 and equivalent. Candidates are nominated by their graduate schools and undergo an extensive screening process run by OPM. The best-qualified finalists are offered 2-year fellowships and agencies may interview and select whichever finalists the agency chooses. The agency can convert any PMF hire to a permanent job following successful completion of the two-year fellowship.

Pickering Fellows

The Pickering Fellowship program is funded by the U.S. Department of State, and is administered by the Woodrow Wilson National Fellowship Foundation.

Pickering Fellows are subject to the following eligibility requirements:

- Undergraduate Fellowships are open to students enrolled in their sophomore year of college at the time of Student Programs application.
- Students who will have received their bachelor's degree by June of the application year and will be enrolled in the first year of a two-year full-time master's degree program relevant to international affairs for the next academic year are eligible for the Graduate Fellowship.

- Only United States citizens are considered for the Pickering Fellowships.
- Women, members of minority groups historically underrepresented in the Foreign Service, and students with financial need are encouraged to apply.

Student Loan Repayment

Agencies may be able to repay the student loans of Federal employees in order to attract or keep highly qualified persons. Payments to an individual who has a federally-insured student loan may not exceed \$10,000 per year or \$60,000 total. An employee must sign a service agreement to remain in the service of the agency for a period of not less than 3 years. This tool has been increasingly used by Federal agencies, with great success and return-on-investment.

Tuition Assistance

Agencies may pay part or all of a student's tuition while employed with an agency under a student employment program or under any other appointment. The student must be enrolled in courses that are related to the work being performed in the agency. Many agencies pay some of the tuition for their cooperative education students (employed under SCEP) to attract them and encourage them to stay after graduation. Agencies that do provide tuition assistance require service agreements to ensure the students stay on for a period of time after graduation.

Waiver of Dual Compensation Restrictions

S/CRS may be able to re-employ an annuitant with full salary if the agency can justify the need for such a waiver based on the difficulty in filling the position, the unique credentials and skills possessed by the annuitant, or emergency conditions requiring instantaneous employment of that person. This waiver requires approval from OPM and, accordingly, must be appropriately cleared through the Department.

Recruitment Bonuses

Agencies may approve and pay a recruitment incentive of up to a total of 100% of the employee's annual basic pay at the beginning of the service period. The maximum amount of the incentive cannot exceed 25% of the employee's basic pay per year, and can be paid for up to 4 years. This incentive may be paid to a newly appointed employee provided there is a written determination that in the absence of such an incentive, difficulty would be encountered in filling the position with a highly qualified candidate. The decision to pay the incentive must be made before the candidate is employed. Employees appointed by the President or those serving in either a non-career Senior Executive Service (SES) or Schedule C position are excluded. If S/CRS is seeking to recommend payment of a recruitment incentive, the servicing HR office should be contacted for more information.

Direct Hire Authorities

Agencies may appoint candidates directly to a job for which OPM determines there is a severe shortage of candidates or a critical hiring need. This direct-hire authority could allow S/CRS to make offers of immediate employment to qualified candidates as long as public

notice requirements have been met and OPM has granted the authority. There are two types of direct-hire authority:

- Government wide authority – where OPM decides, on its own or in response to a number of agency requests, that a severe shortage of candidates or a critical hiring need exists on a Government wide basis; and
- Agency-specific authority – where OPM decides that, based on an agency's request, a severe shortage of candidates or a critical hiring need exists in a particular occupation.

Direct-hire authority may be used to cover occupational series, grades, geographical locations, or a combination of these. It permits hiring without regard to veterans' preference, rule of three, or rating procedures.

There are multiple benefits when using this authority but two of the most critical are:

- Ability to recruit at job fairs and similar events and make on-the-spot offers to qualified candidates; and
- Ability to appoint candidates directly to jobs without following traditional competitive procedures.

Veterans Recruitment Authority (VRA)

The VRA is a special authority that allows agencies to appoint eligible veterans without competition to positions at any grade level through GS-11 or equivalent. VRA appointees are hired under excepted appointments to positions that are otherwise in the competitive service. VRA eligibility applies to the following categories:

- Disabled veterans with a qualifying service-connected disability;
- Veterans who served on active duty in the Armed Forces during a war, or in a campaign or expedition for which a campaign badge was authorized;
- Veterans who, while serving on active duty in the Armed Forces, participated in a military operation for which the Armed Forces Service Medal was awarded; and
- Veterans separated from active duty less than 3 years prior to the appointment date.

Eligible veterans must meet the qualification requirements for the position. For any VRA appointee who has less than 15 years of education, the agency must establish a training program for him/her. After two years of satisfactory employment, the agency should convert the veteran to a career or career-conditional appointment. Since new hires have different appeal rights during the probationary period based on their status as a veteran, S/CRS should contact the servicing HR office to ensure the appropriate rights are applied based on the particular hire.

Superior Qualifications

S/CRS may request approval from its servicing HR office to set pay for appointments or reappointments of individuals to General Schedule positions above step 1 of the grade in which they are to be hired. The higher step within the grade may be approved based on superior qualifications of the candidate or a special need of the agency. The requesting office will need to present documentation and specific information that indicates the candidate will lose compensation by taking the job or will accept an offer from another

employer which is compensating the candidate more competitively. The servicing HR specialist will assist you in preparing the justification that supports the superior qualifications rate.

Travel and Transportation Expenses for Interviews and/or New Appointments

Agencies may pay the travel or transportation expenses of any individual candidate for a pre-employment interview or pay travel and transportation expenses for a new appointee to the first duty post - subject to approval of the Agency head. The agency must be able to demonstrate that funds are available and that, without such payment, the hiring office may lose this person as a strong candidate or new hire.

Advanced Payments for New Appointees

Agencies may advance a new hire up to two paychecks so that a new employee can meet living and other expenses. S/CRS should consult with A/EX/HRD to make arrangements and determine any limitations which may be in place.

Bilingual/Bicultural Program

This program covers the same GS-5 and GS-7 positions in the same occupations as the Outstanding Scholar Program. Additionally, the following requirements must be met:

- Competitive examining must be used;
- The position must require interaction with the public or one in which job performance is enhanced by having bilingual and or/bicultural skills;
- The applicant must have the required level of Spanish language proficiency and/or the requisite knowledge of Hispanic culture; and
- CTAP and ICTAP must be applied as with the Outstanding Scholar Program.

As with the Outstanding Scholar Program, no ranking is required and the rule of three and veterans' preference do not apply.

30% or More Disabled Veterans

This authority enables agencies to appoint an eligible candidate to any position for which he/she is qualified, without competition. There is no grade-level limitation. Initial appointments are time-limited, lasting more than 60 days. However, the agency may non-competitively convert the individual to permanent status at any time during the time-limited appointment. Those eligible include:

- Disabled veterans who were retired from active military service with a disability rating of 30% or more; and
- Disabled veterans rated by the Department of Veterans Affairs (VA) within the past year as having a compensable service-connected disability of 30% or more.

Hiring of Persons with Disabilities

People with disabilities can be an excellent source of qualified applicants and employees. To be considered disabled, the person must have a severe physical, cognitive, or emotional disability, and have a history of such a disability. Federal agencies are allowed to hire persons with disabilities in two ways – either competitively or noncompetitively. Jobs filled competitively are advertised through vacancy announcements. Jobs filled noncompetitively do not have to be advertised. Instead, the selecting official can select a person with a disability who has a submitted proof of disability and certification of job readiness from an expanded number of entities, i.e., a licensed medical professional (e.g., a physician or other medical professional; a licensed vocational rehabilitation specialist (i.e., State or private); or any Federal agency, State agency or agency of the District of Columbia that issues or provides disability benefits. The applicant can apply for the position through the agency's Selective Placement Coordinator by indicating on his/her resume "5 CFR 213.3102(u)." If an agency wants to select a person with a disability for a job, he/she must meet the qualification requirements and be able to perform the job's essential duties with or without reasonable accommodation.

Retention Flexibilities

Relocation Incentives

Agencies may approve and pay a relocation incentive of up to 25% of an employee's annual rate of basic pay per year for up to 4 years. This payment may not exceed 100% of the employee's annual rate of basic pay (computed at the beginning of the service period). This incentive may be paid to an employee who must relocate to accept a position in a different geographic area, provided there is a written determination that, in the absence of such an incentive, difficulty would be encountered in filling the position with a highly-qualified candidate. Employees appointed by the President or who occupy Schedule C or non-career Senior Executive Service positions are excluded. For purposes of the relocation incentive payment, "relocation" refers to:

- A current federal employee outside of State who accepts a position within State which requires a move to a new commuting area;
- A current State employee who accepts a position in another part of State in a different commuting area; or
- A current State employee serving without time limitation whose duty station is changed temporarily to a different commuting area.

To be eligible for a relocation bonus, the employee must establish a residence in the new commuting area, and the relocation must occur without a break in service. Contact the servicing HR office for more information.

Retention Allowances

Agencies may approve and pay a retention allowance of up to 25% of an employee's annual rate of basic pay to a current employee who has completed one year of continuous service with the agency if the unusually high or unique qualifications of the employee or a special need for the employee's services make it essential to retain the employee. The agency must determine that in the absence of a retention incentive, the employee would

likely leave the federal government. The employee must have a minimum of two consecutive performance ratings of record of at least "Highly Effective" to be eligible to receive a retention incentive. Employees appointed by the President or those serving in either a non-career Senior Executive Service or Schedule C position are excluded from this program.

Referral Bonus

Agencies may be able to award a cash bonus to any employee whose regular job duties do not include recruitment but who refers a job applicant who is selected and successfully employed. This incentive encourages current employees to seek out new talent for the organization and is viewed as a highly effective recruitment tool. The servicing HR office can provide specific criteria used in the Agency to determine when an employee would be eligible to receive a referral bonus.

Incentive Awards

There are a number of different incentive awards available to agencies seeking to motivate and reward good performance.

*** Performance Awards:** Cash awards that are based solely on employees' performance ratings of record assigned at the end of the appraisal period. These awards are intended to recognize sustained levels of successful performance over the course of the rating period.

*** Special Act or Service Awards:** Lump-sum cash awards that recognize specific accomplishments that are in the public interest and have exceeded normal job requirements.

These awards can be for individual or group contributions. On-the-spot (OTS) awards are special act or service awards which normally provide immediate recognition for employees, are limited in amount (e.g., \$250 or less), and delegate award approval to first-line supervisors.

*** Quality Step Increases (QSI):** Awards for sustained high-quality performance that provide faster-than-normal progression through the step rates of the General Schedule. Unlike other forms of monetary recognition, QSI's permanently increase an employee's rate of basic pay. No more than one QSI may be granted to an employee in the same 52-week period.

*** Time-off Awards (TOA):** The granting of time off without charge to leave or loss of pay to an employee as an individual or member of a group. The value of a TOA is time, not money. A TOA may not be converted to cash.

Other types of cash recognition, such as suggestion and invention awards are also available and may be effective.

APPENDIX C. Study Interviewees and Offsite Meeting Participants

Participants in May 19, 2009 Offsite Meeting

- Ambassador John E. Herbst
- Ambassador David N. Greenlee
- Melanie D. Anderton
- Merrie A. Archer
- Jonathan S. Benton
- William Brady
- Matthew A. Cordova
- Kimberly C. Field
- Laura A. Hall
- Joseph M. Jones
- Kathleen A. Kavalec
- Merriam S. Mashatt
- William L. McCulla
- John F. McNamara
- John Mongan
- Beth L. Poisson
- Wilna F. Ray
- Gary Russell
- Larry Sampler
- Carl R. Siebentritt
- Tod J. Wilson

Study Interviewees

- Jonathan S. Benton, Deputy Coordinator
- William Brady, Financial Manager, Resource Management Office
- Mary Cross, Office Manager, Office of the Coordinator
- Kimberly C. Field, Military Advisor
- Laura A. Hall, Chief, Training, Response Strategy, and Doctrine
- Kathleen A. Kavalec, Director, Conflict Prevention Office
- John F. McNamara, Director, Planning Office
- John Mongan, Director, CRC-A, Civilian Response Operations Office
- Beth L. Poisson, Director, Strategic Communications Office
- Gary Russell, Director, Civilian Response Operations Office
- Carl R. Siebentritt, Director, CRC Ops, Civilian Response Operations Office