

# **Aligning People, Resources and Agency Mission**

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*Chief Human Capital Officer*  
Securities Exchange Commission

**October 10-12, 2006 Washington, D.C.**



# Commission Human Capital

Approximately 3800 Employees

## Mission Critical Occupations:

- 1,550 Attorneys
- 950 Accountants or Financial Analysts
- 250 Examiners or Investigators

Remaining 1,000+ are a variety of professional, technical, administrative, and clerical staff, with about 65 in OHR.

Recognized as one of the “*Best Places to Work in the Federal Government.*”



# KEY ISSUES FACING OHR

- Focused on Transactions – **Not** Strategy
- History of Being Reactive
- Weak Accountability System – No Systematic Evaluation or Measurement of Performance
- Reputation w/in Commission Mixed (dependent on process, products, etc.)
- Considered an Obstacle by Some Key Executives (not the prevalent view)



# TRANSFORMATION PLAN

## Begun October 2005

### *3-5 Year Time Horizon*

- Set Clear Strategy
- Build Momentum Among Leadership & Employees
- Implement Accountability System
- Structure for Success
- Involve Customers
- Involve & Empower Employees (Really!)
- Provide Support
- Be the Commission's Laboratory/Model
- Communicate Progress – Be Transparent (Internally and Externally)
- Be Consistent and Honest
- Reward Success



OHR Mission:

# SEC OHR Strategy Map

**Be a highly competent, strategically focused HR staff delivering SEC human capital results through integrated systems, while maintaining operational excellence.**

Support execution of the SEC mission

M1. Be the SEC source for strategic human capital leadership

Provide Operational Excellence

Deliver Effective Human Capital Systems

Mission

Be a Trusted Strategic Partner

Customer / Stakeholder

**C1.** Provide timely, accurate information to the SEC

**C2.** Ensure SEC human capital readiness/capability

**C3.** Foster a results-driven culture across the SEC

**C4.** Deliver on "employer of choice" strategy

**F1.** Optimize return on invested SEC human capital

**F2.** Align fiscal resources to SEC strategy

Financial

Internal (OHR) Process

**Achieve HR Operational Excellence**

**I 1.** Improve core processes

**I 2.** Utilize automation to optimize HR processes

**I 3.** Leverage administrative officers' role in HR

**Strategically Aligned Partnership**

**I 4.** Formalize consultative relationship with clients

**I 5.** Provide thought leadership to customers/stakeholders

**Integrated Human Capital Systems**

**I 6.** Develop and execute a selection system aligned with SEC strategy

**I 7.** Shape and execute a strategic performance mgmt system

**I 8.** Provide world class employee development & knowledge management

**I 9.** Increase bench strength for leadership positions

Competency Models

Learning & Growth

**LG1.** Know the business of the SEC

**LG2.** Develop employee competencies to achieve OHR strategy

**LG3.** Improve customer focus

**LG4.** Develop a results-driven culture



## Initial Measures

Strategic Objective	Measure
M1: Be the SEC source for strategic human capital leadership	Percent of SEC respondents who would choose HR as the primary source for HR-related information (survey measure)
F1: Optimize return on invested SEC human capital	Percent of milestones achieved in developing the Invested Human Capital Framework
F2: Align fiscal resources to SEC strategy	Percent of HR FTEs allocated to strategic initiatives
C1: Provide timely, accurate information	Customer satisfaction with information (survey measure)
C2: Ensure SEC human capital readiness/ capability	Ratio of mission-critical positions with competency gaps closed/ identified
C3: Foster a results-driven culture across the SEC	Percent of leaders and managers rated highly competent in executing human capital systems
C4: Deliver on “employer of choice” strategy	Score on Federal human capital survey (benchmarked against law firms and best places to work)
I1: Improve core HR processes	Percent of core processes analyzed and documented, and milestones identified
I2: Utilize automation to optimize HR processes	Percent of HR processes that are automated (business case identified)
I3: Leverage administrative officers’ role within HR	Percent (%) of administrative officers who have met HR competency standards in certain identified areas



## Initial Measures (cont.)

Strategic Objective	Measure
I4: Formalize consultative relationship with clients	Percent (%) of customers for whom we conduct formal, quarterly consultation meetings
I5: Provide thought leadership to customers/ stakeholders	Number of internal and external HR related speaking engagements, white papers, etc. shared
I6: Develop and execute a selection system aligned with SEC strategy	Percent (%) of positions filled with a competency-based vacancy announcement that meet established scoring criteria
I7: Shape and execute a strategic performance management system	Percent (%) of strategic occupations for which OHR has developed a competency model
I8: Provide world-class employee development and knowledge management	Number of competency-based career development and technical knowledge programs
I9: Increase bench strength for SEC leadership positions	Percent (%) of key positions identified with qualified successors
LG1: Know the business of the SEC	Percent (%) of OHR employees attending SEC-oriented business training
LG2: Develop employee competencies to achieve the OHR strategy	Percent (%) of OHR employees who have met competency standards in certain identified areas
LG3: Improve customer focus	Results (scores) of customer performance reviews of OHR
LG4: Develop a results-driven culture	Percent (%) of OHR goals related to the Balanced Scorecard that are achieved

# Jeff Risinger's Performance Plan (Draft)

## Part I: The Whats

Key Result	Jeff's Objective (Due 9/30/07 unless otherwise noted).	Tracking Source	Links to the Scorecard	Rating
Customer /Stakeholder	Improve overall customer service performance scores by 10% by end of fiscal year.	Survey Results	Objective: C1 Initiative:	
	Increase user satisfaction with HR automation processes by 10% by end of FY.	Survey	Objective: F1, C1, I1, I2, I3, I6, I7 Initiative: Avue & EBIS	
	Write and publish first OHR annual report by Nov. 1, 2006.	Report	Objective: C3 Initiative: Marketing OHR-Consulting	
	Conduct a year end customer service discussion with all Division and Office heads by December 31, 2006.	Schedule Checklist	Objective: C1 Initiative: Marketing OHR-Consulting	
Financial Management	Manage all OHR activities within approved budget.	Budget Documents	Objective: F1 Initiative	
	Ensure that at least 80% of the OHR budget is aligned to the strategy map objectives.	Budget Documents	Objective: F2 Initiative:	
	Complete invested human capital model by March 31, 2007.	Project Plan	Objective: F1 Initiative: Human Capital Measurement Model	
Operational Excellence	Complete the Process Improvement/QC Evaluation system by April 1, 2007.	Project Plan	Objective: I1, I2, I3, C1, LG3, LG4 Initiative: Process Improvement/QC Evaluation	
	Complete design of Administrative Officer development program by Jan. 1, 2007.	Project Plan	Objective: I3 Initiative: AO Professional Development	

Customer/Stakeholder
  Financial
  Internal Processes
  Learning & Growth



Key Result	Jeff's Objective	Tracking Source	Links to the Scorecard	Rating
Human Capital Systems	Effectively design and implement a competency based performance management system for OHR by Oct. 1, 2006.	Project Plan	Objective: I7, LG1, 2, 3, 4 Initiative: Enhanced PM System	
	Complete design of competency based selection system for OHR by Jan. 1, 2007	Project Plan	Objective: I6 Initiative National Recruitment Model; Workforce Planning	
	Create framework for agency-wide succession planning by end of FY.	Project Plan	Objective: I9 Initiative: Leadership Development & Workforce Planning	
	Incorporate competency development process into SEC University for OHR pilot by end of FY.	Project Plan	Objective: I7, LG2, LG4 Initiative: Enhanced PM System	
Strategically Aligned Partnership Development	Develop a process to improve the professional relationship between OHR and EEO. Assess partnership quality with a survey achieving an avg. score of 4 on a 5 point scale from the EEO perspective.	Survey	Objective: I4 Initiative:	
	Develop a project plan to improve the relationship between the SEC Management and the NTEU Leadership at the National and Agency level.	Project Plan	Objective: I4 Initiative	
OHR Learning & Growth	Identify mission-critical competency gaps for OHR staff by Oct. 1, 2007.	Performance Records	Objective: I7, 8, LG1, 2, 3, 4 Initiative: Enhanced PM System; Improve OHR HC Readiness	
	Complete and review a professional development plan for each OHR employee by October 1, 2006.	Performance Records	Objective: I7, 8, LG1, 2, 3, 4 Initiative: Enhanced PM System; Improve OHR HC Readiness	
	Develop and present customer satisfaction development program to all OHR staff by March 31, 2007.	Training Records	Objective: LG3 Initiative: Improve OHR HC Readiness	

Customer/Stakeholder
  Financial
  Internal Processes
  Learning & Growth



# Strategic Initiatives

## INITIATIVE MAP

	1. Performance Management System	2. Improve OHR HC Readiness	3. AVUE Services; Add-ons	4. Implement AC Study	5. Employee Benefit Information System	6. Intranet Guidance Program	7. Quality Control / Evaluation System	8. Workforce Planning System	9. Human Capital Measurement Model	10. KM System	11. Leadership Development	12. Build Consultative Relationships
LG4. Develop a results-driven culture												
LG3. Improve customer focus												
LG2. Develop employee competencies to achieve the OHR Strategy												
19. Increase bench strength for leadership positions												
18. Provide world-class employee development & knowledge management and execute a strategic performance management system												
16. Develop and execute a selection system aligned with SEC strategy												
15. Provide thought leadership to customers / stakeholders												
14. Formalize consultative relationship with clients												
13. Leverage administrative officers' role within HR												
12. Utilize automation to optimize HR processes												
11. Improve core HR processes												
F2. Align fiscal resources to SEC strategy												
F1. Optimize return on invested SEC human capital												
C4. Deliver on "employer of choice" strategy												
C3. Foster a results-driven culture across the SEC												
C2. Ensure SEC human capital readiness/capability												
C1. Provide timely, accurate information to the SEC												
M1. Be the SEC source for strategic human capital leadership												



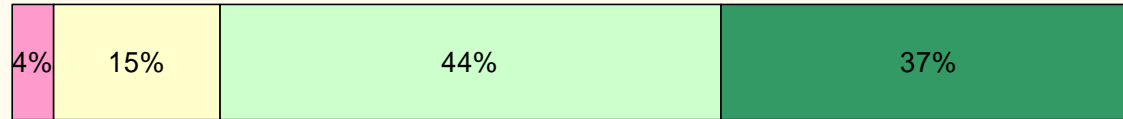
## Intense Communication Phase

- Instill Knowledge & Confidence
- Set Expectations for Organizational Change
- Inform Employees
- Inform Customers
- Receive Feedback
- Demonstrate Commitment to Measurement & Accountability

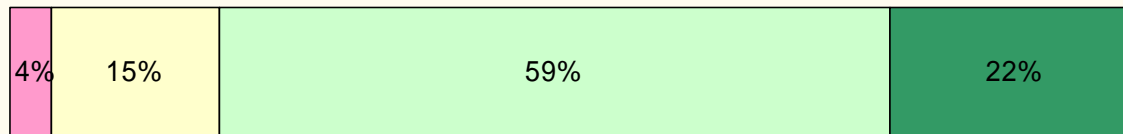


# Customer Reactions to Strategy Presentations

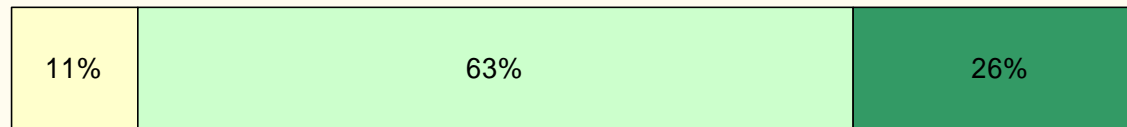
1. The presentation was clear and well delivered.



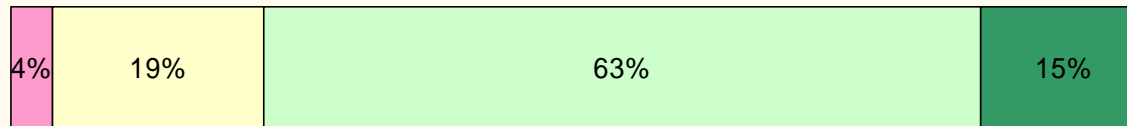
2. I have a good understanding of the OHR strategy.



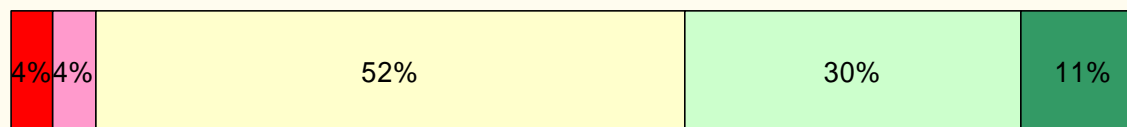
3. Executing the OHR strategy will make the OHR a more valuable strategic partner.



4. Executing the OHR strategy will lead to improved performance for the SEC.



5. I have confidence that the OHR will successfully execute its strategy.



Strongly Disagree Disagree Neutral Agree Strongly Agree



## Structure for Success

- Aligns Human Capital with Strategy
- Sets Expectations
- Demonstrate Commitment
- Builds Momentum

# Current OHR Organizational Structure and Staffing Levels



## Office of Human Resources

Associate Executive Director, SO-1.....Jeffrey A. Risinger  
 Director of Organizational Development/Chief Learning Officer: SK-16  
 Management Analyst: SK-14  
 Supervisory Program Support Specialist: SK-11  
 Office Assistant: SK-5

(5)

### Operations

Assistant Director: SK-17  
 HR Specialist: SK-14

(2)

### Employee Development & Labor Relations

Assistant Director: SK-17  
 Attorney-Advisor: SK-14  
 HR Specialist: SK-14  
 Program Support Specialist: SK-11

(4)

### Classification, Staffing, Benefits, & Payroll

Branch Chief: SK-15  
 Team Leader (HR Specialist): SK-13  
 HR Specialists: SK-11, 12, 13 (4)  
 HR Assistants: SK-6, 7, 8 (3)

(9)

### Recruitment, Work/Life, & Disability Programs

Branch Chief: SK-15  
 Program Specialists: SK-12, 13  
 HR Specialists: SK-12, 13  
 HR Assistants: SK-6, 7  
 Physical Fitness Specialist: SK-12  
 General Business Specialist: SK-9

(9)

### Classification, Staffing, Benefits, & Payroll

Branch Chief: SK-15  
 Team Leader (HR Specialist): SK-13  
 HR Specialists: SK-11, 12, 13 (4)  
 HR Assistants: SK-6, 7, 8 (4)

(10)

### Employee & Labor Relations

Branch Chief: SK-15  
 HR Specialists: SK-13 (5), 14  
 HR Assistants: SK-7

(8)

### Classification, Staffing, Benefits, & Payroll

Branch Chief: SK-15  
 Team Leader (HR Specialist): SK-13  
 HR Specialists: SK-11, 12, 13 (3)  
 HR Assistants: SK-6,7,8 (4)

(10)

### Employee Development

Branch Chief: SK-15  
 HR Specialists: SK-12, 13 (2)  
 HR Assistants: SK-5  
 General Business Specialist: SK-9

(6)

### Pay, Benefits, & Special Projects

Branch Chief: SK-15  
 Team Leader (HR Specialist): SK-13  
 HR Specialists: SK-11, 12, 13 (3)  
 HR Assistants: SK-6,7,8 (4)

(10)

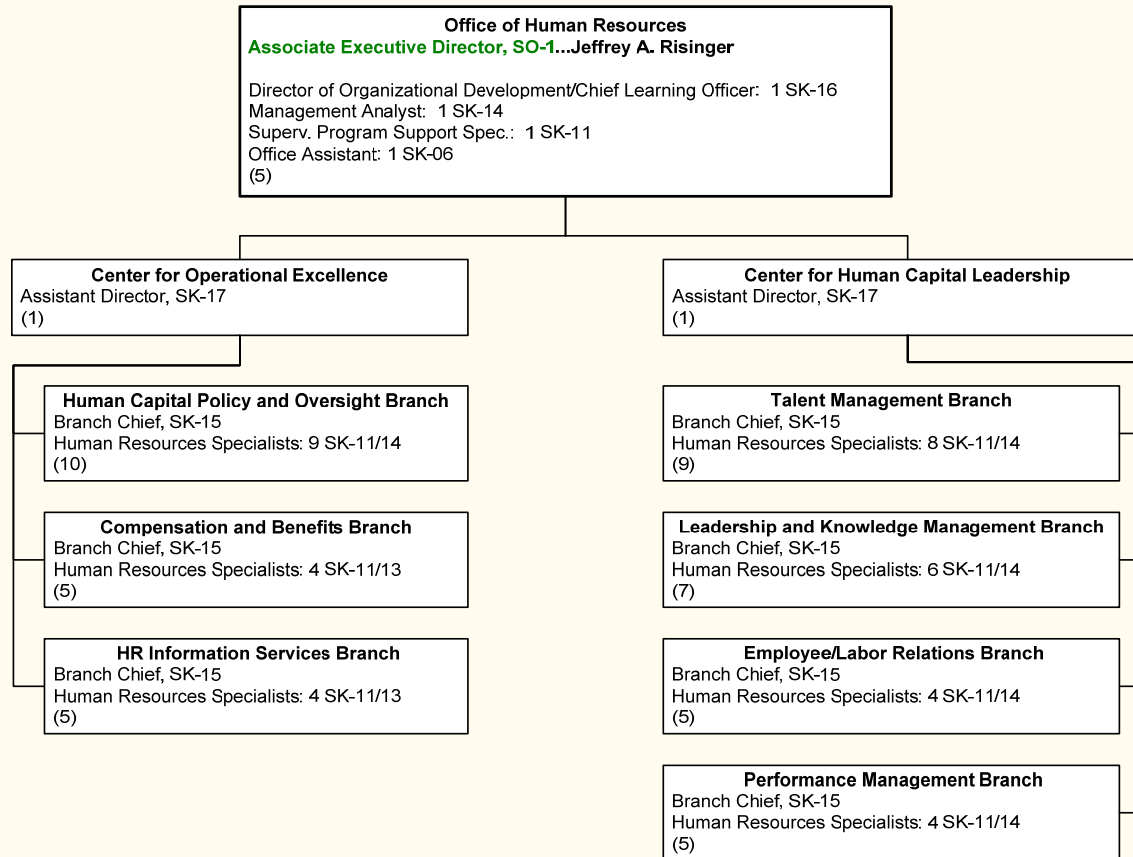


53 Staff Total



# Office of Human Resources

## Future Organizational Structure





# Two Key Initiatives

## Improve Core Processes

- External Focus to Achieve Some Quick Wins

## Implement a New Performance Management System

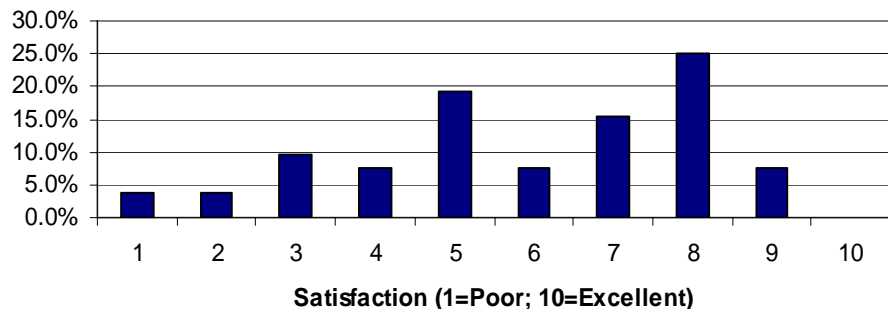
- Internal Focus to Align Behavior to Strategy
- Improve Organizational Performance
- Develop HR Competency Model
- Develop Best Practices for the Commission



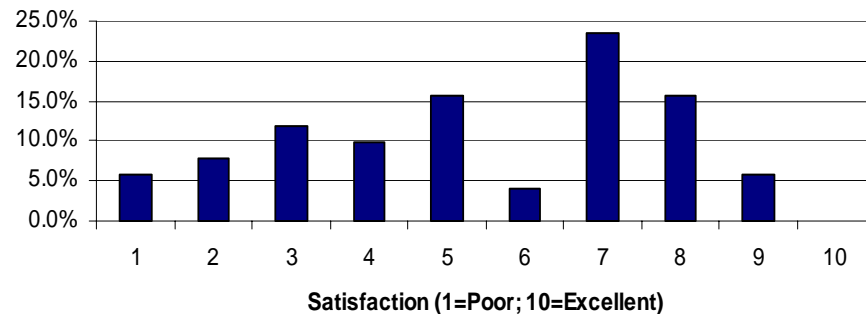


# OHR Overall Customer Service

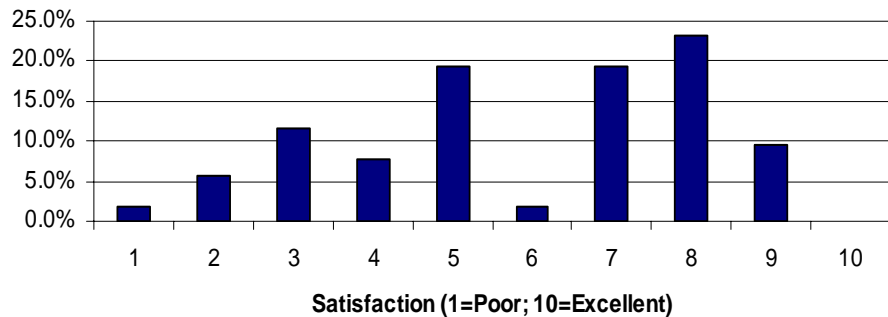
**Overall Satisfaction with OHR Services**  
Mean = 5.90; N = 52



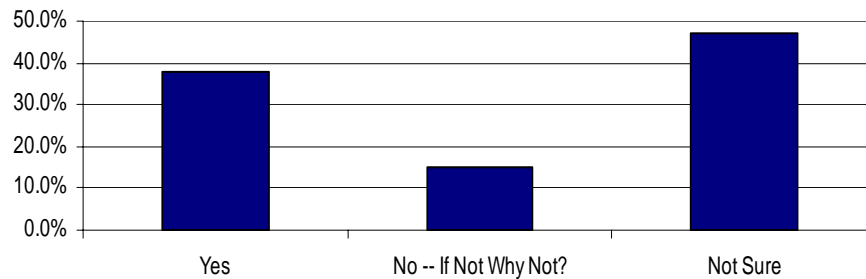
**How Does OHR Compare to an Ideal HR Organization**  
Mean = 5.48; N = 51



**How Well Does OHR Meet Expectations**  
Mean = 5.92; N = 52



**Given a Choice Of Service Providers Would You Use OHR Services Again**  
N = 53





# WHAT NEXT?

- Track Progress
- Refine Measures
- Maintain Transparency
- Be Consistent and Honest
- Be Patient But Committed
- Adapt to Changing Conditions
- Adjust Strategy as Necessary to Maintain Alignment
- Trumpet Successes