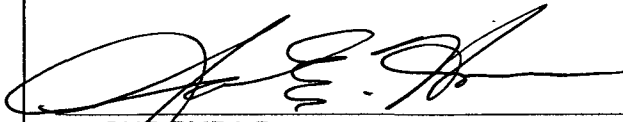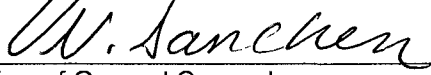| REQUEST FOR RECORDS DISPOSITION AUTHORITY	'LEAVE BLANK (NARA Use Only)

TO: NATIONAL ARCHIVES AND RECORDS ADMINISTRATION WASHINGTON, DC 20408	JOB NUMBER *NI-431-08-9*

1 FROM (Agency or establishment) **U.S. Nuclear Regulatory Commission**	DATE RECEIVED *6/10/08*

2 MAJOR SUBDIVISION or PROGRAM Office of Human Resources	**NOTIFICATION TO AGENCY**
3 MINOR SUBDIVISION	In accordance with the provisions of 44 U S C 3303a, the disposition request, including amendments, is approved except for items that may be marked "disposition not approved" or "withdrawn" in column 10

4 NAME OF PERSON WITH WHOM TO CONFER Deborah H Armentrout, CRM	5 TELEPHONE 301-415-7228	DATE *8\17\0?*	ARCHIVIST OF THE UNITED STATES

6   **AGENCY CERTIFICATION**

I hereby certify that I am authorized to act for this agency in matters pertaining to the disposition of its records and that the records proposed for disposal on the attached_page(s) are not now needed for the business of this agency or will not be needed after the retention periods specified, and that written concurrence from the General Accounting Office, under the provisions of Title 8 of the GAO Manual for Guidance of Federal Agencies,

☒ is not required,   ☐ is attached, or   ☐ has been requested.

DATE 6/3/08	SIGNATURE OF AGENCY REPRESENTATIVE *Margaret A. Janney* Margaret A. Janney, CRM/NS	TITLE NRC Records Officer

7 Item No	8 DESCRIPTION OF ITEM AND PROPOSED DISPOSITION	9 GRS or Superseded Job Citation	10 Action Taken (NARA Use Only)
	<u>Title</u>. **Strategic Workforce Planning (SWP) and SES Succession Planning System (SESSPS)** (See Attached Schedule) OHR PMDA Director _____ 6/5/8 Date Office of General Counsel _____ 5/29/08 Date		

8/13/08 Copies Sent to Agcy, NWMW

Strategic Workforce Planning System (SWP) and SES Succession Planning System (SESSPS)

A. The Strategic Workforce Planning System (SWP)

SWP is an NRC-developed database with a password secured website interface used to store and manage information about available and critical employee skills sets. SWP assists NRC managers to manage staff who have skills needed to perform functions supporting NRC missions by ensuring the availability of the right skill sets in the proper quantity and proper placement in the right jobs. NRC employees are responsible for updating personal data regarding skills, and preferences for locations. Managers review employee data entry and identify critical skills.

1) Inputs/Source Documents

GRS
20/2b

Information contained in SWP is entered on line through the web interface. No written documentation is prepared or submitted; all information is entered into SWP through the web interface.

Disposition: TEMPORARY. Cutoff and destroy data entry aids, if they exist, when no longer needed for data entry.

2) Master File

Information contained in SWP master files include:
- General Employee Information
  - Employee's Name and birth date
  - Contact Information (e-mail addresses, and organization)
  - Employment Dates (Projected Retirement, Adjusted retirement)

- Employee Skills
  - Education (degrees earned or courses completed, significant areas of training)
  - Past employment functions
  - Assessment of level of proficiency for identified skills
  - Awards, Licenses, and Significant Achievements
  - Professional Organization Membership
  - Location and Mobility preferences

- Management Input
  - Review of skills assessment
  - Identification of critical skills for their organization

- Audit records (dates information changed, who revised)

Disposition: TEMPORARY Cutoff employee's information when an employee terminates employment. Destroy or delete the General Employee Information and Employee Skill data and any related Management Input and Audit Records from the master file, 5 years after cutoff.

3) Outputs

Reports can be requested from a system report menu. Regular employees have access to a limited number of reports that normally only contain non-personal information. The report might show the number of employees with a particular skill but names are not included All employees can access a report where they can see all the information about themselves that is contained in the

system. Managers have access to a second set of reports that contain more detailed information. These reports are capable of showing the number of employees possessing a certain skill and identifying those employees.

a. **Employee Reports**
   Reports created from the information in SWP are used for the administration of the program. Typical reports may include listings of submitted skills assessments and assessment of the individual employees' assessment against the offices critical skills.

   Disposition: TEMPORARY. Cut off and destroy when no longer required for business purposes.

GRS
20/16

b. **Management Reports**
   Reports available only to managers that provide employee information within a wide range of search criteria. Sample reports include Skills Analysis, SWP Participation Reports and Mobility and Retirement Planning Reports.

   Disposition: TEMPORARY. Cut off and destroy when no longer required for business purposes.

4) **SWP System Documentation**
   The system documentation identified below exists for the SWP system.

GRS
20/11a(1)

   - Table Structure design
   - List of HRMS data to be refreshed periodically

   Disposition: TEMPORARY. Cut off when SWP is decommissioned or superseded Destroy 1 year after cut off

B. The Senior Executive Service Succession Planning System (SESSPS)

SESSPS is an independently designed website-accessible password-secured database intended to make the skills and employment preferences of NRC Senior Executive Service (SES) employees and SES Candidates available to the Agency managers. SESSPS has been inactive since June 2004, except that one report is prepared from the system; SWP is the principal repository for SES information.

1) Inputs/Source Documents
As SES employees are hired or appointed by the NRC and as SES candidates are selected, the employee's information is downloaded from the Human Resources Management System (HRMS). When the SES Candidates complete the SES training, their status is updated. No paper record is created or retained.

GRS
20/2b

Disposition: TEMPORARY. Cutoff and destroy data entry aids, if they exist, when no longer needed for data entry.

2) Master File
Information contained in SESSPS master files include:

- General Employee Information
  - Employee's Name
  - Contact Information (e-mail addresses and organization)
  - Employment Dates (Projected Retirement, and Adjusted Retirement dates)
  - SES Candidate Training status

Disposition: TEMPORARY. Cutoff employee's information when an employee terminates employment. Destroy or delete the General Employee Information 5 years after cutoff.

3) Output

GRS
20/16

a. **SES Candidate Development Program Report**
This report produces a listing of personnel assigned to the SES Candidate Development Program and provides training completion status.

Disposition: TEMPORARY. Cut off and destroy when no longer required for business purposes.

4) SWP System Documentation
No system documentation has been located for SESSPS.

Attachment A -- Strategic Workforce Planning System (SWP) and SES Succession Planning System (SESSPS)

BACKGROUND:

SWP and SESSPS are used to provide the NRC with the ability to plan for the skills required to staff the Agency. SWP in particular provides a resource that identifies the skills and proficiencies of current employees and the need to plan for replacing these employees with others with similar skills. SWP is able to identify those individuals who may be reaching the end of their Federal career for succession planning and to identify other employees with special expertise needed for special projects or emergency staffing. This information is used to target recruitment and training needs and to assist the offices in filling skilled positions to increase the effectiveness of the NRC.

This information is supplied to the SWP by the employees themselves with oversight by their managers to validate the skills assessments. The information is kept current by annual updates. Prior to implementation of these programs the function was performed manually by the NRC's offices without common sharing of the data. Access to both systems is through password protected user accounts All information is retained in SWP electronically and no information or records are created or retained elsewhere. Data entry and data verification is performed as indicated below. This information is updated at least annually.

   a. General Employee Information
      Basic employee information is imported from the HRMS (Human Resources Management System) when the employee begins work at NRC. Basic information such as name, pay grades, retirement eligibility date and organization assigned is downloaded from HRMS.

   b. Employee Skills
      The employee provides an assessment of his/her skills including the level of competency for each skill identified. Additionally, employee preferences regarding work location and other licenses or certificates are included in the SWP. Data is collected for full and part time employees and retired annuitants.

   c. Management Input
      NRC managers review the individual employee's SWP data and concur with its accuracy. NRC managers also identify skills that are considered critical for the performance of their organization's work in the near and short term. Near term is defined as 0-2 years and long term 3-5 years.

Privacy Act information is contained in SWP/SESSPS by virtue of the personnel names and contact information, however social security numbers are not kept in the systems. The SWP database and transaction log is backed up hourly.

SESSPS is no longer actively maintained for the SES employees since SWP provides a more versatile repository for this information, except for the listing and status of the SES Candidates.

Dates: Data has been collected in SWP since June 2002. There was no previous electronic system for this function prior to June 02. Information in SESSPS other than the Names of SES grade employees and SES Candidates Names and Status have not been updated.