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♻EPA United States Environmental Protection Agency Region 5

Reinvention Implementation Plan March 1995

UNITED STATES ENVIRONMENTAL PROTECTION AGENCY
REGION 5

VISION

A sustainable environment where air, water, and land resources are restored
and protected to benefit all life

MISSION

Our mission is to:

- Protect human health and preserve natural resources
- Prevent and abate pollution to improve the environment
- Serve the public with education, innovation, action, and results
- Lead the way in restoring and protecting the Great Lakes
  and all Midwestern ecosystems

VALUES

Region 5 aspires to be a Region which respects all people,
personally and professionally, and which demonstrates integrity
and honesty in all of our dealings.
We strive to communicate effectively in our work and to listen to
the people we serve, with a preference for action to solve
problems and achieve results. In doing so, we hope to
provide effective leadership and build strong partnerships
with State, Tribal, and local governments and other
Agencies in protecting the environment, and ensuring
a future where air, water, and land resources are
restored and protected to benefit all life.

United States Environmental Protection Agency Region 5
77 West Jackson Boulevard, Chicago, Illinois 60604

March 31, 1995

To: Carol Browner, Administrator

     Fred Hansen, Deputy Administrator

I am pleased to transmit to you Region 5's **Reinvention Implementation Plan**.
It represents the hard work of numerous staff and managers, particularly those
on our reinvention implementation team and its various subcommittees,
and those who took time to offer comments.

I'm proud that this Region took a fresh, unblinking look at our operations and ·
organization, and has proposed an ambitious reinvention plan.

I look forward to your comments.

Valdas V. Adamkus, Regional Administrator

To: Valdas V. Adamkus
    Regional Administrator

We are pleased to present to you the Region 5   **Reinvention Implementation Plan.**

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United States
Environmental Protection Agency
Region 5

Reinvention Implementation Plan

March 1995

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Introduction

Need for Change

Region 5 is committed to the Agency's reinvention effort because environmental protection in the United States is at a crossroads. The effectiveness and the relevancy of the federal government's efforts to protect the environment and improve the quality of life for its citizens are being questioned. There are several compelling reasons for changing the Environmental Protection Agency (EPA) and the Region 5 Office. Discussing these reasons is not intended to discourage or dishearten, but rather to energize and motivate every employee to meet the challenges that lie ahead.

- The nature of the egregious environmental problems confronting the nation 25 years ago has changed. Today's more subtle problems combined with socio-economic impacts occurring across the nation and around the globe will require different strategies, different measures of success, greater flexibility, and new partnerships.

- Our key partners in environmental protection, the States, the Tribes and local governments, are critical of our methods and dissatisfied with our delivery of services, and are calling for fundamental change in our respective roles and responsibilities.

- Major segments of the public, our essential customers, view the Agency as a detached bureaucracy, whose actions are defined solely by laws and regulations that appear to be disconnected from the economic and social conditions that often frame the environmental issues we attempt to resolve.

- Our employees, our most valuable resource, increasingly grow frustrated and cynical in the face of seemingly intractable inefficiencies in their everyday work. In addition, the work they have been called on to perform has changed over the years to the point that they often feel isolated and out of touch with the very environment and people they are trying to protect.

We have many past successes to be proud of and many opportunities for future success. To seize those opportunities and realize those successes, fundamental change is necessary; not only changes to the organizational structures and the administrative and management processes of the Agency, but changes to the very culture of the organization.

In Region 5, we do not believe that the kind of change necessary to effectively respond to the above challenges can or will be accomplished overnight. Rather, we believe that a reasoned and sustained effort to change the culture of the Agency is needed. This Reinvention Implementation Plan (hereafter, the Plan) is our first important step in effecting this transformation in Region 5. We believe that it positions us to undertake further changes in the future as the entire Agency continues to evolve in order to meet the environmental challenges of today and tomorrow. We began our reinvention efforts in 1992 in response to the challenges listed above. However, it is clear that the pace and urgency of our efforts must be accelerated.

Goals of the Region 5 Reinvention Plan

In undertaking this organizational and workforce transformation, we will achieve the following goals:

- First and foremost, Region 5 will make a significant contribution to ensuring a future where air, water, and land resources are restored and protected to benefit all life. We strive to be an organization that is more flexible, innovative, customer focused and responsive to the needs of the environment and the people of the upper Midwest and Great Lakes region;

- Region 5 will be an organization that respects all people, personally and professionally, and which demonstrates integrity and honesty in all our dealings;

- Region 5 employees will communicate effectively in our work and listen to the people we serve, with a preference for action to solve problems and achieve results;

- Region 5 will provide effective leadership and build strong partnerships with States, Tribes, and local governments, and with other agencies and non-governmental organizations in protecting human health and the environment; and

- Region 5 will create a working atmosphere that supports and rewards its highly motivated and well trained staff as we pursue our common vision and share responsibility for accomplishing our mission.

Results to be Achieved

The results we expect to achieve over the next 18 months through implementation of this Plan are:

- a more flexible organization that can bring a broader range of services and resources to bear on high priority environmental issues in an effective and efficient manner;

- a Senior Leadership Team (SLT) that works in partnership to steer the Region towards its environmental and organizational goals and that continues to move Region 5 from the sole use of media-specific regulation to an integrated approach that employs flexibility, innovation and common sense;

- a greater emphasis on increasing the diversity within our workforce and celebrating the benefits this will garner;

- more effective implementation of community-based environmental protection to achieve significant improvements in areas of federal interest;

- a workforce that fosters teamwork and entrusts responsibility to the lowest levels of the organization;

- effective use of cross-Regional teams to facilitate multi-media coordination and best use our collective tools;

- greater efficiencies through shorter approval chains, faster process times on routine actions, and higher quality products, information, and decisions;

- a streamlined organization that meets the Agency's supervisor to staff ratio of 1:11; and

- improved relationships with our partners and the public through open and honest involvement in formulating and implementing actions to protect the Midwest environment.

Measuring progress and success is always a challenge. We intend to use the full spectrum of indicators from programmatic to environmental and human health measures. We will track and report the key environmental indicators and pursue the goals adopted by the Agency under the National Environmental Goals Project. We will use customer and employee feedback to gauge progress in our

cultural changes, and we will attempt to quantify concrete cost-savings and benefits of our internal process changes.

Barriers Ahead

The barriers to change confronting us are many, but several are paramount:

● We must work with employees that are cynical that significant change can occur. Over the past 10 years, employees have experienced numerous management tools and techniques, each promising a fundamental change in the Agency's culture. Many are reticent to invest time and energy in what is viewed as a distraction from "the mission" of the Agency.

● We must break old habits, behaviors, and lines of authority that result in separations within the Region, fragmented responses to environmental problems, and redundancy in the efforts and actions taken within the Region.

● We must garner the resources, time, and expertise needed to train management and staff to undertake a new way of doing business and to equip them with the skills needed to be successful outside a command and control environment.

● We must manage the pace of change in a manner that is sensitive to the needs of our workforce and that does not compromise our values.

● We need to redefine our value-added role as the States assume more of the routine media-specific activities, as we absorb potential budget cuts and as Congress and the Administration direct changes.

● Finally, we must maintain diversity in our supervisory ranks and workforce in general as the number of supervisory positions and overall number of employees are reduced.

We believe the approach we are taking with this Plan is the most effective step we can take at this time to position the Region to confront these immediate barriers.

Region 5's Approach to Reinvention

In the Fall of 1993, the Regional Administrator chartered a Region-wide Streamlining Task Force to undertake a comprehensive evaluation of our work

processes, to recommend specific steps to implement the principles of the *National Performance Review* (NPR), and to comply with the Executive Orders related to the NPR. The product of that Task Force, which was submitted to the Administrator in February 1994[1], has been the basis for all of Region 5's reinvention activities over the past year.

Reinventing is everyone's job; it does not belong solely to those who participate in task forces and workgroups. Accordingly, each Division and Office prepared draft Workforce Management Plans that outlined specific steps to meet the requirement of the Executive Orders, such as meeting the 1:11 supervisory ratio and building and maintaining a diverse workforce. A number of pilot projects and process changes were undertaken and are described generally in the following pages and in greater detail in **Appendix A - Work Processes.**

In June 1994, the Region 5 Reinvention Implementation Team (RIT) was convened to serve as a forum for steering the reinvention efforts, as an accountability center for progress, and as a conduit for communicating between the senior management and the 1350 employees of the Region as the reinvention work progressed. To implement the February 1994 Streamlining Plan, the RIT focused on two important areas to achieve immediate results: the Performance Management Process and the Regional Delegations. Joint management and staff workgroups for those topics were chartered to rethink the processes from the ground up. Work continues on these and other topics, under the auspices of the RIT.

In August 1994, again as a response to specific recommendations in the February 1994 Streamlining Report, the Regional Administrator convened the Optimization Task Force (OTF) to study and recommend a set of operational and organizational changes needed to prepare Region 5 for its future environmental challenges. The work of the OTF is described in general in the following pages of the Plan and in greater detail in **Appendix B - Organization Design.** The organizational design will be further detailed in a reorganization proposal that will be submitted before June 30, 1995.

From its beginning in November 1993, the streamlining/reinventing processes have been characterized by a high level of stakeholder participation, especially among Region 5 Employees. The first Streamlining Task Force, which met during December 1993 and January 1994, involved 35 employees, representative of the Regional workforce in all respects. The Streamlining Task

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[1]Reinventing Region 5: A Plan for Streamlining and Continuously Improving Regional Operations. February 7, 1994. USEPA - Region 5, Chicago, Illinois.

Force implemented a full-scale communications strategy, in which stakeholders were *sources* of key information, as well as recipients. This involved "town meetings," availability sessions, several surveys, fact sheets, LAN-based updates, a document repository in the library, and written comments from about 400 employees.

Since work began in May 1994, the Reinvention Implementation Team, the Optimization Task Force, and a series of related workgroups have involved more than 100 employees. Workgroups developed specific surveys on Performance Management, Awards, and the Optimization Task Force draft proposal, and distributed them via LAN-based survey software, that provides instantaneous tabulation and analysis of responses.

The draft proposal from the Optimization Task Force (OTF), released in November 1994, generated the most interest. Approximately 300 employees attended two "town meetings" on the proposal; many voiced specific concerns and questions. More than 120 Region 5 staff members submitted written comments (some 450 pages) to the OTF. Some 155 employees responded to a LAN-based survey on the proposal in December 1994.

The OTF sought feedback from external stakeholders, as well. We received comments from seven other EPA offices, 12 state and local environmental, public health and agriculture departments, and seven private parties (regulated companies and environmental groups). We received written comments from ten tribes, plus a position paper from a four-state tribal consortium (19 tribes). We met with representatives of one regulated industry, and obtained feedback on reinventing initiatives from states during our series of strategic planning meetings in the past three months.

The written comments and survey data were reviewed by each member of the OTF; the comments were summarized in a separate database, as well. We have prepared responsiveness summaries for both staff and stakeholders; copies of all written comments, LAN survey results, the database, and this document will be made available in each Division and Office.

Region 5 has one collective bargaining unit, which has been notified of key events and invited to review documents. Participation has been minimal, however, and the union is considered inactive for most purposes.

Reinvention Goals

A. Shared Vision and Values

State of the Organization Prior to Reinvention

Region 5 has a long tradition of excellence in supporting the Agency's fundamental mission of protecting human health and the environment. Prior to the late 1980's the vision, mission, and values of the Region were largely defined by the individual Divisions and Offices in relation to the primary statutes they were charged with implementing. Then in the late 1980s, Regional Administrator Valdas V. Adamkus signed the _Region 5 Visions for Excellence_, a set of visionary statements that the Region 5 workforce strives to meet in its daily work. Region 5's Visions for Excellence emphasize: employee pride; environmental results; career growth; open, environmentally beneficial decision-making; and, effective governmental partnerships.

Building on the earlier effort, the senior management began revisions to the Region's vision statement in order to clarify our mission and articulate the key values that would serve as our foundation during times of change. This process began at a senior management retreat in June of 1992 where cultural change was the focus of discussion. Over the next six months, senior management developed a draft, vision, mission and values statement. To build a broad base of support across the Region, we implemented a two-step cascading process. First, senior management in each organization met with its management team to explain and support the process and the drafts developed. All managers and supervisors then provided recommendations for revisions which were incorporated into the statement. Second, a revised draft was provided to all employees to get their feedback. After considerable rework, the Region 5 Vision/Mission/Values Statement was published in final form in December, 1993.

Accomplishments

The full text of the Region 5 Vision/Mission/Values Statement is provided on the inside cover of this document. It has been adopted by all staff in Region 5, and individual Divisions and Offices may supplement it with versions tailored to their unique functions.

The operating principles that are important for Region 5 employees are: _respect_ for all people, _integrity_ and _honesty_ in our dealings, effective _communication and listening_ to the people we serve; a _bias for action_ to solve problems and achieve results; effective _leadership_ and strong _partnerships_.

The Region 5 vision, mission, and values will serve as our guideposts for the reinventing work to come. Specifically, the Vision/Mission/Values statement will be actively·used by the SLT in establishing its yearly priorities, its cross-regional teams, and its deployment of resources, as well as, being used on a daily basis to guide important policy and implementation decisions.

B. Customer Focus

State of the Organization Prior to Reinvention

Prior to initiating reinvention activities in Region 5 there was a conscious interest in becoming a customer driven organization, but there was not a clear cut definition of "customer" among all the Divisions and Offices. To further complicate matters, our multiple customers have differing needs, often times conflicting. There was a consensus that the Agency and government as a whole needed to do a better job of communicating and listening to all of those we affect and who are affected by our actions or inactions. However, customer interaction was often reactive, i.e., responding to requests from the public, to Congressional inquiries, or to reporters' calls. Furthermore, there was little recognition of "internal" customers and the interdependencies among various offices and programs within the Region. Implementation of Total Quality Management (TQM) principles in the Region through extensive training of management and employees generally increased our understanding of the importance of customers and our sensitivity to their needs.

Accomplishments

Since reinvention activities began, there have been a number of accomplishments and new directions throughout Region 5. Customer focus committees and teams have been set up in virtually all of the Offices and Divisions with the charge to develop better methods and activities to communicate with specific customers and constituents, as well as, with the broader public.

Customer oriented, public involvement efforts initiated by Region 5 in undertaking the Great Lakes Water Quality Initiative have been heralded by the Administrator as a model for public participation in Agency rulemakings. In addition, our continued emphasis on community-based environmental management through our Great Lakes Program and our special geographic initiatives in Southeast Chicago and Northwest Indiana, East St. Louis, the Tri-State Area, and Southeast Michigan, is bringing Regional staff in greater one-on-one contact with the public we serve and reinforcing our emphasis on customer focus.

The new Senior Leadership Team has included "feedback from constituency outreach" as one of the guiding principles for its strategic planning process. Throughout the course of our Optimization meetings, senior staff expressed the need to go out and meet with the Region's key interest groups so that they can engage these groups in a two-way dialogue and incorporate input from these groups in the Region's strategic planning process.

In addition, the Region completed a joint EPA/State Strategic Plan[2] that established the basis for a streamlined, consensus-based planning process which eliminates burdensome review and oversight of the States. In 1994, we initiated a similar strategic planning process with the Region 5 Tribes.

Actions and Processes to Meet the Customer Focus Goal

The first priorities are to complete the strategic planning process with the Tribes and continue implementation of the revised planning process with the States under the joint Strategic Plan. We will be focusing over the next year on integrating this planning process with the Performance Partnerships called for by this Administration.

The Office of Public Affairs (OPA) has added two new functions that address the need to communicate more effectively with the Region's customers. OPA will focus on "constituency outreach" and "compliance outreach" under the new reorganization plan. OPA will enhance its constituency outreach efforts by expending more time on identifying and communicating with key Regional interest groups and educating them about Agency initiatives. In an effort to reach another key customer, the regulated community, OPA will work in tandem with the program Offices and Divisions to educate business and industry on new regulations and policies.

We will continue to survey the broader regional community to understand their interests and concerns and to use their responses to modify our approaches. To coordinate the Region's activities, a subcommittee of the RIT will be established to develop a *Region 5 Customer Service Plan* for implementation beginning in fiscal year 1996.

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[2]USEPA - Region 5. 1993. *Strategic Directions for the Midwest Environment: 1995-1999.* EPA 905-X-93-001. Chicago, Illinois.

Region 5 is committed to implementing community-based environmental management on an even broader scale than in the past. In 1996, we will commit 20% of our Regional resources to community-based efforts and in doing so we will work directly with our customers and our partners to address their concerns. We will provide leadership where appropriate, serve as dedicated partners when needed, and always seek to enable others through value-added services.

The OTF has identified the major functions and the key processes with which our organization will connect with its customers. By grouping these functions according to the customers served, we can respond in ways that assure alignment with it customers needs. Our key processes are shown on **Figure 1 - Cross Program Processes** which is located at the end of this Plan. Where these processes cross several organizations, the Region will consider whether a Regional Team is appropriate so that a "process-owner" is identified, again to ensure an improved connection with our customers.

Further specific steps and activities to meet our reinvention goals are being developed by the Region 5 Divisions and Offices. For example:

- a survey of public knowledge and concerns with regard to environmental problems in the Great Lakes Basin will be completed by GLNPO during 1995;

- additional training is being planned on how to more effectively listen, facilitate a dialogue and host productive Superfund public meetings;

- the Office of Regional Counsel is currently drafting a client relations plan;

- the Software Development Unit is tailoring an interactive computer program to assist State and local entities in the redevelopment of "brownfield" properties; and

- the Region will consider cross-media teams where common processes are used to connect with our key customers.

Deadlines and Milestones

- Complete the 1996 State/EPA program planning process using the streamlined procedures envisioned during the strategic planning process (June 1995).

- Complete the joint EPA/Tribal strategic planning process for the Minnesota Tribes (April 1995).

- Complete the joint EPA/Tribal strategic planning process for the Michigan and Wisconsin Tribes (June 1995).

- Deploy resources (20% at a minimum) to implement our broader community-based efforts (October 1995).

- Complete the Great Lakes Basin public survey (January 1996).

- Complete the Office of Regional Counsel client relations plan (May 1995).

- Establish a standing subcommittee of the RIT to develop a Region-wide customer service plan (June 1995).

C. Diversity

State of the Organization Prior to Reinvention

In 1990, Region 5 created a Multi-Cultural Diversity Task Force (MCDTF) as a special task force of the Human Resources Council. The MCDTF was intended to provide a forum for development of cultural diversity training for the Region and to create a cultural diversity information repository in the Regional library. Thus, Region 5 had instituted a program to promote cultural diversity long before the advent of the reinvention process.

Civilian Labor Force (1990)

Region 5 Profile: Race/National Origin February 1994 Data

NOTE: Permanent PT/FT/SES employees only.

Equal Employment Opportunity and Affirmative Action hiring does not equate with a culturally diverse workforce, but it does provide for a strong starting point. Our February 1994 Streamlining Plan documented that Region 5 had

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achieved parity in some areas with the 1990 Civilian Labor Force (CLF) goals established by the Affirmative Action Plan (AAP) (as shown in the above charts). AAPs were developed by each Office and Division, and although some Divisions and Offices were close to parity in overall workforce statistics; others needed to move more aggressively to reach parity.

Accomplishments

Between 1990 and 1994, the MCDTF retained a contractor to serve as facilitator for the task force and, later, to conduct focus group sessions within the Region. Information acquired through these focus groups was used to develop a Regional cultural diversity concept paper, to design cultural diversity training for the entire Region, and to serve as a basis for planning events to promote cultural diversity. One important result of the MCDTF was to develop an operational definition of a culturally diverse organization which was adopted by the Region:

> "A culturally diverse organization consists of everyone within the organization and everything they bring and contribute to the workplace. This definition includes, but is not limited to: cultural background, life roles/styles, gender, age, religions/beliefs, abilities/disabilities, nationality, race, color, sexual orientation, ethnicity, values, and life experiences."

At the end of 1994, upon recommendation of the Regional Reinvention Team, primary responsibility for promoting diversity was returned to the individual Divisions and Offices. However, an ongoing Region-wide focus on cultural diversity is provided through a standing committee of the HRC.

Our current workforce profile in comparison with the CLF statistics reflects that...

Actions and Processes to Meet the Cultural Diversity Goal

Region 5 views commitment to cultural diversity as a constant and ongoing process. It is not our intent to set a diversity goal (numerical or otherwise) and declare victory once that goal is reached. We will evaluate our progress semi-annually through diversity

Region 5 Profile: Race/National Origin FY 1995 Data

progress reports prepared by each Division/Office, and through an annual report to examine the Region's progress.

Region 5 is committed to enhancing cultural diversity, but in order to achieve our goals we must recognize that important barriers exist, barriers which are imposed by the reinvention process itself, as noted earlier. In particular, as we streamline and optimize our organization in order to achieve the 1:11 supervisor-to-staff ratio, we are committed to maintaining the diversity of our current supervisory structure as it relates to ethnicity and gender and hope to actually increase it in the future. To build upon this, we are committed to:

- take steps to ensure that we create meaningful employment opportunities at the same grade and pay for those who voluntarily leave or are reassigned from supervisory and managerial positions;

- work toward maintaining parity with the CLF (Civilian Labor Force) in supervisory and non-supervisory positions by October 1998;

- increase diversity in higher-graded (GS-13/14/15), non-supervisory positions, such as team managers and experts;

- ensure diversity on cross-regional and intra-Division/Office teams;

- promote diversity in all developmental opportunities, such as rotations, details, training, and mentoring opportunities;

- focus on diversity in the awards process;

- continue to pursue affirmative action goals in whatever limited opportunities exist for hiring and promotion; and

- continue to promote cultural awareness through region-wide activities.

As the reinvention process moves ahead, each Division and Office will continuously review its opportunities to achieve organizational goals and will report to the RA/DRA annually. The Civil Rights staff and the Special Emphasis Program Managers (SEPMs) will assist the program offices by providing feedback and by providing candidates for jobs. The Region will particularly focus its efforts on those groups that continue to be under-represented in the Regional workforce when compared to the CLF.

President Clinton has said that, "The Government does not have one person to waste." Clearly, the goal of the Region 5 reinvention implementation plan is to have an organizational culture which understands and values diversity, a culture in which all employees are valued members of the Region and one in which employees, supervisors and managers collectively take ownership for achieving and maintaining a diverse workforce.

Deadlines and Milestones

● All Divisions and Offices complete updated Workforce Management Plans (March 1996).

● All Divisions and Offices report to the RA/DRA annually on progress towards achieving the goal of CLF parity (October of each year).

● Achieve parity with the CLF (Civilian Labor Force) in supervisory and non-supervisory positions in all divisions and offices by October 1998.

D.1. Working Collaboratively - Empowerment

State of the Organization Prior to Reinvention

Historically, Region 5 has operated under a standard chain of command, with responsibility and accountability increasing from staff up through first line supervisors, Section Chiefs, Branch Chiefs, Division Directors, and, finally, the Regional Administrator. The degree of freedom and responsibility given to staff, particularly at the more senior grades, has varied among the Divisions and Offices. However, in most programs, high-performing staff have been individually entrusted by their supervisors and managers with greater responsibility, autonomy, and authority to make decisions. They have also been recognized and awarded for their efforts, and, where possible, promoted to higher grade levels, including Regional and National expert positions, as well as supervisory and management positions.

Region 5 began moving towards greater empowerment of employees through the implementation of TQM in 1991 and 1992. Emphasis was placed on empowering quality action teams to evaluate and modify ongoing processes and to achieve more efficient business operations.

Accomplishments

Empowerment--with its variety of definitions and understandings--is a significant theme in the NPR, and is one of the most effective means to achieving a reinvented organization. True empowerment requires a significant change in thinking in the Region's culture, particularly between the first line supervisor/manager and the staff. Region 5 focused early on this issue in its February 1994 Streamlining Plan, and proposed the following concept, adapted from Stephen Covey's book, *Principle-Centered Leadership*[3]:

> "Empowered individuals have the knowledge skill, desire, and opportunity to personally succeed in a way that leads to collective organizational success."

Covey's model includes six conditions for successful empowerment: 1) "Win-win Agreements" between managers and staff; 2) self-supervision; 3) helpful structures and systems; 4) accountability; 5) appropriate skills; and 6) appropriate character.

In a survey of Region 5 employees completed in December 1993, more than two-thirds of those responding agreed with this concept and with the associated description of accountability. The respondents also clearly articulated the benefits and disadvantages of empowerment, as well as a series of barriers to it. This baseline assessment indicated first that existing systems, such as performance agreements, and awards, did not support clear accountability; and secondly, that supervisors needed to be willing to explore change and relinquish control.

Region 5 divisions and offices have undertaken several projects to enhance employee empowerment (Appendix A - Work Processes). Region-wide, a workgroup has identified and recommended a series of formal redelegations and requests for redelegation authority in the area of enforcement. Another Region 5 workgroup developed and proposed a performance management pilot that may enhance employee accountability by streamlining the performance agreement and adding a "win-win" component to it. The regional awards process is currently under review, and will be designed to support employees who assume greater responsibility with successful results.

Several organizational changes, such as a pilot eliminating a layer of management in the Office of Superfund, increases the supervisor to staff ratio from the previous 1:8 up to 1:20 and the use of self-directed team approaches, have forced organizations to shift authority to staff. In these situations, line

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[3]Stephen R. Covey, Principle-Centered Leadership, 1992 Edition, p. 212.

supervisors have found it impossible to exercise the traditional level of supervision and have gained some insight as a result which is being used to design the future organization.

Finally, a number of offices have shortened sign-off and informal authorities, so that many employees need only the concurrence of their immediate supervisor to proceed with a given document or decision.

Actions and Processes to Meet the Goal of Empowerment

Region 5 will focus on several areas that are the *foundation* of successful empowerment:

- Defining the expected changes in the role of the supervisor in an organization characterized by staff empowerment. The role of supervisors and managers from technical experts with management responsibilities to coaches and mentors whose primary responsibilities are leadership, removing barriers to staff performance, staff development, and financial integrity;

- revising performance agreements to ensure that the empowerment and accountability of all employees is tailored to their specific responsibilities, and moving toward "360 degree" performance evaluations;

- training supervisors and staff on the concepts of empowerment and accountability will be conducted, so that those implementing the concepts have mutual understanding of expectations, consequences, methods used, and plans for corrective action, if needed. There are several commercially available programs on this topic, such as "Flight of the Buffalo," or "Reinventing Management";

- preparing managers for a range of empowerment and accountability, as well as a range of performance, based on staff competence and willingness. Region 5 will adapt the "Empowerment Tool" originated in OPPTS, or implement an equivalent document on a pilot basis to facilitate this process.

- adopting a team management philosophy more broadly across the Region based on the successful implementation of this approach in several pilot organizations (e.g., WMD, PAB and GLNPO);

- reducing management review and approval of the work products of fully trained staff that are functioning at a quality performance level;

- promoting empowerment methods, monitoring their progress, and sharing successes across programs; and

- pursuing redelegations to the lowest level feasible in the organization.

Milestones/Evaluation

- Complete Regional Training Plan (July 1995).

- Complete delegation review and implement revised delegations (September 1995).

- Implement cross-Regional teams (October 1995).

- Implement revised performance appraisal process (February 1995).

- Complete revisions to the awards process (August 1995).

- Re-assess progress through an employee survey (March 1996).

D.2. Working Collaboratively - Teams

State of the Organization Prior to Reinvention

Prior to our reinvention activities in FY94, a number of cross-Regional teams had been formed to implement new strategies, such as environmental justice, or to address multi-media environmental issues at key geographic locations, such as Northwest Indiana. In some instances, implementation was not as effective as it could have been for a number of reasons:

- Teams received little direction from managers with respect to desired results;

- supervisors and staff did not always clearly establish roles and responsibilities;

- teams were not adequately staffed and provided with the resources to effectively carry out their mission;

- team Managers were GS-12 or GS-13 level employees with limited authority; and

- issues being addressed by teams were considered marginal or beyond the scope of "base program" activities and no formal framework for accountability existed.

In spite of these problems, some notable successes were achieved, particularly in the areas of multi-media enforcement, pollution prevention, the Great Lakes Program, and specific place-based initiatives such as the Waukegan Harbor remediation project.

Accomplishments

The Region has come closer to achieving a 1:11 supervisor to staff ratio, and to minimizing duplication, by encouraging divisions and offices to pilot the use of teams within their organizations. Some divisions and offices within the Region are already using teams, or plan to implement the team concept in the near future. A few notable examples include:

- The Planning and Management Division (PMD) has used the team concept successfully to deal with special projects (computer upgrades, etc.) and to flatten their organization to achieve a 1:11 supervisor to staff ratio.

- GLNPO operates under a team management approach. Ten permanent operating teams have been formed around three key areas: policy development and resource management; technical assistance; and information management and distribution.

- WMD formed teams to address environmental justice and tribal issues. Membership on those teams included persons from all programs within the Division. Each group was called upon to prepare a major planning document on behalf of the Division.

- The Office of Superfund piloted self-directed, cross-office management teams during FY94 which became permanent teams for FY95, including: Changing Role of the Secretary, Role of States in Superfund, Human Resources Management, Contracts Management, and several others. Teams are now formed routinely to assess new Superfund sites and develop comprehensive response strategies.

- The Water Division (WD) has formed cross-program project teams and is conducting team training for staff. During 1994 an internal team worked collaboratively to develop the Region 5 Watershed Strategy.

The Region uses a team concept in planning and conducting multi-media inspections at facilities throughout the Region. Team members from the Divisions and Offices and ORC work together throughout the enforcement process, taking an inspection from the planning stage through the conclusion of any resulting enforcement action.

Those organizations piloting the team management approach have experienced a number of positive changes to the work "culture", including:

- improved Staff abilities to identify common goals and share responsibility for implementation across divisions and offices and with organizations outside of the Agency.

- broader staff involvement in and understanding of key support processes, such as, budget development, communication and reporting, health and safety;

- more open communication on important issues and problems and the development of joint solutions from diverse groups in a faster time-frame;

- a greater degree of certainty and understanding of expectations when team performance agreements are used; and

- an improved system of accountability when team performance agreements are coordinated with individual performance agreements.

Those divisions and offices that are relying on team-based decision making have found that employees accept more authority, take more risks, cultivate a variety of skills, and are more creative. We have become more aware of the benefits to completing our work in a collaborative fashion and we believe that working in teams creates employee ownership in the product and helps to increase morale, productivity, flexibility, quality, commitment, and customer satisfaction.

Actions and Processes to Meet the Team Goal

During its deliberations on organizational redesign, the OTF recognized that for the Region to meet its environmental goals there needed to be significantly greater multi-media coordination and improved collaboration among Divisions and Offices at all levels. To achieve this goal, the OTF decided to move to broader implementation of a formal team management approach to address the major environmental issues (e.g., Tribal assistance, enforcement coordination, pollution prevention) and to continue implementation of community-based environmental

protection. The Region's commitment to cross-Regional teams was further reinforced by the decision to maintain media divisions, rather than reorganizing purely by function or ecosystem.

The OTF has developed a framework for the cross-Regional team concept and consistent operating principles which build upon successes already experienced in a number of programs. Highly skilled team managers will be selected and will report directly to a SLT "sponsor". Teams reporting to the SLT will be reviewed on at least an annual basis to determine if a continuing need for the team exists or if other needs are more important. Yearly budgeting and resource allocation by the SLT will encourage changes in the mission and composition of teams reporting to them. The SLT sponsor for each team will be responsible for assisting with changes in team composition as the demands of the project change. The Divisions and Offices will recognize the priority work of the teams, due to the Division/Office Director's participation on the SLT, and will accommodate the resource needs through redirection of program resources.

To implement this approach successfully, team training is essential. As noted above, the Region has committed to developing a Training Plan by July 31, 1995, which will emphasize team building and team implementation skills for managers, team managers, and employees.

Deadlines and Milestones

- Evaluate existing teams, determine which cross-Regional teams to establish and define their priorities, expected results, and SLT sponsors (April 1995).

- Draft and classify Position Descriptions for team managers, prepare job analysis and rating plan; post positions (May 1995).

- Conduct interviews and make final selections for team manager positions (June 1995).

- Determine team membership (July 1995).

- Provide training for managers and team managers in accordance with the Regional Training Plan (July 1995).

- Team performance agreements and budgets finalized (October 1995).

D.3. Working Collaboratively - Management Behavior

State of the Organization Prior to Reinvention

In the past, Region 5 has operated primarily with a divisional or program focus which conformed with the Agency's program planning and budgeting processes. The senior managers of the Region often operated independently because their responsibilities were defined by statute and regulation. As a result, staff focus and accountability was often bounded by programmatic and regulatory responsibilities. There was limited communication among programs and, at times, among offices within a single program. This resulted in a "stove pipe" organizational design, with communication occurring from Headquarters to the Region to the State along programmatic lines. This design, with its clear lines of authority and accountability, was effective in dealing with some of the worst pollution problems in the nation.

Accomplishments

As the environmental issues have changed, as our understanding of the inter-relatedness of the issues has improved, and as our analytical tools and technologies have advanced, the requirement for integrated, cross-program solutions for complex environmental problems has become quite clear. Since 1990, Region 5 has been supporting TQM. This initiative has brought about some changes in management behavior, such as, increased use of facilitators and more consultation and joint problem-solving on process issues of common concern.

The Region's successes in a number of program and community-based initiatives, such as, multi-media enforcement, the Great Lakes Water Quality Initiative, and our geographic initiatives, has stimulated a change in behavior at the management and staff levels. These endeavors have often fostered greater communication and cooperation among those involved.

Those divisions and offices piloting team approaches have also experienced some success in redefining the roles and skills of their managers as coaches and facilitators responsible for removing barriers to employee productivity and creativity.

However, the Region as a whole has not gone far enough. The senior management of Region 5 believes that a broader cultural change is essential if we are to be successful in our reinvention efforts and, most importantly, if we are going to meet the environmental challenges ahead and serve the public better.

Specific Actions and Processes to Meet the Management Behavior Goal

Re-inventing an organization must begin at the top. The Region 5 senior managers recognize the need for a unified leadership team with a shared vision for the future and a sense of shared responsibility for achieving it, especially during these times of change. As a result, they have committed to forming the Senior Leadership Team (SLT). The SLT will focus on the strategic environmental and organizational issues confronting Region 5, and building relationships with all of our constituencies.

The SLT will be guided by the principles and goals in the EPA Strategic Plan, the Great Lakes Five Year Strategy, the Strategic Directions for the Midwest Environment, the Tribal Operations Action Memorandum and feedback from listening and learning from our constituents.

The Senior Leadership Team will:

- engage in strategic planning which aligns annual priorities with regional and national strategic goals;

- deploy resources consistent with strategic goals;

- form, authorize, and empower region-wide teams, select team managers, and establish performance agreements between region-wide teams and the SLT to carry out strategic priorities;

- establish expectations and measures of success for strategic goals, and measure progress;

- initiate cultural change and continually assess the effectiveness of the organization and identify areas of improvement;

- actively build relationships with constituencies; and

- rotate senior management assignments, beginning with 2 or 3 positions in April, 1995 and consider periodic moves in the future.

This change will create greater accountability with the SLT for implementing our stated strategic goals and defining common measures of success. Moreover, by deploying resources consistent with shared strategic goals and through a well-understood collaborative process, this change will move the Region from the

annual, divisive, competition for resources, to sharing resources for a common cause.

Senior management will begin operation as the SLT in April 1995 with the possible assistance of an outside consultant to foster significant cultural change. One of the early tasks will be crafting an operating procedure which will assure continuing contact with Regional issues and regular reporting to the employees on SLT accomplishments.

Cross-Region teams will be created after consideration of strategic plans, resources and emerging issues. The teams will receive a budget and a specific sponsor from the SLT. The first business of a new team will be to create a performance agreement with their sponsor. The negotiation of this agreement will assist in coalescing the team and clarifying expectations.

We will shift the focus of all managers from command and control to guiding, coaching, delegation, leadership and facilitation. This shift is supported by the Region 5 performance evaluation pilot **(Appendix A - Work Processes)**. This pilot has supervisory standards that explicitly support different management behavior as well as a 360 degree review for everyone, including managers.

Deadlines and Milestones

- Begin implementation of the Senior Leadership Team (April 1995).

- Evaluate existing teams and determine which cross-Regional teams to establish, their priorities, expected results, and SLT sponsor (May 1995).

- Provide training for managers and team managers in accordance with the Regional Training Plan (July 1995).

- Finalize cross-Region team performance agreements and budgets (October 1995).

- Implement revised performance appraisal process with 360 degree evaluations (October 1995).

- Implement revised awards process which fosters cultural change and the redefined roles of managers and staff (October 1995).

- Rotate 2 or 3 Division/Office Directors (April 1995)

E. Organizational Design

In August of 1994, Region 5 formed an optimization task force made up of Division and Office Directors as well as supervisors and staff level employees to embark on the task of optimizing the Region's operations. With significant input from Regional employees, the States environmental offices, and key external stakeholders, the Task Force designed the framework of an organizational structure to meet its reinvention goals. Further elaboration of the Region 5 structure is provided in **Appendix B - Organization Design**.

The SLT will commission a Design Team which will develop and recommend all the details and resource levels for the new organization. The fundamental characteristics of the proposed organization include:

- The formation of the SLT made up of the Division and Office Directors, as already discussed: the SLT will provide a long term vision for Region 5, focusing on strategic planning and policy issues as well as providing direction and resources for the multi-media and region-wide teams. The SLT will also facilitate cultural change within the Region, including management behavior and transitions to new roles as streamlining takes place. The new SLT will devote a great amount of time to constituency outreach in order to gain constant feedback from the Region's customers as well as educate them about Agency actions.

- The formation of region-wide teams to focus on Agency priorities and cross-program, community-based efforts: team managers will report directly to the SLT. Team members will be made up of representatives from across the Region. Some teams, such as the Tribal Team, will be permanent; most will be reviewed every year as to the need for them and the appropriate funding level. The non-supervisory GS-14/15 team manager positions will support a dual career path option in Region 5 and are likely to accommodate some former supervisory staff as the Region achieves its goal of a 1:11 supervisor to staff ratio.

- Organizational changes include the creation of an Office of Strategic Environmental Analysis (OSEA). The decision to create OSEA is directly related to re-inventing the senior management into a strategic, forward-looking, decision-making body, occupied with the strategic environmental and organizational issues facing the region. The primary function of OSEA will be to provide the SLT with information and analysis concerning the state of the environment, and to respond to requests from the SLT to provide a range of strategic planning support. Specific support activities will include

GIS and integrated data analysis, risk assessment, peer review, developing environmental goals and indicators, National Environmental Policy Act (NEPA) analysis, principle contact with ORD and policy and analytical support to region-wide priorities.

●   A new Resources Management Division (RMD) will be created, consisting of most of the existing PMD (minus the strategic planning and analysis function), the Central Regional Laboratory, the Cleveland field office, and "core" quality assurance, monitoring and inspection functions. Most project-level QA, monitoring and inspection functions will be decentralized to the media divisions; however, a core of Region-wide support and expertise will be located in RMD. The focus of the RMD will be its service responsibilities. Activities relating to routine classification functions will also be decentralized to media divisions over time. A contingency of staff experts will remain in the RMD to provide assistance to the Divisions and Offices.

●   The Waste Management Division will be separated into two Divisions, with Superfund and Chemical Emergency Preparedness in one and the Resource Conservation and Recovery Act (RCRA), Pesticides and Toxics, and Underground Storage Tanks programs in the other. This creates two Divisions of comparable size to the other media Divisions as well as removes a layer of management which covered a significant part of the Region.

●   The current Environmental Sciences Division (ESD) will no longer exist, since all of its functions will be incorporated in one of the other Divisions or Offices.

●   The Air and Radiation Division and the Water Division will both establish Enforcement Branches, consistent with the Enforcement Branches in the other Divisions, as required by the Administrator's decision on enforcement. A small Regional Enforcement Office will be created and report to the Deputy Regional Administrators to coordinate the regional enforcement programs.

●   All Divisions, plus ORC and GLNPO, will be working on internal changes to address streamlining and meeting the 1:11 supervisor to staff ratio directive.

As noted in the Introduction to this Plan, Region 5 does not believe that the kind of change necessary to effectively respond to the challenges confronting the Agency can or will be accomplished overnight. Rather, we believe that a reasoned and sustained effort to change the culture of the Agency is needed. These

organizational changes are our first important step in effecting a cultural and organizational transformation in Region 5. We believe that these changes position the Regional Office to undertake further changes in the future, as the entire Agency continues to evolve to meet the environmental challenges of the nation.

E.1. Organizational Design - Reduced Organizational Layers

State of the Organization Prior to Reinvention

The current organization is characterized by eight Senior Executive Service (SES) positions (not including ORC) at the Division and Office Director level (three SES positions for the WMD alone) and a vertical structure with up to four layers of management below the Division Director level (ie; Unit, Section, Branch and Associate or Deputy Division Directors. This structure has advantages in that it provides a high degree of control over outputs and clear lines of responsibility. However, it also has significant disadvantages, including the tendency to isolate and restrict cross-program communication, reduced empowerment of front line staff, and slow response times due to excessive and redundant reviews and approvals at each level.

Accomplishments

Many Divisions and Offices have begun to shift away from the traditional vertical structure by eliminating layers and moving to team organizations (see discussion in Section D of this Plan). In addition, significant process changes are underway in accordance with our February 1994 Streamlining Plan which will shorten approval chains and functionally reduce the layers between the people doing the work and the decision-makers (**Appendix A - Work Processes**).

Actions and Processes to Meet the Reduced Organizational Layer Goal

The proposed organization design (depicted in Appendix B) when implemented will result in a number of significant changes. The maximum number of management layers will be three, starting with Division/Office Director, then Branch and Section levels. Deputies may not be prevalent and those that do exist, may not be supervisors. More program management will be performed by non-supervisory managers. To accomplish these objectives, the following will be done:

- create an attractive dual career track through the establishment of a number of highly visible, influential team manager, senior program manager and

Regional "expert" positions, which will create non-supervisory alternatives as we achieve our 1:11 goal;

- enhance flexibility and responsiveness of the Region to address new initiatives and emerging priorities through the creation and staffing of cross-regional teams with lengths of assignment and resource allocations reconsidered on an annual basis;

- organize each Division/Office to have no more than 2 sub-units below the Division/Office Director level, i.e. Branch, Section.

Deadlines and Milestones

- See key deadlines and milestones under Section D.

- Submission of a formal Region 5 Reorganization Proposal (June 1995).

- Anticipated approval of the Reorganization Proposal by Headquarters (August 1995).

- Approval of Division/Office Reorganization Plans (October 1995)

E.2. Organizational Design - 1:11 Supervisor to Employee Ratio

Status of the Organization Prior to Reinvention

On the following page is a profile of the existing non-SES permanent supervisory staff in Region 5 as of March 17, 1995 compared to the Civilian Labor Force (CLF) using 1990 census data. It is subdivided into Administrative and Professional categories, ethnicity and gender (in terms of percentage). The target number of non-SES supervisors at 93 is arrived at by achieving the 1:11 ratio of 93 supervisors (plus 10 SES positions) and 1127 staff for a total existing workforce of 1230 (excluding ORC).

Profile of Region 5 Supervisors Compared to 1990 Civilian Labor Force (CLF)

	Administrative			Professional			Target number to reach 93 supervisors at current R5 percentages		Target number to reach 93 supervisors at CLF percentages	
	CLF %	R5 %	R5 No.	CLF %	R5 %	R5 No.	Admin	Prof	Admin	Prof
White Males	42.1%	46.1%	30	54.7%	69.1%	47	21.0	32.0	19.0	26.0
White Females	40.5%	38.5%	25	30.3%	14.7%	10	18.0	7.0	18.0	14.0
White Total	82.5%	84.6%	55	85.0%	83.8%	57	39.0	39.0	37.0	40.0
African American Males	3.6%	4.6%	3	2.4%	2.9%	2	2.1	1.4	1.6	1.1
African American Females	5.3%	9.2%	6	3.2%	2.9%	2	4.2	1.4	2.4	1.5
African American Total	8.9%	13.8%	9	5.6%	5.8%	4	6.3	..8	4.0	2.6
Hispanic Males	2.6%	0.0%	0	2.1%	1.4%	1	0.0	1.0	1.0	1.0
Hispanic Fem.	2.6%	1.5%	1	1.4%	0.0%	0	1.0	0.0	1.0	1.0
Hispanic Total	5.2%	1.5%	1	3.5%	1.4%	1	1.0	1.0	2.0	1.0
Asian Males	1.4%	0.0%	0	3.5%	8.8%	6	0.0	4.0	1.0	2.0
Asian Females	1.4%	0.0%	0	1.9%	0.0%	0	0.0	0.0	1.0	1.0
Asian Total	2.8%	0.0%	0	5.4%	8.8%	6	0.0	4.0	2.0	1.0
TOTALS			65			68	46.0	47.0		

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Accomplishments

The Region fully expects to meet or exceed our 1:11 supervisory ratio goal as we move to a flattened, reinvented, streamlined organization. The Region has undertaken a number of steps to help achieve these results:

- Standardized Supervisory Position Descriptions - The Region has fully developed a standardized approach to classifying all supervisory and managerial position descriptions utilizing the new OPM Classification standards for grading supervisory positions. This new generic format approach will help correct grade level imbalances that currently exist in the organization as we move to a new configuration. This approach substantially reduces the amount of time it takes to set up a new supervisory structure.

- Delegation of Classification Authority - The Region has undertaken an aggressive training schedule to train supervisors and managers in the basics of position classification. This decentralization of the classification process from RMD to the other Divisions and Offices will enable the Region to move ahead with establishing new jobs as we reorganize to establish enforcement branches and make the organizational changes outlined in this plan. This also empowers the supervisors who are close to the work to become involved in not only the budget process but also the compensation process as it relates to their employees. The Region is seeking the redelegation of authority for this process from HQ, and in the meantime, HRB will perform expedited approvals following the program Division/Office reviews.

- Position Classification Software - In an effort to assist our managers and supervisors in classifying their positions, the Region is working toward acquiring software systems (e.g., PD writer, Proclass) which will greatly enhance the ability of supervisors to create and classify positions from their desks. This effort will enhance the ability to set up dual career path positions.

- Dual Career Paths - Region 5 is aggressively exploring options for development of higher graded non-supervisory positions commonly known as "Dual Career Path" positions. A more complete discussion of this plan is included in **Appendix C - Workforce Development**. We have been successful in attempts to establish dual career path positions at the grade 13 and 14 levels and will be establishing grade 14 and grade 15 non-supervisory positions as a means to accommodate supervisors who will be leaving supervision.

- <u>Workforce Management Plans</u> - The Region has established, and will update, workforce management plans which will describe specific steps to achieving 1:11, help each Division and Office decide which positions they need to establish, describe how they need to staff them, give them a basis to monitor attrition and diversity, and help them work through the mechanics of the movement of employees from supervisory to non-supervisory positions.

- <u>Reductions and Freeze on Permanent Promotions to Supervisory Positions</u> - A quick review of the Region's records will show that we have 149 supervisory and managerial positions of which 10 are SES, 6 are temporary promotions to supervisory positions from non- supervisory positions, and 133 are permanent supervisors. These numbers are exclusive of our Office of Regional Counsel. This number is down from 161 on 9/18/93, however, the Region has not filled a supervisory position permanently in over a year. Of the 133 permanent supervisors, 2 have been offered and have accepted second round buyout offers under the delayed departure provisions, one has applied for early-out retirement effective the end of March, and another is being reassigned out of supervision shortly. To meet our 1:11 supervisory ratio, our non-SES target is 93 supervisors. Assuming that those 6 who are now on temporary promotions to supervisory positions will not remain supervisors, our Region will have to place approximately 36 permanent supervisors into non-supervisory positions to reach the target of 93. To get to this number, the Region will establish a number of non-supervisory Regional and National Expert positions, Regional Team Manager positions, and Team Leader positions, and will ask supervisors to consider voluntary reassignments. The Region will attempt to match supervisors interests with the Regional and National Expert positions, and Team Manager and Team Leader positions. If not all of the 36 supervisors are placed through voluntary reassignments, the Region will direct reassignments to non-supervisory positions.

Actions and Processes to Meet the 1:11 Goal

The SLT will provide overall guidance and leadership to achieve the 1:11 goal within the Region. If a particular organization has difficulty in meeting the goal due to its small size or other factors, the SLT will work collaboratively to reach an acceptable solution. Specific actions will include:

- establishing the cross-Region teams by the SLT to provide opportunities for some current supervisors;

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- identifying Regional expert and other "dual-career path" positions at the GS-13/14/15 levels;

- opening available positions for Team Manager and Program Manager for competition;

- evaluating the need for Deputy positions and, where they are filled, decide if they are to be part of the supervisory chain;

- advertising vacant supervisory positions;

- making some management-directed reassignments if voluntary moves and competitive selections have not achieved the goal;

- assessing diversity goals as the process advances.

Deadlines and Milestones

- Establish cross-Region teams (May 1995)

- Select team managers (June 1995)

- Organizational design submitted to HQ (June 1995)

- Achieve 1:11 supervisor ratio (October 1995)

E.3. Organizational Design - Redeployment of "Headquarters"/Administrative Positions

Status of the Organization Prior to Reinvention

The Region does not anticipate any redeployment of Headquarters staff to Region 5 at this point in time, nor does the Region anticipate any transfer of functions currently housed in Headquarters to be coming to the Region.

Specific Actions and Processes to Meet the Redeployment Goal

The Region is considering the impacts of the proposed reorganization and the effect of the change in the supervisory ratios on the support staff, as well as

the technical and administrative staff elements. The elimination of supervisory positions and the possible consolidation of Units or Sections as we move toward a 1:11 ratio may require realignment or movement of some of the supporting staff elements. In this regard, each Division and Office will be examining the infrastructure within their support elements to make decision about realignment of functions and staff. This may lead to consideration of realigning staff from one type of position to another, or to a different career field entirely. These decisions will be made as plans are finalized for the detailed design of each organization.

E.4. Organizational Design - Flexibility

Status of the Organization Prior to Reinvention

As noted earlier, the Region's organizational structure was highly compartmentalized in vertical hierarchies with parallel communication channels that extended from Headquarters' program offices through the Region to the states. Although the majority of staff in Region 5 were "program" oriented, the Region has a relatively long history of cross-program coordination in such areas as the Great Lakes Program, the Contaminated Sediments workgroup, the Pollution Prevention Roundtable, the Data Integration Workgroup, and specific geographic initiatives. In addition, quality action teams have been used over the past four years to accomplish specific process improvements. However, these "teams", with the exception of the

Great Lakes Program, were poorly resourced, the work was considered "extra", there was limited management support, and clear lines of accountability and responsibility did not exist.

Perhaps most significantly, the Agency's planning and budgeting process did not (and still does not) lend itself to flexible implementation. The Region viewed itself as having limited capability to work outside the bounds of National Program Manager directives and priorities or to shift resources among program elements to accomplish Regional priorities. This inflexibility was transferred to the states through the annual program planning process which resulted in significant tension when the states requested flexibility in federal funding to address local priorities.

Accomplishments

Over the past three or four years, the degree of flexibility afforded the Region by Headquarters has increased to some degree. However, progress has not been uniform, varying across programs and seemingly dependent on the personal management styles of the senior managers·involved (at both the Headquarters and Regional level). One example of success is the Pesticides and Toxic Substances Program experience with the Memorandum o: Agreement approach to the annual planning process with Headquarters. It was then used to negotiate agreements at the State level, resulting in a very effective and result-oriented workplan.

Furthermore, Region 5 is making significant progress in increasing flexibility with the States through the strategic planning process. We are in the midst of achieving significant streamlining and reduced oversight of State actions by negotiating the FY 1996 program plans with a focus on mutually agreed upon high priority environmental issues and greatly reducing the Regional guidance to States.

A key barrier to flexibility in the Region continues to be the Agency's fundamental budget process which relies on often narrowly defined program elements. The Region has demonstrated some ability to shift resources into priority areas, but this has largely been "at the margins." Some relief has been provided at the national level through the Administrator's "taps" and the redistribution of these resources for priority activities.

Specific Actions and Processes to Meet the Flexibility Goal

Region 5 is committed to continuing the more flexible strategic planning approach with the States that was initiated in FY 1994 and to expanding this approach to Tribal Operations. In addition, the Region will work closely with Headquarters to define and implement the Performance Partnership process as a complement to our strategic planning approach.

To foster greater cross-program integration, flexibility and nimble response to high priority or emerging issues, the Region is committed to a cross-Regional team approach as described earlier Section D.2. As previously stated, the SLT team sponsor will assure that the team function remains relevant and will foster changes to meet priority needs.

Also flexibility in our Division/Office Director staff should be enhanced through the occasional position rotations. This was discussed earlier in Section D.3.

Deadlines and Milestones

- Complete the FY 1996 annual planning process with the States and Tribes by (June 1995).

- Implement cross-Region teams and team management (October 1995).

E.5. Organizational Design - Attributes

The Region 5 Optimization Task Force discussed and agreed upon seventeen criteria for measuring various organizational and operational options. Two subgroups of the OTF then independently utilized these criteria while developing, analyzing and evaluating various organizational options. The criteria describe important areas of consideration for measuring the impact of the proposed changes. These criteria were:

- utilize employees' talents
- promote teamwork
- prevent duplication
- flexible resource management
- foster communication
- alignment with strategic directions
- media program implementation

- flexibility to adapt
- productive
- multi-media approaches
- clear accountability
- accommodate unknowns
- sound decision making
- responsive to the public
- well-defined relationships
- supports partnerships
- international activities

Individuals in subgroups rated options using these criteria. Each option had advantages and disadvantages and all were compared using these criteria.

After the national list of attributes was developed and made available in November 1995, Region 5 compared it's criteria to the attributes for consideration and found that the intention of many were similar. The following section addresses the attributes which are present in our current organization or will be

developed in the proposed Region 5 Plan. Further analytic rigor will be reflected in our reorganization proposal which will be forthcoming in June 1995.

Accountability

One of our goals in designing our new organization was to build on our strengths. Region 5 is the largest of the EPA Regions, and makes a substantial contribution to the national media programs. The Directors of our current media programs are held accountable for results in those areas. We evaluated several alternative structural options which would combine Air, Water, and Waste. We found that it is very difficult to combine media programs in a Region this size without creating one or two mega-Divisions, and we were concerned about a loss of accountability. For this reason, we decided to maintain our media program organizations.

The accountability in media Divisions will be further broadened by becoming responsible for review and approval of Quality Assurance Project Plans (QAPPs), routine data quality management, ambient monitoring and inspections. These functions are presently managed by the Environmental Sciences Division and have resulted in annual resource arguments among Divisions and dissatisfaction with relationships. The media Divisions will also ensure program consistency, in conjunction with the Regional Enforcement Management Team and Office of Regional Counsel where enforcement policies are concerned.

The Task Force, RA and DRAs agreed that how we operate is more important than how we are structured. We believe that our Senior Leadership Team (SLT), with the support of the Office of Strategic Environmental Analysis, and our redesigned cross-Regional teams, will ensure shared vision, values and strategic goals, and multi-media coordination. Accountability problems which will be corrected through the SLT function are:

- Our present staff supporting strategic planning will receive more direction from Senior Staff;

- Senior Staff meetings will become a better environment for strategic problem solving and consensus building;

- teams will receive more strategic direction and clearer connections to Senior Staff, and will be held accountable to produce results;

- the Regional programs will become a cohesive organization that directs all available resources toward Regional priorities and will cease operating as a number of independent entities.

Regional reporting and accountability systems, including Congressional reporting, will not be affected by the new organization. Our Congressional liaisons and State Coordinators report directly to the RA. In the new structure the Tribal Team will also report to the RA to ensure accountability. As the name suggests, the PMD will now be the Resources Management Division (RMD), and will be held accountable for providing high quality service to internal customers. The Resources Management Division Director will serve as the Senior Resource Official, and will ensure that all requirements of delegated CFO and related authorities are met. The SLT and RMD will ensure that the Region has a consistent, concise, and customer driven process for grants and contracts management, while authorities for approving many of these documents will be delegated to lower management levels.

Communication and Coordination

We believe that the new organization will significantly enhance communications and coordination, internally and externally. Flattening of Division and Office structures will provide employees greater access to decision makers and will facilitate the flow of information vertically. The formation of the Senior Leadership Team and cross-Regional implementation teams will result in improved lateral communications and multi-media coordination.

One of our criteria in designing the new organization was that it be intuitive to the public and any stakeholder should be able to look at the organizational chart and immediately determine the responsible organization or manager for a program or an initiative. We have strengthened our customer focus by combining responsibilities for development of environmental software with our Office of Public Affairs. The Senior Leadership Team will direct the development of the software, providing the resources to do so, such that our high priorities are communicated to the public (eg; brownfields redevelopment).

Region 5 already has an effective structure to provide coordinated responses to Congress, OMB, GAO, the IG and States, as individuals with those specific responsibilities report directly to the Regional Administrator. Our decision to retain these reporting and accountability lines was reinforced by feedback received from our States and other customers. Based on input from our Tribes, we are establishing a Tribal team, which will also report directly to the RA.

Customer Focus

Many aspects of customer focus have already been discussed. By maintaining a largely media-oriented structure, Region 5 will ensure that the needs of the RA, National Program Managers and Congress are met. Our Senior Leadership Team and cross-regional teams will provide an effective customer-supplier interface for the Tribes, States, local governments, communities and the private sector as we move to more place-based environmental protection approaches. The SLT will utilize the Quality Blue Print and FADE process in decision making, which ensures customer-supplier alignment. Customer feedback, through the 360 degree feedback process, open forums, town meetings, Regional summits, and Industry Day outreach conferences will be a routine part of our operations. We will demonstrate a sensitivity to our customer's needs by becoming more flexible in our grants process, and involving communities in our decision making.

Integrity, Efficiency and Effectiveness

Integrity is one of Region 5's values, which provides a foundation for its mission and vision. We have an opportunity to improve our efficiency and effectiveness in a number of areas: multi-media work, strategic planning, State partnerships, data integration, grants processing, human resources management, and Regional services.

The Planning and Management Division (PMD) currently has the primary responsibility for human resources management, including classification of position descriptions. The other Divisions and Offices have not had a major role in this activity. In order to increase the timeliness and efficiency of the many actions, we propose to involve all supervisors across the Region. Managers are currently being trained to classify PDs, and the Region will request that approval authority be redelegated. This change will place the responsibility for developing positions with those that best know the duties. The new Resources Management Division, will focus on services, and will maintain a core of expertise to ensure quality and consistency across the Region, not only for personnel matters, but also certain technical areas like QA/QC.

Region 5 has established a Reinvention Implementation Team (RIT) to facilitate the improvement of processes and systems that accompany our new organization. Regional workgroups are now tackling the awards and grants processes. Feedback from our internal customers will help to improve these

processes, ensuring alignment with our vision and values, and providing maximum flexibility. Additional workgroups are examining the procurement process, information management and the use of bankcards. Resource management has been improved through the formation of a Deputies Council (may be replaced by senior program managers) which participates in resource allocation decisions and makes recommendations to the SLT. Responsibility for the day-to-day management of FTE and dollars has been delegated to the Divisions and Offices for added efficiency.

Measurement and Evaluation

At the present, programmatic success is measured largely by the STARS system. While Region 5 consistently meets or exceeds program commitments, these measures are often not effective in documenting real environmental protection. Region 5 has already taken steps to develop environmental indicators, and will continue in these efforts. We most recently established environmental priorities, goals and measures of success with our six State Agencies, in a plan entitled "Strategic Directions for a Mid-West Environment". Efforts are underway to fully implement this Plan within every program. The Senior Leadership Team, and implementation of cross-Regional teams, will help to facilitate the development and measurement of broad or multi-media goals. The SLT will clearly define expectations and desired results for our teams, and each team will develop measures of success as part of their performance agreement.

Region 5 has not been as effective in measuring management effectiveness. The FAME criteria are now utilized in selecting supervisors, but in the present organization, performance appraisals are the primary tool for evaluating effectiveness. To improve in this area, Region 5 established a Regional workgroup, which led the way in reinventing our Performance Management process. The new streamlined Agreements include management effectiveness characteristics, which will be assessed in addition to program accomplishments. The concept of 360 degree feedback has been incorporated, which will enhance employee development at all levels of the organization. Some Divisions have piloted systems in which employees evaluate their supervisors, and have had very positive results.

When the Optimization Task Force began its effort to assess the present Region 5 structure, the criteria identified at the beginning of this Section were developed to help characterize the "optimal" organization. They will be indicators to gage our success in achieving the desired results. Additionally, we plan to request feedback from our customers as we move into the future, especially our States, communities, Tribes and the private sector.

Reinventing and Streamlining

Our present organization includes some Divisions and Offices with 4-5 layers of management: Units, Sections, Branches, a Deputy and Director. Our new organization will ensure that only two layers of management exist between employees and the Division or office Director. Units, where they exist, are being eliminated and we will also examine the number of Deputy Division Director positions to assure they add value in the new organization. The Section, Branch, Director structure is appropriate for our Region, and will provide employees with greater access to decision makers. Some of our Divisions have been creative in developing new GS-15 non-supervisory management positions These managers will focus their efforts on program implementation and complex technical issues, while Supervisors manage the people. Our Waste Management Division presently includes the Office of RCRA and Office of Superfund; because of the size and impact of these programs, all three Directors are in the SES. In our new organization, the Waste Management Division is being split into the Division of RCRA/TSCA/FIFRA and Division of Superfund, which will eliminate a layer of management, as well as one SES position.

Region 5 believes that the most needed change is in how we operate - a cultural change that will promote teamwork, shared vision and values, and shared resources. We feel that a Senior Leadership Team, working together to strategically plan and direct resources, combined with cross-Regional teams that ensure multi-media coordination, will provide the most flexible, adaptable organization for future change and emerging priorities.

Region 5 will achieve, at a minimum, a 1:11 supervisor to staff ratio, hopefully by the beginning of FY96. This, in conjunction with intensive use of teams, will bring more people to the "front line" and should result in a more nimble, less bureaucratic organization. Additionally, Region 5 formed a workgroup to examine and revise our delegations, beginning with the enforcement program. Where possible, delegations have already been pushed to the lowest level. Where HQs approval is required, a proposal will be forthcoming. Some of our Offices have facilitated employee empowerment by incorporating the Win-Win agreement concept into our streamlined performance agreements.

Evaluation

We recognize that an important component of facilitating and managing change is measuring success. Measurement is one of the five pillars of Total Quality Management, and we have been striving to make it a part of our Region 5 culture over the past few years. Just as core organizational values provide the foundation for the Pillars of Quality, they will provide a firm base upon which to build our new organization. We have taken some initial steps by soliciting feedback from our internal customers and key stakeholders, by gathering data on our current supervisor to staff ratios; we have profiled our workforce to evaluate our progress in achieving parity with the Civilian Labor Force, and to ensure that we maintain or increase the diversity in our management team. We have established some challenging goals that will help keep us focused as we begin our journey, and we have agreed on the attributes that we feel describe the organization that we want to be. Achieving an optimal organization will be a dynamic process, in which we continually reassess our progress, reexamine our vision and goals, and modify our course accordingly.

One of the first tasks for our Senior Leadership Team will be to develop specific measures of success, of both a quantitative and qualitative nature. While measuring process improvements and progress in meeting targets is straightforward, measuring cultural change is much more difficult. Specifically, we will need to measure our success in the following areas:

- empowering employees to achieve their full potential;

- providing more effective leadership;

- achieving partnerships with States, Tribes and local governments and fostering trust;

- demonstrating flexibility, innovation and responsiveness;

- respecting all people, personally and professionally, and demonstrating integrity and honesty in our dealings; and

- facilitating teamwork and building consensus.

Baseline data does not exist for most of these cultural measures of success, so it will have to be gathered. We will utilize a number of tools, such as an organizational assessment, 360 degree feedback, focus groups, town meetings

and customer surveys. We have already aligned our performance management system to support our cultural change, and will further align our awards, planning and budget processes to achieve success.

Composite Milestone Chart

April 1995

- Begin implementation of the Senior Leadership Team

- Determine time frame and consultant to assist Senior Leadership Team with cultural change

- Create Design Team to facilitate Reorganization Proposal preparation

- Rotate 2 or 3 Division/Office Directors

- Establish a standing subcommittee of the RIT to develop a Region-Wide Customer Service Plan

May 1995

- Draft and classify Position Descriptions for team managers prepare job analysis and rating plan; post positions

- Complete comprehensive inventory of knowledge skills, and abilities of current workforce and required by future workforce and workplace needs.

- Core curricula of training programs prepared based on information obtained through needs assessment.

- Complete 1996 Minnesota Tribes/EPA Strategic Planning Process

- Evaluate existing teams, determine which Cross-Region Teams to establish and define their priorities, expected results, and SLT sponsors

- Establish Cross-Region Teams

- Complete Office of Regional Counsel Client Relations Plan

June 1995

● Reorganization Proposal submitted to HQ

● Complete 1996 State/EPA Program Planning Process

● Complete 1996 Wisconsin and Michigan Tribes/EPA Strategic Planning Process

● Conduct interviews and make final selections for Team Manager positions

July 1995

● Complete Regional Training Plan

● Determine team membership

● Provide training for managers and team managers in accordance with Regional Training Plan

August 1995

● Complete revisions to the awards process

● Receive approval of Reorganization Proposal by HQ

● Consolidated report prepared from divisional input indicating multiple career path opportunities depicted on flow charts for Regional use.

September 1995

● Complete delegation review and implement revised delegations

● Complete Regional Career Development Plan

October 1995

● Deploy resources (20% minimum) to implement our broader community-based efforts

- Implement Cross-Region Teams

- Team Performance Agreements and budgets finalized

- Implement revised performance appraisal process with 360 degree evaluations

- Receive approval of Division/Office Reorganization Plans

- Supervisors and staff are trained on concepts of empowerment and accountability and adapt "Empowerment Tool" or implement an equivalent document on a pilot basis to facilitate the empowerment process.

- Implement revised awards process which fosters cultural change and the redefined roles of managers and staff.

- Complete of Regional Career Development Plan Orientation Sessions

- Achieve 1:11 ratio

January 1996

- Complete survey of public knowledge and concerns with regard to environmental problems in the Great Lakes Basin (GLNPO)

March 1996

- All Divisions and Offices complete updated Workforce Management Plans

- Re-assess empowerment progress through employee survey

October 1998

- Achieve parity with the CLF (Civilian Labor Force) in supervisory and non-supervisory positions in all Divisions and Offices

ONGOING

- Ensure that all positions that open are competed and are available to the broadest range of applicants possible

- All Divisions and Offices report to the RA/DRA annually on progress towards achieving the goal of CLF parity (October each year)

- Update collection of all Career Development-related Documents

Conclusion

Region 5 has obviously set out an exceedingly ambitious agenda for itself in its Reinvention Implementation Plan. It is designed to change the Region more rapidly, more extensively, and in more ways than ever in the history of the Agency. Given the challenges we face as an Agency as a whole, both in terms of environmental issues and institutional tensions, nothing short of an outstanding effort by every person in every part of the entire organization must be mobilized at this time. We must not fear or resist the changes that are needed, but rather embrace the opportunity to deal with the things that have frustrated our efforts for years and remake them in a way that is more suited to the times.

Region 5 is totally committed to the success of this effort and the success of the Agency. We are proud of the contributions we have made over the past 25 years to protecting the environment in this country and in the world, and we plan to build on the strengths and values that brought us this far. At the same time, we recognize the need to make significant changes in order to more fully develop the talents of all our people, and organize and manage them in a way that results in much more quality and effectiveness than we ever dreamed possible. We will be much more flexible, adaptable, and responsive in the future. The Agency can count on every person in Region 5 to bring about a more sustainable environment where air, water, and land resources are restored and protected to benefit all life.

Office of International Activities

Tribal Operations Staff

State/Congressional Relations Staff

Enforcement Coordination

Regional Administrator

Resource Management Division

Great Lakes National Program Office

Office of Public Affairs

Office of Regional Counsel

Water Division

Air Division

RCRA/TSCA FIFRA Division

Superfund Division

Office of Strategic Environmental Analysis

Procurement (Internal)

Performance Management (Internal)

Employee Development (Internal)

Awards (Internal)

Strategic Planning (Internal)

Grant Award/Accountability (State/Tribe/Local)

Public Involvement (public)

Technical Assistance (State/Tribe/Local)

Compliance Assistance (business/industry)

Voluntary Programs (business/industry)

Permitting/Remedy Selection (business/industry)

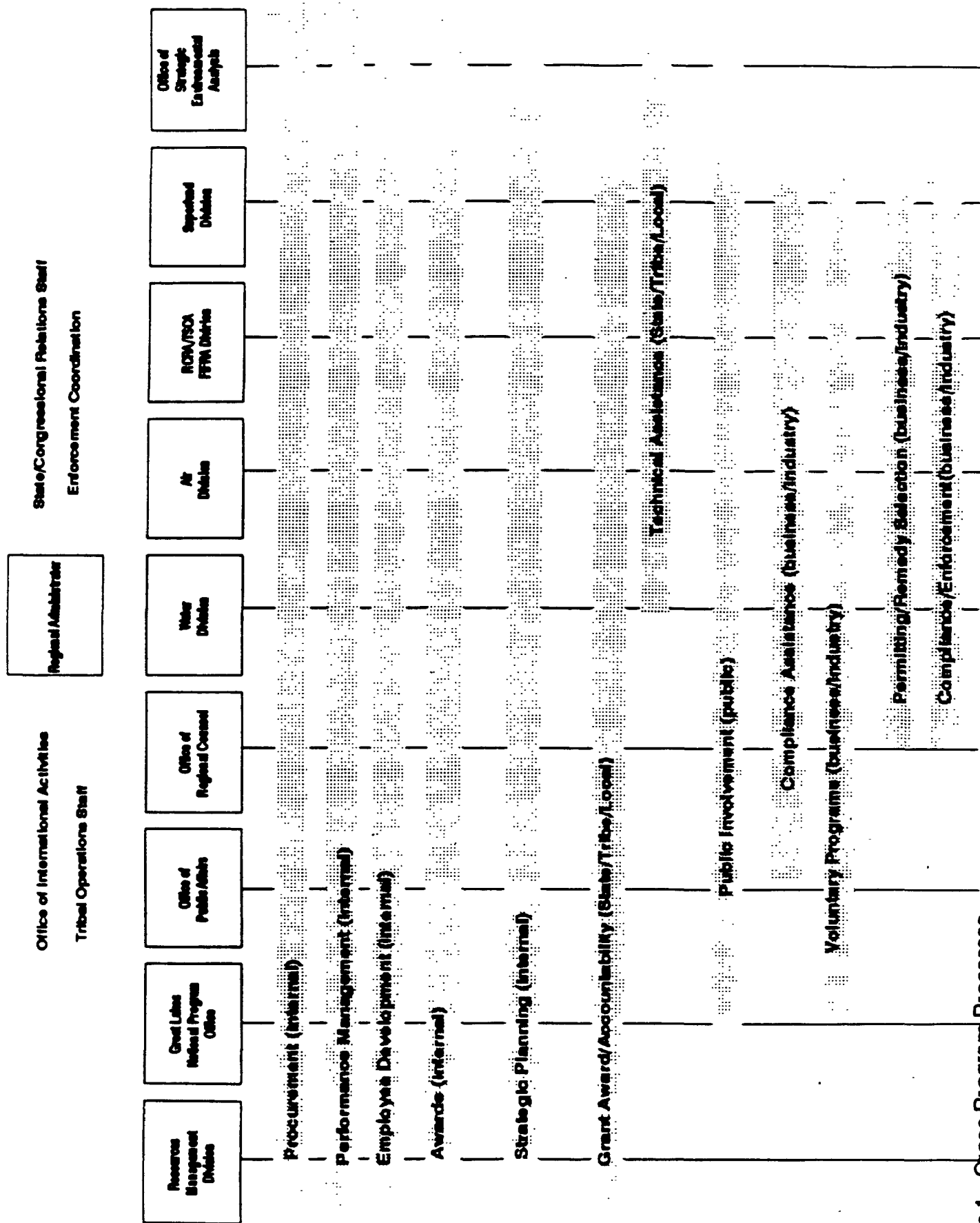Compliance/Enforcement (business/industry)

Figure 1 - Cross Program Processes

Appendix A: Work Processes

The Backdrop: Total Quality Management

Before Streamlining and Reinventing began, Region 5 was reviewing work process- es at all levels using Total Quality Management (TQM) principles. Continuous improvement programs began in 1991 and have grown through staff awareness and training efforts, designated facilitators, and numerous Quality Action Teams.

Customer-oriented approaches are now characteristic of Region 5 meetings, work- groups, and new initiatives. The quality ethic is embedded in Region 5; we are well-equipped to streamline and reinvent, using TQM techniques to transform our work.

In our original Streamlining Plan (February 1994), the Streamlining Task Force targeted a number of processes for reinventing. In June 1994, the Reinvention Implementation Team spearheaded major ventures in specific areas--those within our influence and those with the greatest impact. Listed below are brief descrip- tions of the targeted practices and how innovations are being designed and implemented to better serve all our customers.

Pilot Performance Management System

In July 1994, a subgroup of our Reinvention Implementation Team was chartered with instructions to rethink the performance management system from top to bottom, doing only what was mandated by law or regulation. The workgroup sought a way to provide more effective feedback to employees and seek a better link between individual performance and organizational goals.

In November 1994, the subgroup delivered a pilot proposal with a three-level adjectival rating structure with staggered appraisals and 360-degree reviews. The system was originally proposed as a pass/fail system, but three rating levels are required under current regulations. Highlights of the system include:

--   Reduced emphasis on performance scores/rating levels; more mean- ingful discussion of day-to-day performance.

--   Promotion of continuous performance enhancement and professional development.

--   Clarification and communication of organizational goals in the context of individual and team performance expectations.

--   Shift awards process from overall yearly performance to recognition based on specific accomplishments.

--   Incorporating accountability for unsatisfactory performance.

--   Employee consideration of feedback from multiple sources.

--   Simplicity--no more resource-intensive and complex than necessary to provide feedback and identify performance expectations and desired results.

--   Staggered supervisor workload relative to performance management over the fiscal year.

--   Involvement of employee in setting objectives and in self-evaluation of performance.

We have received provisional approval of our recommended system, we have trained all supervisors on its features, placed new Agreement/Appraisal forms on the Local Area Network, and have implemented it throughout the Region.

Regional Awards Process

As a follow-up to the Performance Management Workgroup, the Region established a work group to revamp the Regional Awards Process. The main objective of the group is to focus on the effective, equitable and consistent use of monetary awards, with honor awards as a secondary issue.

During this process, which began in February 1995, the focus has been on:

--   Comparison of private industry norms.

--   Benchmarking legal requirements and best practices (OPM, Agency, Headquarters, and Nationl Human Resources Council).

--   Comparison of Region 5 divisions and offices, and other regions.

--   Impact assessment of program funding process as related to awards.

A - 2

(continued)

--   LAN survey results on current awards process.

The workgroup created a timetable to assure complete and thorough analysis of the current system; data from various sources is being utilized to formulate a fairer, more meaningful pattern to reward employees. This new process will enable individuals to appreciate the distinction and honor related to receiving an award at Region 5, whether for themselves or others, in time for the first appraisals under the pilot performance system.

State/Federal Relationships

Region 5 has historically maintained strong relationships with states as co-regulators. In December 1993, Region 5 and each of its state environmental agencies signed a watershed agreement outlining our mutual environmental priorities.

Realizing that some of our highest priority customers in many programs are the states within our Region, we convened a state/federal strategic directions meeting in January 1995. Prior to the meeting, Region 5 management identified major strategic areas warranting discussion and attention to improve our relationships with states, considering their interests and perspectives. At the same time, individual states were preparing like material by identifying their priorities for presentation at the meeting.

The following joint interests were selected by the state/federal group as high priority for both:

--   To reduce the use and prevent the release into the air, water, and land of persistent, bioaccumulative toxicants that impact the Region, with a near-term regional action plan on Mercury.

--   To enhance the reuse of contaminated lands, addressing key issues, including, but not limited to: funding and resources; liability under existing law and regulations; environmental justice; preventing abandonments; multi-media integration; and long-term use of lands.

--   To change how we do business to achieve the maximum environmental results by adjusting our various tools, including (but not limited to) expanding geographic targeting and community-based environmental management; increasing compliance assistance; developing industry

A - 3

sector strategies; exploring regulatory innovations; developing sound
measurement goals (indicators); promoting "cultural change" in our
organizations; and, identifying activities for disinvestment.

Follow-up meetings have begun which include EPA management from the Branch
level up at Region 5 and peer levels from the states. The objective is to fully
develop the particulars within the above strategic directions and generate actual
paths to accelerate these concepts into reality from both viewpoints as well as
ensuring focused communication.

Bankcard Usage

The lack of full utilization of the Bankcard system in Region 5 was another area of
concern to the Reinvention Implementation Team. As a result, we have not saved
the expected resources, according to the theory and purpose of this expeditious
method of procurement and payment.

A subgroup of the Reinvention Implementation Team discovered why some
Divisions and Offices were not using this form of procurement. Funds for a one-
month spending limit for each cardholder had to be committed to an escrow
account controlled by Cincinnati Financial Management Center (CFMC) with funds
decommitted at end of each fiscal year. Having funds "tied up" all fiscal year
inhibits the use of the Bankcard.

A formal recommendation was presented to the Deputies Council in March 1995,
containing the following suggested actions to be implemented October 1, 1995:

--   Participation by all Divisions/Offices; staff from different position
         levels would be nominated as Bankcard holders.

--   Purchasing Agents would use Bankcards whenever possible.

--   Use of Bankcards to register employees for outside training sessions
         in lieu of SF-182 forms.

--   Region would use regional funds to set up one escrow account for
         multiple Bankcard holders.

--   Regional "gatekeeper" will be appointed to ensure Bankcard holders
         are not exceeding warranted authorities.

The recommendation was approved, including Action Items to accommodate these suggestions, as well as Measures of Success in the areas of Procurement, Finance, Training, and Budget. A survey will be conducted six months into the pilot program to determine success of reformed process.

Delegation and Empowerment

A delegations workgroup reassessed current delegations keeping in mind the applicable areas where redelegation could provide a flatter, more uniform routing pattern without compromising the quality or level of expertise required in decision-making.

In January the workgroup recommended a series of redelegations for enforcement actions in all programs, where authorized, and a set of requests to HQ for redelegation authority. Senior managers authorized this approach, and a comprehensive package is now being prepared. The Delegations Workgroup will continue to recommend appropriate opportunities to shift authority to lower levels.

In addition to formal delegations, each Division and Office in Region 5 has pursued the full range of opportunities to move routine signoff and informal authorities to the lowest practical level. We also believe that the delegations process is ideal for the application of computer technology, i.e., electronic signatures, updates, and storage.

Grants Process

This process has been examined and discussed from several different perspectives within Region 5 with the participation of the six Region 5 states. The likelihood of a change from proposed legislation revamping our current process presents the Region and the six states with an opportunity as well as a dilemma as to what direction and to what extent the entire process will be revised.

To accommodate potential new grant authorities from Congress, our Region has participated in numerous information exchange sessions to brainstorm ideas on the several options which may become available to us in granting monies to the states. During a recent State/Federal Strategic Directions Meeting, the grants process was discussed. Both State and Federal representatives are aware of the need to consider all perspectives in reaching a consensual method of meeting both the needs of the States/Federal interests and complying with new statutes in this area.

The Foundation for the Future: Information Resources Management

Planning for New IRM Technologies

Region 5 has recognized information as one of its most important resources. Most of the work of the Regional staff involves processing of information, both manually and electronically. Region 5 has recognized the importance of new automation tools that enhance the ways that individuals share information and work together, rather than merely enhancing individual productivity. These tools will provide the foundation for the future Region 5 fully electronic office.

Background

To address the importance of information resources and the impact of emerging information technologies, the Region 5 IRM Steering Committee (IRMSC) was chartered in 1990, and comprised of senior managers representing all Regional Divisions and Offices. The IRMSC's first mission was to direct the installation of technology in the Region's new home in the Ralph H. Metcalfe Federal Building, erected in 1992, which allowed all staff to communicate over a Local Area Network (LAN) and to other partners over a Wide Area Network (WAN). Over the next years, this "desktop" environment grew to encompass a variety of updated capabilities, including electronic mail, desktop conferencing, calendar and scheduling, access to shared information and printing resources, workflow processing, and remote access to the LANs.

The IRMSC continues to be supported by its three Workgroups, Office Automation, Data Integration, and, most recently, Electronic Public Access.

Implementing the New Technologies

The IRMSC has approved substantial investments especially during the past two years. Moreover, the Committee will continue to assure that future office automation investments will (1) provide dependable high performance desktop tools and network capacity in the office and from off-site locations, and (2) complete the automation of significant administrative processes in the Region which affect all staff.

High Performance Desktop Tools and Network Capacity

To support all the new (largely Windows) applications, the Region is addressing remaining hardware, software, and network upgrades. Some specific investments this year will include: phasing out 286 and 386 PCs, installing Pentium file servers, moving to high-speed networks, expanding remote access to LANs, and replacing all old monitors and laser printers. In the next year, the implementation of new network hardware will provide faster, more reliable service to Regional staff.

Automation of Administrative Processes

Electronic management will be a major enabler of re-invention and streamlining in Region 5. The overall goal is the "paperless" office in which information fully shared. Through cooperative efforts with EPA Headquarters, the Region will develop and implement OA systems to enhance productivity of staff and fully utilize Regional computers. The end result will be faster, more reliable delivery of products to Region 5 employees such as payroll, supply inventory/ordering, conference reservations, classified position descriptions, applying less paper and fewer process steps.

Above all, the Region will increase its focus on accurately determining and confirming customer needs. It will continously upgrade its employees' desktop capabilities as necessary to provide access to Agency-standard applications and meet the specific users' special needs. Access to information and automated tools will also be a key enabler of many reinvention strategies.

Conclusion

Our quest of reviewing work processes continues and will become more challenging as our "new" organization develops in the next several months. Our agency, even though new in comparison to other federal entities, has concrete approaches to everyday workings which can prevent us from being creative. This opportunity to change and rethink our operating techniques must be viewed as a time for refreshing and revitalizing our internal policy--and our attitudes--toward a better, more innovative, and customer-focused design for Region 5.

Appendix B: Organizational Description

Introduction

This document represents more than eight months of effort by the Reinventing Region 5 Optimization Task Force (OTF). In response to a proposal from the original Streamlining Task Force, the Regional Administrator chartered a group of 16 Region 5 employees in August 1994 to develop and propose that set of operational and organizational changes needed to respond to the environmental challenges of the future. OTF was diverse, chaired by the Deputy Regional Administrators and composed of eight division and office directors, four staff members and four supervisors, each from the divisions and offices. The Regional Human Resources Officer, the Equal Employment Opportunity Officer, and the two reinventing staff members also participated.

OTF began with a series of key agency and regional documents that described our strategic direction in a number of areas. Then OTF developed a set of desired characteristics which were intended to be used as evaluation criteria for the various options studied (see page B-27). Then, for several weeks in October, the OTF met in two subgroups to generate options for operational and organizational change. The subgroups came together to develop the first proposal.

On November 14, 1994, the Regional Administrator released a draft proposal from the OTF for comment. The first proposal was distributed to all staff, EPA Head-quarters and regional offices, state agencies, native american tribes in Region 5, and a series of environmental groups and regulated industries for review and comment.

During the month of December, the Region received more than 500 pages of written comments from staff and outside organizations. In addition, the Region used a LAN-based survey to assess staff understanding, impact, and support of the proposal, to which 155 employees responded. OTF sponsored two town meetings for staff, and, during a series of strategic planning meetings, received additional feedback from state agencies.

During January and February, OTF reviewed the comments (which were indexed and summarized in a database) and survey results, and gathered some additional information from specific employee groups. As a result, OTF made several significant changes to the original proposal. The Regional Administrator rendered some final decisions in early March, approved the revised proposal, and announced

his decision in a memo on March 13, 1995 and in a town meeting with Region 5 staff on March 24, 1995. The features of the revised proposal, along with a brief summary of the attributes required by the EPA Senior Leadership Council, appear in the following pages.

OTF has completed its work. Preparation of a complete reorganization package is beginning; the Region will soon name a design team to fully develop the concepts described herein. Region 5 plans to submit its reorganization package on or before June 30, 1995, and, assuming timely approval, implement it in October 1995.

Operational Change: Senior Leadership Team

Reinventing an organization must begin at the top. The decision to create the Senior Leadership Team recognizes this and underscores the need for a unified leadership team with a shared vision for the future of the environment and a sense of shared responsibility for achieving that vision, especially during these times of change.

Features

The Senior Leadership Team (SLT) will be smaller than the previous Senior Staff group, comprised of the Regional Administrator, the Deputy Regional Admini-strators, and the Division and Office Directors. *Please refer to the diagram on the color plates attached to this report.* The SLT will not be a loose confederation of independent program managers; rather, it will be a team which focuses exclusively on the strategic environmental and organizational issues confronting Region 5, and building relationships with all of our constituencies.

The Senior Leadership Team will:

-- engage in strategic planning which aligns annual priorities with regional and national strategic goals.

-- deploy resources consistent with strategic goals.

-- form, authorize, and empower regionwide teams, select team managers, and establish performance agreements between regionwide teams and the SLT to carry out strategic priorities.

-- establish expectations and measures of success for strategic goals, and measure progress.

-- initiate cultural change and continually assess the effectiveness of the organization and identify areas of improvement.

-- actively build relationships with constituencies.

The SLT will be guided by the principles and goals in the EPA Strategic Plan, the Great Lakes Five Year Strategy, the Strategic Directions for the Midwest Environment document, the EPA Tribal Policy and by feedback from listening and learning from our constituents.

Attributes and Benefits

The foremost benefit of this operational change is that it focuses senior leadership attention on the "big picture." As a consequence, staff will be empowered to assume greater responsibility and accountability for the work of the region, consistent with the strategic direction and expectations set by the SLT.

* This change will enhance *Accountability* on the part of the SLT for implementing our stated strategic goals and defining common measures of success. Moreover, by deploying resources consistent with shared strategic goals and through a well-understood collaborative process, this change will move the region from the divisive competition for resources each year, to sharing resources for a common cause.

* Creating regionwide teams and their direct reporting relationship to the SLT will boost *Communication and Coordination* in the implementation of cross-media projects and initiatives. Teams will increase our flexibility; they will have authority to develop creative solutions, they will be encouraged to take risks, and increase the integration of our programs.

* *Customer Focus* will be ensured by the emphasis on building relationships with external constituencies. We will reconnect with the people and places we serve, and be more responsive to their needs.

Factors for Success

The most important factor for success will be the SLT's ability to change our corporate culture which has emphasized loyalty to strong, relatively independent divisions and offices. This change requires all staff, and in particular Division and Office Directors, to think and act beyond their individual programs and work as a team with a common bottom line.

The success of the SLT will also depend on the success of the regionwide teams and other organizational changes. In particular, if the SLT is to succeed and make wise strategic decisions, it needs a strong, creative, and responsive analytical support staff (Office of Strategic Environmental Analysis).

The collaborative approach to the annual allocation of resources is likely to generate some concern on the part of National Program Managers. We believe that specific region-wide activities can be underwritten by the Senior Leadership Team in the context of our program element structure, by careful pricing, evaluation of appropriateness, and accounting. This approach may generate some constructive tension in the budget formulation process, and abridge the debate about base programs and "unfunded" initiatives.

The Senior Leadership Team will need to cultivate some new thinking about collective, strategic interests, and use some new skills to reach consensus decisions. Among the first items of business will agreeing on groundrules for the new group and the decision whether or not to retain an outside consultant to facilitate this growth.

At the same time, the Senior Leadership Team will have to develop some new means to engage those around them in the strategic decision process. New formats and methods of information exchange, communicating decisions, expectations, and rationale, and receiving staff feedback will need to be developed. Target groups include the Deputy Division Directors, the new Enforcement staff, the Intergovernmental and Tribal staff, and the Regionwide Team Managers. These groups can be empowered only as far as they understand from the SLT the strategic directions chosen, the associated issues, the critical success factors, and anticipated results or consequences.

Operational Change: Regionwide Teams/Managers

We have realized over the past several years that the solution to most complex environmental problems requires a multi-media approach. Also, many of the Agency's newest initiatives have moved away from interventions in single media programs. Because Region 5 has decided to retain its media-based organizational structure, it is critical for the future success of the Region to be able to address a wide range of multi-media issues. Current literature on organizational management strongly supports the use of teams for program implementation. Assembling a group of people with diverse disciplines and skills results in better solutions, reduced competition, and ease of implementation.

Features

In order to apply the team approach to environmental programs, Region 5 will create several non-supervisory GS-14/15 Team Managers to guide cross-regional teams charged with these broad-based initiatives and activities. *Please refer to the diagram on the color plates attached to this report.* These regionwide teams will align Region 5 with the multi-media approach toward which the agency as a whole is moving. The existing single media divisions will be expected to devote more attention and resources to regionwide multi-media activities.

While working full- or part-time on regionwide teams, members will remain in their existing "home" organizations. They will share accountability for the overall success of the team, however, through the new Performance Management System pilot, in which the team manager will provide input to the members' supervisors in a "360-degree" manner. The Senior Leadership Team will determine the number of teams that will be initially established and the resources that will be devoted to each team. Potential candidates include, but are not limited to, the five existing geographic initiatives, Pollution Prevention, Environmental Justice, Tribal Operations, and Enforcement. Most teams will be established with a "sunset" provision; however, we have agreed that, because of their unique requirements, the Tribal Operations and the Enforcement teams will be permanent.

The Senior Leadership Team will conduct an annual review of all existing teams in light of changing priorities and resource constraints. If the decision is made to dissolve a team, members will remain with their "home" organizations, and the Team Manager will become available to either start-up a new team or rotate to an existing team.

The Team Managers will report directly to the Senior Leadership Team. Each manager will have an individual Senior Leadership Team member as champion or sponsor for the regionwide team, providing guidance and leadership from a multi-media, cross-regional perspective.

The teams will be empowered to carry-out their mission with a large degree of independence. Each team will have a charter from the Senior Leadership Team. These performance-oriented agreements will be used to set team mission objectives, provide an implementation plan and schedule, quantify budget and other resource needs, define roles and responsibilities, and evaluate their progress.

The Team Manager will be accountable for achieving the Team's performance objectives. Team members will share accountability for the success of the team, with individuals accountable for their specific assignments. The Team Managers will participate in the annual evaluations of the team members; likewise, team members will contribute to evaluation of the Team Managers.

The Team Manager positions are likely to accommodate some former supervisors as we pursue the 1:11 supervisory ratio. The importance of these positions, however, dictates that they be filled only with the most highly qualified employees. The success of Region 5's approach to achieve better multi-media integration depends upon the success of the Team Managers. The non-supervisory GS-14/15 Team Manager positions will support a dual career path option in Region 5; they will provide an opportunity to attain higher-graded positions without the need to enter a supervisory career path.

These positions will have considerable authority and influence. The Team Managers will be expected to be highly self-motivated and work with a large degree of independence. They will need a broad knowledge of the various media programs. Also, they will need to have very effective communication and people skills. The expectation is that the Team Managers will be able to resolve most problems on their own, consulting with their sponsors for broad policy direction and overall expectations. All Team Manger positions will ultimately be selected through a competitive process, although in the short-term some details or temporary promotions may occur. No eligible Region 5 employee will be excluded from competing. Although not absolutely essential, it is desirable to have all Team Managers located in the same area so they can share information, experiences, and common approaches.

The existing Divisions and Offices will continue to have intra-organizational teams. These teams will give existing GS-12 and GS-13 employees the opportunity to gain leadership experience in the team approach to environmental management. Team

participation will empower employees and allow them to demonstrate their creativity in and accountability for meeting strategic priorities. Successful performance on these teams will enhance an individual's ability to compete for Team Manager positions in the future.

Attributes and Benefits

This operational change addresses the following attributes:

* *Accountability* is improved by having the teams report directly to the Senior Leadership Team who will ensure that the Agency's strateç ` priorities are effectively implemented, and by the Team Managers' particioation in members' performance appraisals.

* *Communication and Coordination* is improved by using Regionwide multi-media teams to implement strategic priorities and designating a Team Manager so external stakeholders will have a clear point of contact.

* *Customer Focus* is improved because these teams will be addressing those environmental problems that our State and Tribal partners, along with other external stakeholders, have identified to be of critical importance to them.

* *Measurement and Evaluation* is improved since the Senior Leadership Team will establish clear environmental goals for each team to achieve on an annual basis and will monitor the team's success in achieving those goals.

* *Reinvention and Streamlining* are addressed since this "matrix management" approach increases the Region's flexibility to adjust to changing national priorities, promotes teamwork, and allows the existing single media programs to better support multi-media priorities.

This recommendation gives current initiatives and activities much greater visibility and management attention. It provides a strong endorsement for greater use of self-directed teams as a new approach to management. The Team Managers for the various initiatives/activities will obtain a clearer mandate of their authority and accountability for implementation. The team members will be empowered through a direct link to senior management. The Senior Leadership Team will provide more consistent guidance for implementation of regional initiatives. There will be flexibility to add or delete Team Managers, as new projects are started or old ones are concluded. This recommendation will allow Region 5 to rapidly adjust to change, while continuing to implement the base program activities.

Factors for Success

Region 5 has had limited experience with the use of self-directed teams; some start-up problems may occur. For example, we have learned that the SLT must be explicitly clear about the expected results for teams, to avoid any costly disconnects in project implementation. The chartering and sponsorship procedures will help prevent this scenario. Accountability issues for the team as a whole, and its individual members, must be included in the new Performance Management System pilot.

Resources for the regionwide teams will result in periodic adjustments in the media program operating plans. SLT members may disagree about which additional initiatives and activities merit creation of teams and team manager positions. The Team Manager positions will be filled through a competitive process to be determined, which could delay implementation (although temporary non-competitive assignments may be made initially). The Senior Leadership Team may need to establish subcommittees to deal with issues of regional consistency for certain common functions. In general, EPA staff and supervisors are highly receptive to the team concept, but will need some orientation and training on team participation on a continuing basis.

Organizational Change: Enforcement

Features

In order to implement the Administrator's decision providing for regional flexibility in the organization of enforcement programs, Region 5 will create the position of Regional Enforcement Coordinator; a Regional Enforcement Management Team; and enforcement branches within each media/program office, all of which will work in conjunction with the Office of Regional Counsel.

The Regional Enforcement Coordinator (GS-14/15, non-supervisory) and staff will report directly to the Deputy Regional Administrator(s). The Coordinator's staff will consist of 3-4 employees, including the Region's Federal Facilities Coordinator. The Regional Enforcement Coordinator will be the focal point for enforcement and compliance assurance planning activities, including preparation of the annual memorandum of agreement, and will be charged with preparation of all necessary enforcement reports. This position will serve as the principal point of contact

within the Region for the HQ Office of Enforcement and Compliance Assurance (OECA), as well as for the States and Tribes, regarding compliance and enforcement matters.

The Regional Enforcement Coordinator will be the team leader of the Regional Enforcement Management Team. The Team will be composed of branch chiefs from each of the program enforcement branches and from ORC. The Team will be the primary vehicle for enforcement planning, targeting, screening, and tracking within the Region, particularly with respect to multi-media enforcement activities. The Regional Enforcement Management Team (through the Enforcement Coordinator) will be guided by the regional priorities set.by the Senior Leadership Team, as well as national priorities established by OECA. Thus, the Team will need to maintain close contacts with other regional teams managing those priorities. The Team will also have responsibility for coordinating the Region's enforcement activities associated with compliance assistance (with the Office of Public Affairs), sector enforcement, and community-based environmental management.

In compliance with the Administrator's directive, each of the media program divisions will create an enforcement branch to centralize enforcement and compliance assistance functions.

Implementation of the Region's enforcement program will be the responsibility of generic technical/legal enforcement teams, composed of program enforcement branch personnel and attorneys from the Office of Regional Counsel. Compliance assistance technical expertise will be within the purview of the enforcement branches. The enhanced Office of Public Affairs will supply expertise in the delivery of compliance assistance services. The Enforcement Coordinator and the Regional Enforcement Management Team will not conduct actual enforcement case work or compliance assistance work.

Attributes and Benefits

This proposal incorporates a number of the organizational attributes prescribed by the Senior Leadership Council:

* *Accountability* is provided through the creation of an Enforcement Coordinator wno will be accountable to the Senior Leadership Team and responsive to OECA and as well as through creation of dedicated program enforcement branches. Furthermore, the Senior Leadership Team will be responsible for providing provide strategic direction and resources for implementation of enforcement and compliance assurance priorities.

* *Communication and Coordination* are ensured by assigning these functions to the Regional Enforcement Coordinator, whose principle responsibility is to maintain internal lines of communication with OECA, Regional Counsel, and the media enforcement branches, as well as external contacts with States and Tribes.

* *Customer Focus*, in particular interactions with Headquarters, States, and Tribes, will be strengthened by providing a central point of contact--the Enforcement Coordinator--and a team with responsibility for planning and reporting functions. Compliance Assistance activities will be uniquely oriented to our "compelled customers." .

* *Integrity, Efficiency and Effectiveness* will be enhanced in a number of ways. The Enforcement Coordinator neither interferes in nor compromises the ability of the programs to implement enforcement strategies. Specifically assigning enforcement functions to branches within the program will enable the Region to more accurately account for enforcement FTE usage. Furthermore, having a central point of contact and responsibility for planning and reporting functions will measurably improve the efficiency of those activities within the Region.

* *Reinvention and Streamlining* objectives will be met through the flexibility accorded by the team approach - both the Regional Enforcement Management Team and the individual case or initiative teams that will be commissioned by the Senior Leadership Team.

This model complies with the Administrator's directive regarding regional enforcement organizations in a manner which maintains Region 5's strong enforcement reputation, with the least disruptive effect on personnel and operations. The program divisions and ORC will retain their present enforcement responsibilities, with the major personnel (FTE) impact resulting through the shift of compliance inspection resources and the creation of the Regional Enforcement Coordinator and few associated staff.

The Regional Enforcement Coordinator, together with the Regional Enforcement Management Team, will provide a focal point for enforcement and compliance assurance functions within the Region and for communication with HQ and others. By virtue of the functions assigned to the Coordinator, the Region will insure accountability for the various planning and reporting requirements of the enforcement program. The Coordinator will have the authority to require compilation of necessary data from the media programs and Regional Counsel as needed for

preparation of the annual memorandum of agreement and for the various reporting functions.

Centralizing enforcement activities within each media organization ensures dedicated resources for this function. Relocating inspection and monitoring functions within the media organizations should maintain quality field activities, which will be more closely linked to the programs. Providing more direct program management attention to these functions should increase responsiveness and effectiveness. Furthermore, incorporating the inspectors into media enforcement programs should enhance their knowledge of those programs and of the relationship between their work and Agency's environmental objectives.

The Regional Enforcement Management Team will oversee the enforcement initiatives commissioned by the Senior Leadership Team and will be able to direct the use of resources for those initiatives. The Team will also have a multi-media focus and the authority to assure that collaboration and coordination occur between and among programs and offices, as required to successfully implement a multi-media enforcement program.

Factors for Success

The success of this enforcement organizational model depends upon a high level of communication and cooperation among the Regional Enforcement Coordinator, the Regional Enforcement Management Team, the individual enforcement branches, and Office of Regional Counsel.

Although there will be numerous "dotted lines" connecting various components of the Regional organization, it will be important to carefully delineate the appropriate roles and responsibilities of each entity. In particular, it is critical to define the responsibility and authority of the Regional Enforcement Coordinator and the Regional Enforcement Management Team.

It is also critical that the Senior Leadership Team clearly and explicitly define the Region's enforcement and compliance assurance priorities and the commitment of resources to those priorities. Absent this clarity and commitment, the Team will be unable to fulfill its functions.

Organizational Change: Office of Public Affairs

The Optimization Task Force closely examined the Region's information, involvement and outreach activities throughout the entire reinvention dialogue. Consideration was given as to how to more effectively reach Regional customers and engage stakeholders in Regional dialogue and decision-making. The Optimization Task Force identified its customers and made organizational or operational changes accordingly to facilitate customer involvement.

Features

The Region's Office of Public Affairs will continue in its current capacity at the center of Regional communications with its Director having direct access to the Regional Administrator and Deputy Regional Administrators. The Director will also be part of the Senior Leadership Team and ensure that external customer concerns are constantly considered and represented in SLT's strategic planning process.

Superfund community relations and the public information and media staff will remain in Public Affairs as well as the Library and Graphic Arts Unit. OTF added two new functions to the Office--and recommended increased attention to a third function--in order to enhance communication with important stakeholders. In an effort to reach the regulated community more efficiently, Public Affairs will now coordinate compliance outreach activities in the Region by developing strategies to educate business and the regulated community on policy and regulatory developments. This will be accomplished in tandem with the Region's program offices and divisions. The Region's software development group will be moved to this Office since the electronic products they produce educate and inform various regional, national and international customers. The Senior Leadership Team, through Public Affairs, will ensure that these products deliver information in support of the Agency's top priorities. Finally, Public Affairs will enhance its constituency outreach efforts by expending more time on identifying key Regional interest groups, engaging them in two-way dialogue, and educating them about Agency activities. Public Affairs will also assist the new Senior Leadership Team to reach its objective of ongoing constituency outreach by approaching interest groups, arranging meetings and ensuring that feedback is factored into strategic planning.

A new interdivisional team will be formed and managed by the Director of Public Affairs that will be comprised of the Congressional and State/Local Relations Mangers and representatives from each of the Region's Divisions and Offices. This

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team will facilitate communication by ensuring that all Offices and Divisions coordinate their outreach efforts and are apprised of upcoming national and regional announcements. (NOTE: This will not be one of the regionwide teams reporting to the SLT.)

In lieu of the External Programs Division described in the original OTF proposal in November 1994, the Congressional liaison and State/Local Relations Managers continue to have direct access to the Regional Administrator and Deputy Regional Administrators, recognizing the importance and immediate attention that must be given to issues affecting Congress and State/Local government. The Region's International Activities staff will also continue to report to the front office.

Operational and organizational changes were also made to facilitate direct access to the Regional Administrator on Tribal issues. A Tribal Operations Team Leader will report directly to the Regional Administrator and tribal issues will be managed through a permanent Regionwide team sponsored by the Regional Administrator, with core staff in the Resource Management Division.

Attributes and Benefits

*   The enhanced role of Public Affairs preserves clear *Accountability* for matters of high visibility and urgency; the Regional Administrator has immediate access to experts responsive all constituencies.

*   Internal and external *Communication* remains a critical activity in the Region and places a heavy emphasis on customer service as a Regional goal. The structure ensures that the front office is kept apprised of time-critical issues of importance. The new *Coordination* functions in the Office of Public Affairs ensure that the Region reaches all of its stakeholders in a holistic, strategic fashion.

*   *Customer Focus* remains the hallmark of the Office of Public Affairs. Its position on the Senior Leadership Team ensures that it can effectively assist the entire Region in identifying its customers' needs and achieving its customer service goals.

Factors for Success

In order to serve a central communication function in the Region, members of the interdivisional team that the Office of Public Affairs will convene need to apprise

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the team of all upcoming decisions and issues that will impact stakeholders. A very proactive approach must be taken to anticipate Agency and Regional issues, identify customers they will affect, and develop strategies to communicate with them. Additional resources and/or reorganization within the Office of Public Affairs will be examined and may be necessary to implement constituency outreach and compliance education activities.

Organizational Change: Office of Strategic Environmental Analysis

The decision to create the Office of Strategic Environmental Analysis (OSEA) is directly related to reinventing Senior Staff into a strategic, forward-looking, decision-making body, occupied with the strategic environmental and management issues facing the region. The SLT will not be able to succeed and make the right choices concerning our strategic direction without solid, analytical support and information.

Features

The primary function of OSEA will be to provide the SLT with information and analysis concerning the state of the environment, and to respond to requests from the SLT to provide a range of strategic planning support. Specific support activities will include GIS and integrated data analysis, risk assessment, developing environmental goals and indicators, NEPA analysis, serving as an incubator for new initiatives and emerging issues, such as the Common Sense Initiative, and policy and analytical support to regionwide priorities.

This office also supplies a productive linkage between science and policy, including contact with Office of Research and Development, REMAP, Peer Review, Statistical Support, and functions associated with the Endangered Species Act.

Attributes and Benefits

*   As a direct service to the Senior Leadership Team, this office will be *Accountable* for supporting the development, alignment, and implementation of its strategic direction with sound environmental and policy analysis. In turn, the SLT is responsible and accountable for strategic planning, and will rely heavily on this group to support it in setting regional direction.

* *Integrity and Effectiveness.* This group will provide the SLT with the information they need to ensure that the Region is deploying its resources in a way that maximizes environmental results, and takes advantage of the most innovative approaches to environmental problem solving.

* *Measurement and Evaluation.* How will we know when we have succeeded? This group will promote the development and usage of environmental indicators and risk reduction measures to evaluate our progress periodically. With staff expertise, technology, and access to massive quantities of environmental data, the Senior Leadership Team can visualize and assess baseline conditions and the success of their programs over time.

Factors for Success

This office's success depends very heavily on the success of the new SLT. Strong communication and alignment must occur between the SLT and OSEA to facilitate strategic planning and coherent implementation across the region.

This is a new organization in name and place. As such, it will be breaking new ground beyond the functions that staff members already bring to it. We hope that the new, prominent relationship with the SLT results in productive and creative decision support.

Organizational Change: Resource Management Division

Features

Region 5 will create a customer-oriented Resource Management Division (RMD). The current Planning and Management Division will be reorganized to consolidate the management of all Regional resources management and integrity activities under the Senior Resource Officer (SRO), who is also the Chief Financial Officer in Region 5. The SRO will remain as Region 5's primary point of accountability for resource management and administration. The SRO/Director will assume responsibility for core technical functions and services, as well.

In addition to the role as principal accountable officer for the use of Regional resources, the SRO/Director, RMD will continue to be the Region's service provider for a wide variety of financial, human, information and facilities resources and assume leadership for technical laborator/ services and oversight of technical

integrity programs in the areas of quality assurance and compliance inspections and monitoring. Increased emphasis will be placed on meeting customers' needs, redelegation and/or decentralization of operational activities and the transition for some functions from the traditional servicing role to a consulting role to the media programs. Included in the functions and services of the proposed RMD are:

Existing functions

o   Resource Management Planning

o   Budget Formulation and Execution

o   Finance and Accounting

o   Management Integrity

o   Audit Management and Resolution

o   Contracts Management

o   Small Purchases

o   Grants Management

o   Information Resources Management

o   Data Management

o   Facilities and Property Management

o   Administrative Support (mail, copying, supplies, etc.)

o   Core Human Resources Management

o   Tribal Operations Support

Additional functions

o   Regional Laboratory Services

o   Core Quality Assurance

o   Core Inspection and Monitoring Activities

o   Cleveland Office

With the establishment of the proposed Office of Strategic Environmental Analysis, the SRO/Director RMD will no longer be principally responsible for strategic planning and environmental analysis (i.e., NEPA reviews, Risk analysis, P2, etc.). The SRO/Director RMD will have full responsibility for the Region's operating plan

(budget) and for the accountability, integrity and stewardship of all Region 5 fiscal, human, physical and information resources. As a full partner on the Senior Leadership Team, reporting directly to the Regional Administrator, the SRO/RMD Director will participate fully in the Region's strategic planning process in order to determine and meet the resources needs of the Region and its external clients. The SRO/RMD Director will make resource decisions in consultation with senior regional advisory groups, (e.g. a Deputy Division Directors Council, an IRM Steering Committee, Quality Assurance Coordinating Committee, Regional Tribal Operations, etc.).

As suggested by the National Performance Review, the Region proposes to decentralize many of the functions now found in the area of human resources (e.g., classification, recruitment, promotion, and intra-divisional reorganization, training) in each division to improve delivery of human resources activities; and to automate the paperwork between programs and the remaining centralized human resources.

It is fully recognized that the Region's activities in this area will move in concert with the national program to ensure appropriate accountability and consistency with Headquarters regarding any changes in how the program operates.

Human Resources will gradually move toward a consulting and advisory role in the areas of classification and position management. It is our goal to delegate classifi- cation authority to the first line supervisors in Divisions and Offices. Reorganiza- tions which do not involve functions outside of a particular Division/Office will be made at the executive level of the Region. Classification training for supervisors is currently underway. The Region sees itself picking up the workload for hiring and merit promotion as OPM downsizes. As more substantive rule changes occur, Region 5 will experiment with delegating parts of the agency's merit promotion process to the program offices.

Based on a recent delegation from headquarters, Program offices will be have the authority to obtain all outside training necessary to support the technical needs of their staff. As this occurs, HRB will shift its training emphasis into other areas. Working closely with Headquarters, we will develop a Regional Assessment Center which will provide professional assessment capability for use by regional staff and supervisors. In addition, HRB will assess the level of interest and needs of the Region with respect to establishing a College of Continuing Education/Evening Institute.

The Tribal Operations function will operate using the regionwide team concept (permanent); it will be sponsored on the SLT by the Regional Administrator and the

team manager will maintain the same relationship to the SLT as other team managers. However, the team will have some core staff members housed in RMD, and will draw administrative support from that division. The Tribal Operations Team Leader and the liaisons perform the same function for the tribes as the state coordinators perform for the states. The function will have a core of people to do the liaison field work, grants management and interact with the national program office. In addition to this core, there will be team members from all the media programs to provide both single- and multi-media support and ensure cogent implementation of environmental programs on Indian lands.

Four new activities will be added to the traditional PMD functions: management of the Central Regional Laboratory (CRL) and the "core" portions of the quality assurance, inspection and monitoring functions, and the Cleveland Office. The core concept is designed to provide centralized administration and consulting expertise in quality assurance, inspections and monitoring for the Region; further explanation follows in the next section. The Cleveland Office will serve as a field office focusing on unique activities, such as community-based approaches.

Attributes and Benefits

These organizational changes address all of the attributes developed by the Senior Leadership Council.

*   *Integrity and Accountability* are ensured by maintaining the SRO function intact for all areas of resources management. The SRO will serve as Region 5's primary point of accountability for resources management, administrative, and technical activities.

*   By combining the service functions of the former Planning and Management Division, together with the technical functions of the CRL and the "core" monitoring, inspections and quality assurance, an organization is created whose main activities are *Customer Focused*. Customer-oriented approaches have been the norm in all resource management services; they may be strengthened in this arrangement.

*   *Communication and Coordination* are improved by having this division as the focal point for all Regional resources management and integrity activities.

*   This proposal will maintain *Efficiency* by keeping specific activities best suited for centralization, such as supplies, recordkeeping, and equipment

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maintenance, and saving some of the effort associated with funding "non-core" activities.

The proposed changes, in concert with Regional changes described elsewhere, clarify budget, resources management, and stewardship responsibilities. Opportunities for re-delegation of authorities to program managers, where possible, will enhance human resource decisions by tying such decisions to fiscal and budget targets/constraints and will empower managers and supervisors within clear systems of accountability, management controls and integrity.

Determining core quality assurance, inspection and monitoring activities with other Regional integrity responsibilities will clarify these functions. They may be enhanced by resource management expertise in the RMD, and by immediate access to facilities and procurement expertise. By the same token, repositioning the Central Regional Laboratory and the Cleveland Office in the new RMD should enhance their role as technical support services providers, improve fiscal controls over their highly valued human and physical assets, and improve their information capabilities under the IRM leadership. Ultimately, these functions may be candidates for the Agency's Working Capital Fund.

A single senior leader, the SRO, will advise the Regional Administrator and SLT on all aspects of the Agency's integrity efforts and requirements.

Factors for Success

The Senior Leadership Team will need to discuss and clarify the role of the Cleveland Office. Field support functions are new to the Resource Management Division; we have not yet agreed what portions of inspection, monitoring, and quality assurance resources constitute a core for RMD, with the rest being decentralized to individual media programs. Nor have we agreed on measures of efficiency associated with spreading this work. These questions also apply to other functions targeted for decentralization.

A disadvantage to the proposed Human Resource Management changes is that this shift will require program organizations to invest resources to implement these functions from within. The same may occur with decentralized technical functions. We are charting new territory; few precedents exist for a public agency to follow in this shift. We will need to train the program staff to become as effective as the current human resources and technical staff in carrying out these reponsibilities.

The separation of the Office of Strategic Environmental Analysis and the Resource Management Division may adversely impact employee morale, as RMD staff will lose the environmental programs they once had. The RMD director will need to focus extra effort to ensure that the Region's environmental goals are communicated. Good management is everyone's business; we may compromise this understanding among media program staff, creating a "second-class" organization devoted to management, but not mission, as warned in the Barker Report three years ago. Conversely, the SRO will need to function as an equal on the SLT to insure that management concerns are articulated when discussing program issues.

The former Planning and Management Division and Environmental Sciences Division achieved significant diversity in the workforce for both supervisory and staff positions. As these divisions dissolve and reconnect with the Region in new ways, it is important to ensure that this diversity is maintained, and ultimately enhanced (Please refer to **Diversity** elsewhere in this document).

The key component for the future of the services under this Division is that they focus on the customer's needs, while also maintaining the integrity of our resource management. These two elements must both be present and endorsed regularly to ensure quality service is provided.

Organizational Change: Core Inspections, Monitoring and Quality Assurance

Features

The Quality Assurance (QA) core will house the functions required of the Regional Quality Assurance Manager and those functions that are more appropriate for centralization. It will provide multi-media expertise regarding QA, centralized management of the Regional Quality Assurance Management Plan and assistance with program guidance and training.

The Monitoring/Inspection Core will consist of a cadre of multi-talented experts who will: (1) conduct monitoring to support regional special purpose environmental monitoring projects (i.e. community-based efforts); (2) coordinate multi-media inspections; (3) provide and coordinate multi-media training and (4) provide expert assistance to media programs on air and water monitoring issues.

The QA core will provide QA technical services to a variety of customers both internal (media Divisions) and external (States, Tribes, etc.) to the Agency. By providing central expertise, it will reduce duplication of effort in the areas of

performance evaluation studies, state/tribal capacity building and training for program QA staff. Project managers in each media program will be responsible for preparation, review and approval of Quality Assurance Project Plans (QAPPs) for their programs, but will have the option to consult with the QA core about a specific QAPP or a related document.

The Monitoring/Inspection Core will also provide technical and consultative services to a variety of internal and external customers. While media specific inspection/monitoring activities will be done in each Division/Office, the core will insure that multi-media expertise and coordination will be available to the Region.

Attributes and Benefits

* *Integrity.* The benefit of a core of QA experts is the reduced duplication of effort across the Region in performing the QA functions as outlined above. Consistency in implementation of the QA core functions is also achieved. FMFIA vulnerabilities are also addressed in the QA core.

* *Accountability.* The QA core retains the responsiblity for maintaining the Region's overall Quality Assurance Management Plan, and serves as an established point of contact for the Region's customers, and disseminating QA guidance documents, methods and other related information.

* *Customer Focus and Efficiency.* In the Resource Management Division, the QA core provides a variety of services that can be used for any given project. The core allows project managers to use these services rather than spend their resources on intensive and expensive training to develop the skills and experience needed in the QA core function technical areas (i.e. chemistry, statistics, lab auditing, etc.)

* *Reinvention.* The synergy of these functions in one close-knit unit allows for multi-media projects to get the best service from experts in each discipline represented. With the routine inspections and monitoring in the media programs, the Monitoring/Inspection Core will also facilitate development of greater expertise in highly specialized areas for a small group of focused staff.

* *Coordination.* The Inspection/Monitoring core will promote multi-media cross training; coordinate multi-media inspections; and serve as experts for specific geographic, community-based activities in the Region. The core will

preserve independence of monitoring network reviews and data assessment and analysis.

Factors for Success

A main factor for success is the funding for these activities. The cores for the QA functions and the inspection/monitoring functions, the CRL and the Cleveland Office do not, for the most part, have base resources of their own. The SLT must be committed to funding these activities. Another main factor for success concerns the definition of the core functions in relation to the activities that were decentralized to the media programs. While the media programs need flexibility and independence for their QA and inspection/monitoring functions, the cores must insure Regional consistency in these areas. The core's responsibility in the areas of training, audits and technical assistance must also be defined.

Organizational Changes: Other Divisions and Offices

Features

The present Air and Water divisions will retain existing functions, but will reorganize to accommodate the enforcement mandate and additional inspection and monitoring activities. The Great Lakes National Program Office and the Office of Regional Counsel will also retain existing functions, and may undertake some internal reorganization.

Each media division will create or retain an enforcement branch (or branches, depending on the number of enforcement programs administered). The enforcement branches will have responsibility for all media and multi-media enforcement and compliance assistance technical expertise. Each media division will add or designate inspection and monitoring personnel, as well as personnel to support Quality Assurance Project Plan approval.

The Office of Regional Counsel will remain intact, although it will most probably reorganize internally. ORC attorneys currently perform both counselling and enforcement roles for the programs, and have unequivocal accountability for both.

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Attributes and Benefits

* The media programs will continue to maintain their high degree of *Account-ability* for program results to the Regional Administrator and the Senior Leadership Team.

* *Integrity.* Region 5 will be compliant with the Administrator's decision on enforcement in the regional offices; enforcement and compliance assistance functions will be centrally located within each media division.

* *Efficiency.* Significant operational changes will be made without major organizational dislocation. Except for the core staff in remaining in the Resource Management Division, most inspection, monitoring, and quality assurance functions will be integrated with the program functions in each media division.

* *Reinvention.* Great Lakes National Program Offices remains exemplary of place-based and ecosystem program implementation.

Keeping counselling and enforcement together in one legal office helps insure national uniformity in the interpretation and application of the statutes the Agency administers. It also promotes the development and maintenance of the depth of statutory expertise, thereby enhancing the quality of legal services provided. A consolidated legal office preserves and enhances the stature and credibility of regional attorneys with their counterparts in the Department of Justice, as well as with opposing counsel in the private sector. Keeping all regional lawyers in a separate office insures that attorneys can and will provide independent legal advice to the programs, and preserves the attorney-client relationship, which is critically important. Finally, the unified structure also provides ORC with the flexibility to shift legal resources in response to developing agency priorities and initiatives.

Factors for Success

Realignment of Inspection and Monitoring functions in the programs will require adjustments to optimally utilize those functions. Decisions will need to be made about specific activities that make up the core services in Resource Management Division. Decentralization of the remaining activities will require effort and coordination on the part of the programs to incorporate these functions. Also, additional Quality Assurance responsibilities in the programs will require coordination and

attention to support this shift. Developing the necessary experience to effectively implement the Quality Assurance program in each media Division will take an investment of time and effort in the short term to realize long term efficiencies. The challenge in each of these cases is to split functions previously together, absorb them into a new organization and create new synergy among regrouped functions. All changes will require significant realignment. Both GLNPO and ORC will be required to work closely with other organizations to clearly define their respective roles, responsibilities, and operating procedures.

Organizational Change: RCRA/Superfund Split

Features

The existing Waste Management Division will be split into two separate divisions; one incorporating the existing RCRA programs; the other incorporating the existing Superfund programs. The division incorporating the RCRA programs will receive the staff and program responsibilities from the Pesticides and Toxics Substances Branch of the former Environmental Sciences Division. The primary reason for splitting the existing Waste Management Division is that it has grown too large in size compared to other Region 5 organizations. Also, as both the RCRA and Superfund programs have matured over the years, there have been fewer common implementation activities.

The primary reason to combine the Pesticides and Toxics Substances Branch programs with the RCRA programs is that the existing RCRA regulatory program has many common features with the pesticides, asbestos, EPCRA Title III, and PCB regulatory programs, especially those aspects that deal with waste minimization and disposal.

When the Waste Management Division (WMD) was first created, the major objective was to better integrate RCRA and Superfund issues, as both the RCRA and Superfund programs deal with similar types of waste materials and involve the prevention and remediation of soil and groundwater contamination. Integration has become less of an issue as specific implementation activities have differed for the two programs.

The draft Optimization Task Force proposal (November 1994) discussed splitting the individual programs that comprise the Pesticides and Toxic Substances Branch

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(PTSB) into four different organizations. It became apparent that such a split would compromise the multi-media focus that these programs have developed over the years together, create duplication of effort, and reduce efficiency. By keeping PTSB together, the chemical-specific nature of its program activities will be maintained. PTSB's regulatory activities are similar to those of the existing RCRA program in several respects. We believe that the existing PTSB staff will feel comfortable joining the RCRA program, and that each program would benefit from the expertise that the other has to offer.

Attributes and Benefits

This organizational change addresses several of the attributes:

* *Accountability and Customer Focus.* The waste programs and the chemical programs will continue to remain accountable to the Regional Administrator, the Senior Leadership Team, and to their respective National Program Managers. This structure will remain clear and productive for state environmental, agricultural, and public health agencies, who are primary customers of these programs.

* *Integrity, Efficiency, and Effectiveness.* The critical mass of the smaller pesticides, asbestos, EPCRA Title III, and PCB programs will be maintained by keeping these programs together. In addition, each program will benefit from the expertise that the other has to offer. The RCRA program has a number of parallel regulatory requirements as the other programs which will be joining it, for example, the RCRA and PCB programs both approve landfills and incinerators as disposal alternatives.

* *Communication and Coordination.* The day-to-day integration of hazardous waste activities now takes place between staff and supervisors in each program; the hierarchy is no longer needed to ensure it.

* *Reinvention and Streamlining.* By eliminating a layer of management of the existing Waste Management Division, the two resulting organizations will be flattened, decisions will be made quicker, a SES manager will be available to another organization, and progress will be made toward meeting the 11:1 ratio.

Although the split and the elimination of one layer of management are not necessary to meet the 11:1 employee:supervisor ratio, they demonstrate that all levels of management are subject to streamlining organizational changes. To the extent

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that Senior Executive Service positions are carefully rationed, some economy may be achieved with two program managers instead of three, thus freeing a position for use elsewhere.

For the most part, the RCRA and Superfund offices are already operating independently.￴ The split would have little or no impact on the day-to-day activities of most employees. The current working relationship between the RCRA and Superfund programs models that for all Divisions and Offices; it does not depend upon a hierarchical management structure, but is achieved through staff and program level linkages.

This organizational change creates two Divisions of comparable size to other Region 5 organizations which would allow greater access to these two programs on specific coordination issues from other Regional programs.

This organizational change parallels four Region 5 State structures (IN, MI, MN, OH).

Pollution Prevention and disposal activities of the Pesticides and Toxic Substances Branch fit logically with the Waste Minimization efforts in the existing RCRA program.

Factors for Success

With the proposed split, the volume of work may necessitate that both program offices add deputies as is standard practice with other Divisions/Offices of comparable size. The staff of the Pesticides and Toxics Substances Branch will have to be integrated into the existing RCRA program; also, these employees may have to physically move which always creates a degree of disruption.

EVALUATION CRITERIA: The Optimal Organisation   August 15, 1994

Region 5 will have an organizational structure and will operate in a manner that . . .

--   Fully utilizes the talents of our employees to accomplish our mission, through

> - multiple career paths
> - rotational assignments
> - opportunities for advancement

--   Promotes teamwork throughout the Region

--   Prevents duplication of effort

--   Allows flexible resource management

--   Fosters full communication in all directions

--   Promotes alignment with strategic directions (capable of defining objectives, measures of success, etc.)

--   Enables us to administer environmental statutes set forth by Congress

--   Allows flexibility to adapt to and fully implement evolving policies from the Administration

--   Is productive--i.e., effective and efficient--in specific actions related to those statutes and policies

--   Empowers employees at all levels to consider and choose varying (e.g., single- and multi-media, or ecosystem) approaches, as appropriate, and holds them accountable for the results

--   Ensures that responsibility and accountability are clear (if not intuitively obvious) from the Regional Administrator through levels of management

--   Recognizes that situations arise that do not fit within the structure, where responsibility and accountability are vague; it will be our responsibility to identify those and ensure clarity

--   Promotes sound environmental decision-making, supported by good science and good data, and world-class expertise

--   Enables us to address environmental problems brought to us by our constituencies and fosters public trust.

--   Supports well-defined relationships, a value-added Federal role, and productive connections among States, Tribes, Headquarters, and other Regions

--   Fosters alliances and partnerships with other entities toward environmental protection

--   Recognizes our responsibilities in joint environmental projects with other nations
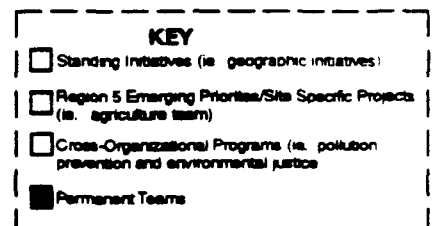
B - 27

Proposal For Operational Change

SENIOR LEADERSHIP TEAM

- Made up of Divison/Office Directors only.
- Engage in constant strategic planning of "big picture" issues and align budget accordingly.
- Provide direction and leadership on overall management of Regionwide activities.
- Senior Leadership Team will look to new Office of Strategic Environmental Analysis to provide it with environmental data, trends, statistics, etc. that will aid in strategic planning.
- Guidelines upon which the Senior Leadership Team would base its strategic planning:

  Region 5's "Strategic Directions for the Midwest Environment"
  Great Lakes 5 Year Strategy
  EPA's "Five-Year Strategic Plan"
  Feedback from constituency outreach

- Identify cross-cutting Regional issues and commission multi-media teams (examples below) to manage and address standing initiatives (blue boxes), emerging priorities/site-specific projects (green boxes), and cross-organizational programs (red boxes). Senior Leadership Team would allocate resources for these cross-Regional activities.

14/15 Team Manager	14/15 Team Manager	14/15 Team Manager	14/15 Team Manager	14/15 Team Manager
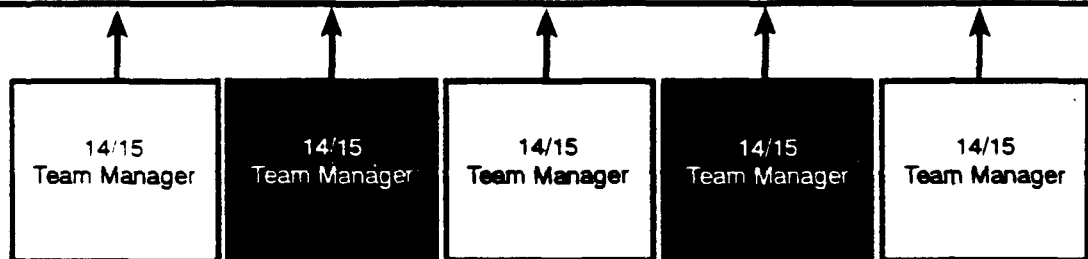
Multi-Media Teams

- Teams commissioned and chartered by Senior Leadership Team.
- Teams are dynamic — number of teams as well as duration will vary. Some teams will be considered permanent for the foreseeable future. (solid boxes)
- Team managers will have a sponsor on the Senior Leadership Team who also serves as supervisor.
- Senior Leadership Team will select GS-14/15 non-supervisory team managers.
- Administrative support will be assigned to teams.

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KEY
☐ Standing Initiatives (ie  geographic initiatives)

☐ Region 5 Emerging Priorities/Site Specific Projects
   (ie.  agriculture team)

☐ Cross-Organizational Programs (ie. pollution
   prevention and environmental justice

■ Permanent Teams
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Proposal For Operational Changes

SENIOR LEADERSHIP TEAM

Air and Radiation Division

14/15 Team Manager REGIONAL ENFORCEMENT TEAM

DRAs

Sponsor

14/15 Team Manager

RA

14/15 Team Manager

Great Lakes National Program Office

Sponsor

14/15 Team Manager TRIBAL TEAM

Office of Public Affairs

14/15 Team Manager

Office of Regional Counsel

Office of Strategic Environmental Analysis

14/15 Team Manager

Resources Management Division

RCRA/ TSCA/ FIFRA Division

14/15 Team Manager

Superfund Division

Water Division

14/15 Team Manager

Region 5 Optimal Organization

Headquarters

Headquarters

Inspector General

Criminal Investigations

Regional Administrator
Deputy Regional Administrators

Tribal Team Manager
Regional Enforcement Office

Congressional
State and Local Relations Manager
Office of International Activities

Office of Regional Counsel

Great Lakes National Program Office

Superfund Division
- Existing functions

RCRA TSCA FIFRA Division
- RCRA
- Pesticides
- Toxic Substances
- AHERA
- EPCRA

Air and Radiation Division
- Existing functions

Water Division
- Existing functions

Office of Strategic Environmental Analysis
- Strategic Planning (Indicators, Common Sense, Link to RMP/MRPP)
- Risk (Core)
- NEPA
- Endangered Species
- REMAP
- GIS
- Peer Review

Resources Management Division
- IRM
- Facilities
- Comptroller Branch
- Contracts and Grants
- Human Resources (core) employee development, personnel services, civil rights
- Tribal Program
- Lab
- Core Monitoring
- Core Inspection
- Core QA
- Cleveland Office

Office of Public Affairs
- Existing functions
- Environmental Software
- Environmental Education
- Constituency Outreach Support
- Compliance Education Coordination

Decentralized within appropriate offices/divisions
- Enforcement Branches
- QA/QC
- Field Investigations
- Inspections

March 1995

APPENDIX C: Workforce Development

The most important assets of any organization are its people. Region 5 recognizes that it is the dedication and efforts of Regional employees that have enabled this organization to achieve past successes and will continue to help this organization meet future challenges. Therefore, Region 5 is committed to providing an environment that fosters the recruitment, development and retention of a high-quality workforce. Career development plays a fundamental role in achieving this goal.

The career development envisioned for Region 5 employees furthers the Agency's mission by identifying, assessing and providing the training and career development opportunities necessary to develop the knowledge, skills and abilities that will best qualify Region 5 EPA employees for the performance of official duties. To achieve this goal, the Region will ensure that technical, administrative and interpersonal skills are developed by our employees so that we can achieve our mission and meet the significant challenges confronting us today and in the future.

This Appendix consolidates and utilizes existing resources and guidance into one basic reference document. It is designed to provide a clear definition of what constitutes career development and the career development/training responsibilities of both staff and supervisors.

This goal establishes career development policies and procedures for identifying, assessing and providing career development activities. It promotes the programmatic, technical and administrative training needs of all Region 5 EPA employees, regardless of race, creed, color, national origin, sex, age, position or other factors such as physical or mental disabilities. It is also designed to promote diversity in our workforce at all levels of the organization. Career development will focus on maintaining and improving skills needed by new and existing personnel in order to continue to support statutory and/or programmatic objectives, while enhancing personal growth and development.

The Region 5 career development framework includes the following:

●   Career Development Policy - policies and procedures for identifying, assessing and providing career development activities (i.e., mentoring, training, defining responsibilities for supervisors and staff, etc.)

●   Needs Assessment - a comprehensive inventory of the knowledge, skills and abilities possessed by current employees and required by future workforce

and workplace needs (i.e., effective management of Agency resources, present needs and future needs, etc.)

- Multiple career paths mechanisms which provide opportunities for the advancement of EPA employees interested in both supervisory and non-supervisory positions

- Core Curricula - basic education, experiences or training that will assist employees in the performance of current and future job functions.

GOALS:

1) To provide guidance and to enhance opportunities for individuals to formulate and carry out career development goals.

2) To establish an environment that will promote opportunities to acquire the knowledge, skills and abilities to enhance job performance to the mutual benefit and responsibility of the Agency and the employee.

3) To provide a workforce that meets the current and anticipated and long-term needs of the Agency.

CAREER DEVELOPMENT OPPORTUNITY INVENTORY

GOAL:

Establish a comprehensive collection of career development-related documents developed Agency-wide that will be made available to any Region 5 employee.

KEY STEPS/PROCESSES:

1) Request such documents from as many sources as possible, including each Region 5 Division/Office, other Regions and Headquarters.

2) Collect and sort each document as they come in.

3) Evaluate each individual document and decide if it should be part of the collection.

4) Collect all documents chosen and insert them, along with a table of contents, in a 3-ring binder.

5) Obtain final approval from the HRC Career Development Workgroup of the collected documents.

6) Distribute copies of the collection to each Division/Office in the Region. The master copy shall be placed in a location accessible to every employee (e.g., library or designated career development room).

7) Periodically update the collection of career development documents to include recently published documents and delete existing documents deemed obsolete.

IMPLEMENTATION SCHEDULE:

1) Collect All Career Development-related Documents - 3/1/95

2) Solicit Comments - 3/15/95

3) Revise Collection and Obtain Final Approval from Workgroup - 3/29/95

4) Distribute Copies to Every Division/Office of Region 5 and a Central Regional Location - 4/12/95

5) Update Existing Collection - Continuous

SUCCESS INDICATORS:

1) Include a sign-in/sign-out sheet in each binder to track every employee who looks at the information collected on career development.

2) Percentage of Region 5 employees who have gone through the list of career development documents and are more knowledgeable about tools available to advance their carers. Ideal goal: 100 percent of employees have read the collection.

CAREER DEVELOPMENT POLICY

GOAL: ·

To implement a policy that will meet the present and future career development needs of Region 5 employees.

KEY STEPS/PROCESSES:

1) Review Waste Management Division Career Development Policy - April, 1995

2) Update CDP Where Necessary - May - July, 1995

3) Submit Draft Regional CDP for HRC/Senior Staff Review - July, 1995

4) Revise Regional CDP Based on Comments - August, 1995

5) Announce Final Regional CDP - September, 1995

6) Conduct Regional CDP Orientation Sessions - September - October, 1995

SUCCESS INDICATORS:

1) The policy is endorsed by HRC and Senior Staff.

2) Employees understand the policy. The policy is distributed Region-wide and information/orientation sessions are conducted.

3) Employees actively participate in Regional career development activities including, but not limited to, rotational assignments, mentoring programs, ASCMS, ELAP and training.

4) Employees advance in their careers.

NEEDS ASSESSMENT

GOAL:

To compile a comprehensive inventory of the knowledge, skills and abilities possessed by current employees and required by future workforce and workplace needs.

KEY STEPS/PROCESSES:

1) Interview employees at all levels of the Agency to determine the type(s) of functions they are required to perform on a regular basis.

2) Categorize these functions and compare them with current KSAs listed in job descriptions for those positions.

3) Update current job descriptions and job classifications, where necessary, based upon this information.

4) Prepare a skills inventory so that future workforce needs may be met by the re-allocation of present employees who have the abilities to help the Agency meet those needs.

5) Determine what training and experiences helped employees reach their present levels within the Agency and what training and experiences help them perform their present jobs on a daily basis.

6) Evaluate current training available/kinds of training needed. Identify training needs not currently available. Create opportunities for needed training within and outside the organization.

7) Prepare and/or revise core curricula based upon the information obtained through the needs assessment.

SCHEDULE/MILESTONES:

1) Conduct employee interviews - October, 1995 - February, 1996

2) Categorize and compare information - March - May, 1996

3) Update job descriptions/classifications - June, 1996 - September, 1996

4) Prepare skills inventory - June - August, 1996

5) Determine usefulness of training/experiences - October, 1995 - February, 1996

6) Prepare core curricula - March - May, 1996

MULTIPLE CAREER PATHS

GOAL:

> To provide a roadmap that every employee could use to reach the top of his/her potential. Along with this roadmap, every employee should know what knowledge, skills and abilities (core competencies) are needed to move to the next step along the desired path. Employees should be able to move along this path through a variety of supervisory and non-supervisory positions.

KEY STEPS/PROCESSES:

1) Each job in the Region should be listed. The numbers of each kind of job should also be provided.

2) Core competencies should be listed for each job.

3) A flow chart should be prepared that provides possible career choices along with the path for advancement within the organization.

It is recommended that the above key items be prepared by each Division/Office, but this is not meant to dissuade movement between offices. It is also recommended that Administrative Officers (AOs) from each Division/Office form a team to complete these activities under the leadership of the Human Resources Branch. The AOs would be responsible for compiling and updating the information for their own Division/Office. These materials would be made available in each Division/Office and in a central library (similar to inventory materials) or on the LAN.

SCHEDULE/MILESTONES:

1) Identify jobs - October 1995

2) Describe core competencies - March -May 1996

3) Flowchart career choices - June-September 1996

4) Consolidate report - September 1996

5) Updating - Continuous

SUCCESS INDICATORS:

Every employee will know what core competencies are needed to fulfill his/her aspirations.

CORE CURRICULA

GOAL:

To prepare an outline of the basic education, experiences or training that will assist employees in the performance of current and future job functions.

KEY STEPS/PROCESSES:

1) Determine what training and experiences have helped employees reach their current positions and what training and experiences help employees in performing their current jobs on a daily basis. This information would be obtained through the needs assessment process, interviewing and benchmarking with other agencies.

2) Determine what training and experiences every EPA employee is required to have in order to be a well-rounded environmental employee. This information is available through Headquarters core curricula information.

3) Prepare a list of core curricula that includes key generalist skills and information for all employees' success at EPA, as well as program or job-specific opportunities that will build technical expertise and skills.

4) Distribute the list to all Region 5 employees in order to provide them with a crosscutting foundation of basic skills and knowledge that will assist them in performing their present and future jobs.

SCHEDULE/MILESTONES:

    1) Determine training/experiences - October, 1995 - February, 1996

    2) Determine well-rounded employee requirements - April, 1995

    3) Prepare list of core curricula - March - April, 1996

    4) Distribute core curricula to all employees - June, 1996

SUCCESS INDICATORS:

    1) The employee has a framework for a technical understanding of what the Agency does (mission, basic issues addressed, structure, strategy and goals).

    2) The employee has the tools with which to work, including both technical expertise and interpersonal skills.

    3) The employee has a customer-service orientation and a commitment to quality ideals, which pervade every aspect of work.

    4) Employees are provided additional opportunities through continuous follow-up needs assessments on a biennial basis.