



Human Capital Plan D.C. Pretrial Services Agency

FY 2008 – FY 2013

**Prepared and Maintained By:
Office of Human Capital Management
633 Indiana Avenue, N.W.
Washington, D.C. 20004**

MESSAGE FROM AGENCY HEAD

I am pleased to present the D.C. Pretrial Services Agency's 2008 to 2013 Human Capital Plan. This document provides the blueprint for how our Agency will manage human capital in the coming years.

The D.C. Pretrial Services Agency (PSA) has critical responsibility for protecting public safety by providing reasonable assurance that defendants on conditional pretrial release do not engage in criminal activity and return to court for trial. PSA works to provide this assurance while honoring the constitutional presumption of innocence. This mission requires a uniquely motivated, committed and flexible staff, of which I am particularly proud. This Human Capital Plan will provide the framework through which the Agency can prepare this talented workforce for meeting tomorrow's challenges.

Over the next five years, the D.C. Pretrial Services Agency (PSA) will build on its current successes by continuing to seek resources to expand supervision for high risk defendants and substance abuse and mental health treatment services for defendants needing these services. In order to maximize scarce resources, PSA will systematically strengthen its partnerships and collaborative programs. Because our objectives over the next five years will require that we expand supervision resources to our existing population and to populations not previously served, particular focus will be placed on preparing our staff to effectively respond to the additional demands.

PSA has long recognized that placing a high value on human capital is the most efficient way of improving quality. This commitment is demonstrated in the Agency's Strategic Plan, which includes an enhancement focusing specifically on the development of human capital. This enhancement has been identified as an Agency-wide priority for the next five years and will serve to focus efforts more tightly on the human capital elements that directly support our mission.

Like our Strategic Plan, this Human Capital Plan will change as we are faced with new and exciting challenges and opportunities. To adequately respond, future strategic and human capital planning efforts will be consolidated to ensure that the Agency and its workforce are providing the critical services needed by this community.

I welcome the opportunity to discuss any aspect of this plan with you.

Sincerely,

Susan W. Shaffer
Director

TABLE OF CONTENTS

Message from the Agency Head	1
Understanding the Agency’s Mission	3
Human Capital Management	6
Workforce Planning System	7
Workforce Analysis	9
Strategic Alignment	12
Current State of Strategic Alignment Initiatives	12
Strategic Alignment Human Capital Goals	13
Resources.....	13
Leadership and Knowledge Management	14
Current State of Leadership and Knowledge Management Initiatives.....	14
Leadership and Knowledge Management Human Capital Goals.....	14
Resources.....	15
Results Oriented Performance Culture	15
Current State of Results oriented Performance Culture Initiatives	15
Results Oriented Performance Culture Human Capital Goals	16
Resources.....	16
Talent Management	16
Current State of Talent Management Initiatives	16
Talent Management Human Capital Goals	17
Resources.....	17
Accountability	18
Current State of Accountability Initiatives.....	18
Accountability Human Capital Goals.....	18
Resources.....	19
Human Capital Action Plan	20

UNDERSTANDING THE AGENCY'S MISSION

The D.C. Pretrial Services Agency (PSA) was established as an independent entity within the Court Services and Offender Supervision Agency (CSOSA) in the Executive Branch of the Federal Government under the National Capital Revitalization and Self-Government Improvement Act of 1997. Although a relatively new federal agency, PSA has served the District of Columbia for the last 40 years and is a widely recognized national leader in the pretrial field. Its mission is to assess, supervise, and provide services for defendants, and collaborate with the justice community, to assist the courts in making pretrial release decisions.

D.C. Pretrial Services Agency Mission

PSA's mission is to assess, supervise, and provide services for defendants, and collaborate with the justice community, to assist the courts in making pretrial release decisions. PSA promotes community safety and return to court while honoring the constitutional presumption of innocence.

The Agency promotes community safety and return to court while honoring the constitutional presumption of innocence and assists the courts by providing reasonable assurance that defendants on conditional release will return to court for trial and will not engage in criminal activity. Given the legal status of pretrial defendants as well as the comparatively short and unpredictable pretrial period, PSA's strategic outcomes focus on reducing the rearrest rate for violent and drug crimes and the failure to appear rate during the period of pretrial release.

Outcome 1	Outcome 2
Reducing the rearrest rate for violent and drug crimes during the period of pretrial release.	Reducing the failure to appear rate during the period of pretrial release.

PSA assembles and presents information about arrestees and about available release options for use by judicial officers in deciding what, if any, conditions are to be set for released defendants. A judicial officer – a judge or magistrate judge – makes the initial pretrial release decision after taking into account the representations of the prosecutor and the defense attorney, as well as PSA's release recommendation. PSA provides objective, verified data about each defendant to assist in judicial decision-making. PSA recommendations are designed to manage the flight and public safety risks associated with releasing defendants.

PSA supervises defendants released from custody during the pretrial period. Depending on the defendant's level of risk, PSA supervision may consist of: personal contact between the defendant and the Agency, drug testing, curfew, electronic monitoring (to include Global Position Systems monitoring), mental health treatment and/or sanction-based substance abuse treatment. All PSA supervision programs encourage defendants to participate in pro-social interventions that decrease the likelihood of future criminal behavior. Throughout the pretrial release period, PSA notifies the court, prosecution, and defense of noncompliance with release conditions.

The Agency has developed Critical Success Factors and objectives that span the major functions and operations of the Agency and are linked to the strategic outcome goals of reducing rearrest and failure to appear for court. These factors and objectives capture PSA's key activities. When

PSA performs these tasks effectively, unnecessary pretrial detention is minimized, jail crowding is reduced, public safety is increased and the pretrial release process is administered fairly.

Critical Success Factors	
Critical Success Factor 1: Assessments and Release Recommendations	<i>Promote informed and effective nonfinancial release determinations by formulating and recommending the least restrictive release conditions to reasonably assure that the defendant will:</i> <ul style="list-style-type: none"> • <i>Appear for scheduled court dates; and</i> • <i>Not pose a threat to any person or to the community while on release.</i>
Critical Success Factor 2: Monitoring and Supervision of Released Defendants	<i>Provide effective monitoring or supervision of pretrial defendants, consistent with release conditions, to promote appearance in court and reduce the risk of criminal activity while under pretrial supervision.</i>
Critical Success Factor 3: Integrate Treatment with Supervision	<i>Provide for, or refer defendants to, effective substance abuse, mental health, and social services that will assist in reasonably assuring that defendants return to court and not pose a danger to the community.</i>
Critical Success Factor 4: Partnerships	<i>Establish and maintain effective partnerships with the judicial system, law enforcement and the community to enhance PSA's ability to provide effective community supervision, enforce accountability, increase community awareness of PSA's public safety role, and develop opportunities for defendants under pretrial supervision and pretrial diversion.</i>

PSA follows these *guiding principles* in support of its mission:

- The Constitutional presumption of innocence of each pretrial defendant should lead to:
 - i. The least restrictive release consistent with public safety and return to court; and
 - ii. Preventive detention only as a last resort based on a judicial determination of the risk of non-appearance in court and/or danger to any person or to the community.
- Nonfinancial conditional release, based on the history, characteristics, and reliability of the defendant, is more effective than financial release conditions. Reliance on money bail discriminates against indigent defendants and cannot effectively address the need for release conditions that protect the public.
- Pro-social interventions that address substance abuse, employment, housing, medical, educational, and mental health issues afford defendants the opportunity for personal improvement and decrease the likelihood of criminal behavior.
- Innovation, effective use of technology, and the development of human capital lead to organizational excellence, transparency, high professional and ethical standards, and accountability to the public.

PSA's Strategic Plan was recently revised and, as part of that effort, the Agency consulted with primary stakeholders regarding its mission, goals and objectives. Interviews were conducted with representatives from sixteen federal or District of Columbia agencies. In addition, groups of PSA staff and substance abuse treatment defendants under supervision were interviewed in

order to identify environmental changes and the Agency's strengths, weaknesses and opportunities.

Agency-wide strategic enhancements were developed for FY 2008 – 2013 based on internal expertise and the feedback received from internal and external stakeholders. These enhancements included:

- Review the release recommendation process to ensure that high risk defendants are correctly identified and that appropriate release conditions are recommended to the court;
- Assess, report on, provide supervision as ordered by the Court and treatment as needed to defendants charged with serious traffic offenses;
- Expand the scope of supervision resources for high-risk defendants;
- Explore options for expanding the use of pretrial diversion throughout the District of Columbia;
- Identify and secure additional treatment services for substance abusing and mentally ill defendants;
- Improve partnerships and enhance collaboration with community service agencies in order to better connect vulnerable defendants to needed mental health and social services.

Finally, one strategic enhancement focuses specifically on the development of Agency human capital and has been identified as an Agency priority for the next five years:

PSA has long recognized that the development of its workforce is critical to achieving its mission and accomplishing its strategic goals. In September, 2005, PSA began to implement a comprehensive career development system that includes a mandatory annual professional development requirement, mentoring, and leadership potential programs. As part of this continuing effort, assistance and guidance will be provided to employees interested in developing formal Employee Development Action Plans (EDAPs). Although EDAPs are voluntary, employees must have them to participate in any career management system programs.

PSA will complete the development and implementation of a comprehensive supervisory development program (SDP) to identify the requisite training needs of new supervisory employees. PSA will also complete the development and implementation of a management development program (MDP). Both the SDP and MDP will be designed using best-practices identified in the public and private sectors. Although the agency currently has a comprehensive new employee training program, the requirements will be reevaluated to ensure that new employees are receiving the training needed to enhance performance of required duties.¹

¹ PSA's 2008 – 2013 Strategic Plan, pp. 12 - 13

In addition to the strategic enhancement articulated in PSA's most recent Strategic Plan, the Agency's vision clearly illustrates a commitment to the efficient and effective management of human capital: "to thrive as a leader in the justice system by having an empowered workforce that embodies integrity, excellence, accountability, and innovation in the delivery of the highest quality services."

D.C. Pretrial Services Agency Vision

To thrive as a leader within the justice system by developing an empowered workforce that embodies integrity, excellence, accountability and innovation in the delivery of the highest quality services.

All Offices within the Agency must develop and support the workforce to achieve that level of performance. Specifically, Training and Career Development (T&CD) within the Office of Human Capital Management (OHCM) manages law enforcement, programmatic, systems and management training; performs training needs assessments; develops curriculum; prepares, presents, and administers training courses; and designs training on PSA programs and systems for external agencies. Programs designed to enhance the leadership abilities of staff across the Agency are developed and administered. In addition, OHCM develops and administers the full range of human resources programs including organizational design; a comprehensive classification, pay and position management program; staffing and recruitment; awards and recognition; payroll administration; employee and labor relations, benefits and assistance; and personnel security.

In order to support PSA's mission and vision, OHCM is dedicated to:

- Supporting management of PSA's human resources;
- Developing a diverse, results-oriented, high-performing workforce;
- Fostering an environment of continuous learning and providing employees with the needed knowledge and skills to advance the PSA mission;
- Monitoring and analyzing agency performance in all aspects of human capital management policies, programs and activities to support mission accomplishment and to be effective, efficient, and in compliance with merit system principles.

Agency human capital management is supported by PSA's **core values** in the following ways:

Initiative: Leadership and staff enhance PSA operations and mission accomplishment by anticipating needs and developing creative responses that balance mission requirements with legal and regulatory considerations.

Customer Service: Responsive and flexible programs provide the foundation for mission execution.

Integrity: Human capital staff adhere to the highest legal and ethical standards, setting an example for internal staff and external stakeholders.

Respect: The work environment throughout PSA, is open, welcomes and values individuals from all cultures, and encourages respect at all levels of the organization.

Teamwork: Staff consistently model teamwork behaviors, realizing that groups working effectively accomplish more than any one person working alone.

Work Ethic: With a small staff and ever increasing work load, the staff's dedication and positive attitude are critical to the delivery of quality service.

This Human Capital Plan supports PSA's mission, vision, and core values and details PSA's response to the existing and future resource needs of the Agency as stipulated in PSA's Strategic Plan. Human capital goals are delineated below in accordance with the components included in the Office of Personnel Management's (OPM) Human Capital Assessment and Accountability Framework (HCAAF). Because of the nature of PSA's mission and the type of services provided, each of the human capital goals listed in the following pages directly supports both of the Agency outcomes and all four operational goals as listed in the previous section.

Goal achievement will be tracked through OPM's existing data requirements (as in the HCAAF reporting requirements, the yearly employee survey administered either by the Agency or by OPM), the data requirements of other agencies (such as the Equal Employment Opportunity Commission) and will be reported in the yearly Human Capital Management Reports submitted to OPM. All information and data will be retained by OHCM, will be reported to the Agency's executive management on a quarterly basis at the Meeting of the Office Directors, and will be utilized to determine the need for programmatic corrections in order to achieve the related objectives. Copies of this plan and the data reported in subsequent years will be made available to all Agency staff on the intranet for review. Information relating to human capital management will be routinely publicized in the "Advocate," the Agency's quarterly newsletter for employees and stakeholders.

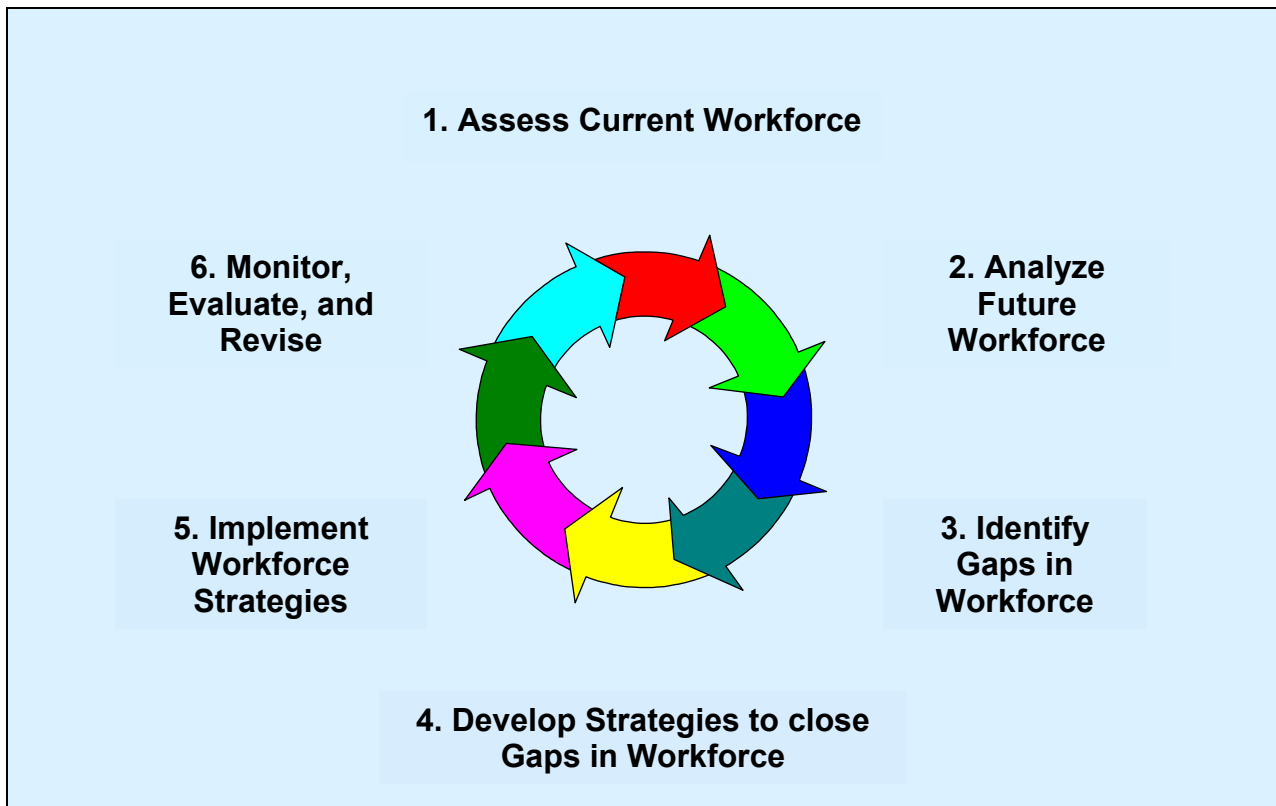
WORKFORCE PLANNING SYSTEM

In order to meet the needs of Agency stakeholders and the public at large, PSA has traditionally included workforce planning as part of the strategic planning process and the yearly budget formulation process. The model depicted below articulates this method of analysis, which also supports the initiatives listed within this Human Capital Plan. At present, PSA has numerous workforce strategies in place to address such issues as developing leadership and management competencies within its workforce, all of which were developed based on this on-going analysis. The model represents PSA efforts to inform management of human capital needs, both immediate and long-term, and to ensure the strategic use of human capital resources.

PSA's workforce planning is a continuous process which incorporates the six steps depicted in the graph below:

STEP 1: Assess Current Workforce. Assess the current state of the workforce and human capital at PSA, analyzing past trends to determine what is likely to occur over time.

- STEP 2: **Analyze Future Workforce.** Identify the future workforce needed to effectively and efficiently accomplish the Agency’s mission, goals, objectives and enhancements as established in PSA’s Strategic Plan.
- STEP 3: **Identify Gaps in Workforce.** Identify the skill gaps between the current workforce and the future needs of PSA. Strategies for identifying gaps are set forth in the Human Capital initiatives.
- STEP 4: **Develop Strategies to Address Gaps in Workforce.** Develop skill gap analysis to identify skill gaps and develop strategies for addressing and minimizing those gaps.
- STEP 5: **Implement Workforce Strategies.** Implement strategies to address skill gaps and closing of skill gaps as well as training and development in mission critical positions and leadership.
- STEP 6: **Monitor, Evaluate, Revise.** Continuously monitor and evaluate current workforce and future needs and revise strategies to meet the future needs of PSA.



This process is and must be on-going in order for the Agency to respond to changes in the internal and external environment. For example, PSA previously conducted a task analysis to determine the competencies needed for mission-critical occupations and implemented changes based on identified gaps (Step 5 in the Workforce Planning System). However, recent

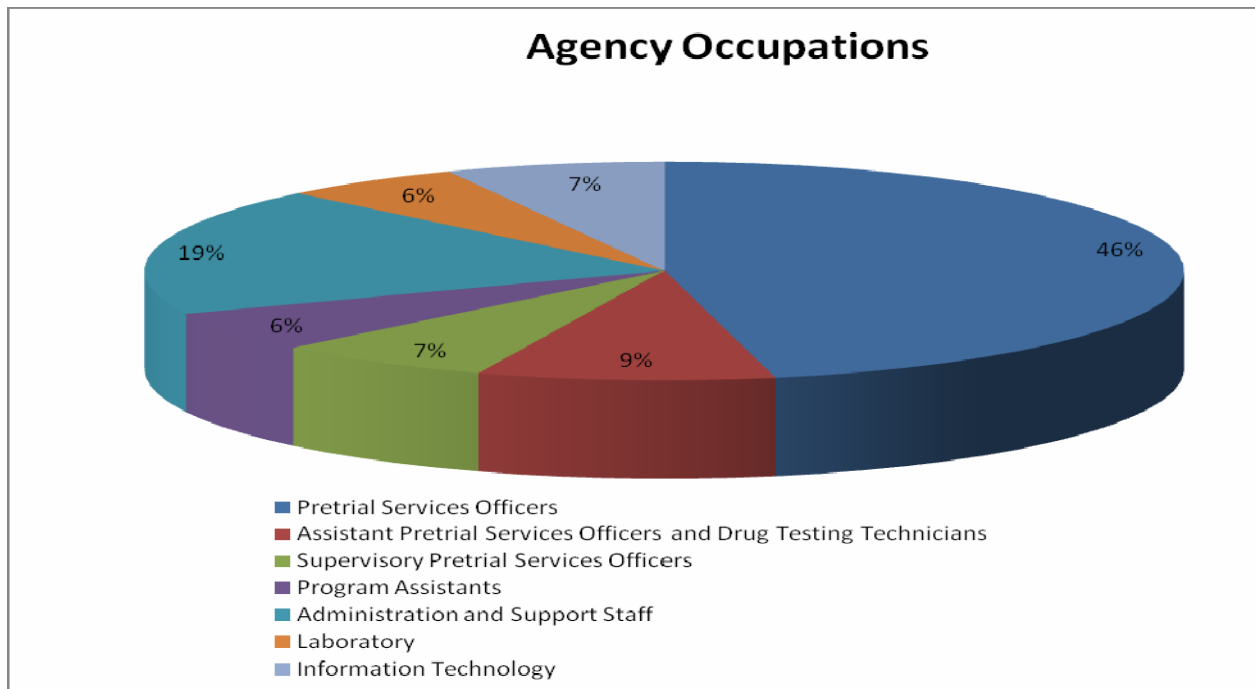
organizational changes and changes in position responsibilities now require that this process be repeated (Step 6). This Human Capital Plan articulates PSA’s plan for Step 1 to repeat this process. Similarly, the Supervisory Development Program was established based on feedback from Agency managers and supervisors. This project incorporated Steps 1 – 5. This program must now be revisited and evaluated to determine the extent to which it is supporting competency development for supervisory staff (Step 6). Although the individual steps are not delineated in this Plan, each human capital planning activity follows this logical sequence.

Existing efforts, such as PSA’s accomplishments in the areas of training and development, are included in subsequent sections of this Plan delineating PSA’s goals and planned activities. An analysis of PSA’s workforce (Step 1 for many of the Agency’s activities) follows.

WORKFORCE ANALYSIS

Although PSA was formed over 40 years ago, it became a part of the federal government only recently and, as such, has been subject to strategic planning and performance measurement requirements for only the past few years. Much has been learned during this period, but PSA continues to work to ensure that efforts within the agency and across organizational divisions are planned *strategically*.

Because of the nature of PSA’s mission, almost 70% of the Agency’s staff work directly with defendants on a daily basis or supervise those who do. The mission critical staff include Pretrial Services Officers (PSOs) who are responsible for assessing defendants, reporting information to judicial officers, supervising defendants on release and providing treatment services; Assistant Pretrial Services Officers (APSOs) who are responsible for verifying defendant information and monitoring defendant compliance; and Drug Testing Technicians (DTTs) who are responsible for the collection and documentation of defendant drug tests as ordered by the Court. These staff are classified into the GS-0101 and 0102 series.



PSA's mission critical PSOs have many similar knowledge, skills and ability requirements in order to accomplish their work. These include but are not limited to:

- thorough knowledge of investigation and supervision techniques applied in a pretrial environment;
- experience in criminal justice case management, supervision, mental health or substance abuse treatment;
- ability to evaluate a defendant's need for treatment or other external services and to coordinate and monitor the defendant's use of these resources;
- familiarity with court and judicial procedures;
- skill and experience in written and verbal communication with persons such as judicial officers, attorneys and law enforcement personnel in preparation of documents for submission to the court, and in representation in court;
- the ability to access and utilize internal and external computer systems to enter, update, and extract data and to produce reports.

PSOs who assess, supervise and treat defendants in substance abuse and/or mental health units have additional specialized requirements.

APSOs assigned to supervision or treatment units must have:

- practical knowledge of the criminal justice system and of pretrial processes to perform technical assignments in support of PSOs;
- experience in criminal justice case management, supervision, mental health or substance abuse treatment;
- the ability to monitor defendant compliance with release conditions, identifying issues and responding to violations after consultation with PSO or supervisor;
- the ability to access and utilize internal and external computer systems to enter, update, and extract data and to produce reports.

In addition to the above, APSOs assigned to the Drug Testing and Compliance Unit must also have:

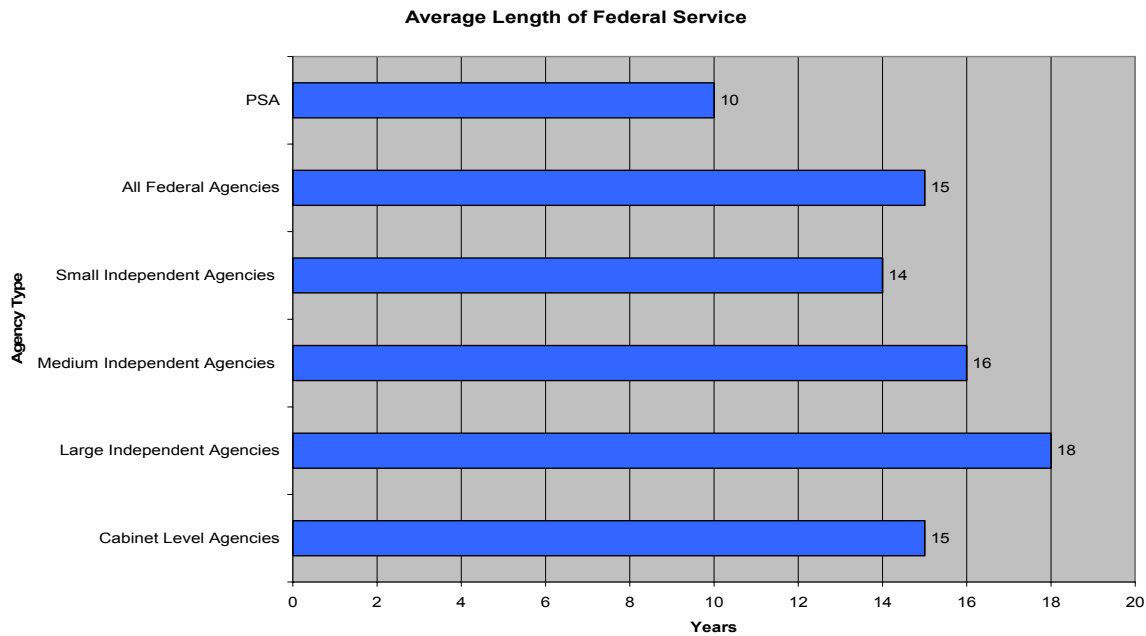
- extensive knowledge of PSA protocols, policies and procedures for drug testing including chain of custody, documentation and records;
- knowledge of the automated systems used for management of drug testing information;
- knowledge of pretrial services and experience in criminal justice and providing testimony;
- general knowledge of substance abuse trends and treatment.

Drug Testing Technicians, who are also assigned to the Drug Testing and Compliance Unit, are required to have:

- general knowledge of PSA and court operations relevant to drug testing;
- knowledge of procedures and protocols for testing;
- the ability to utilize internal computer systems to enter, update, and extract data.

All mission critical staff must have familiarity with confidentiality rules and protection of treatment and criminal justice information and records and be able to interact with defendants from various backgrounds and to exchange basic information.

Because PSA’s mission-critical positions are law enforcement-designated, the majority of the Agency’s workforce is eligible to retire after 25 years of service. However, few Agency employees are eligible to retire within the next five years. On average, PSA staff have only 10 years of federal service, much lower than that of other federal agencies.

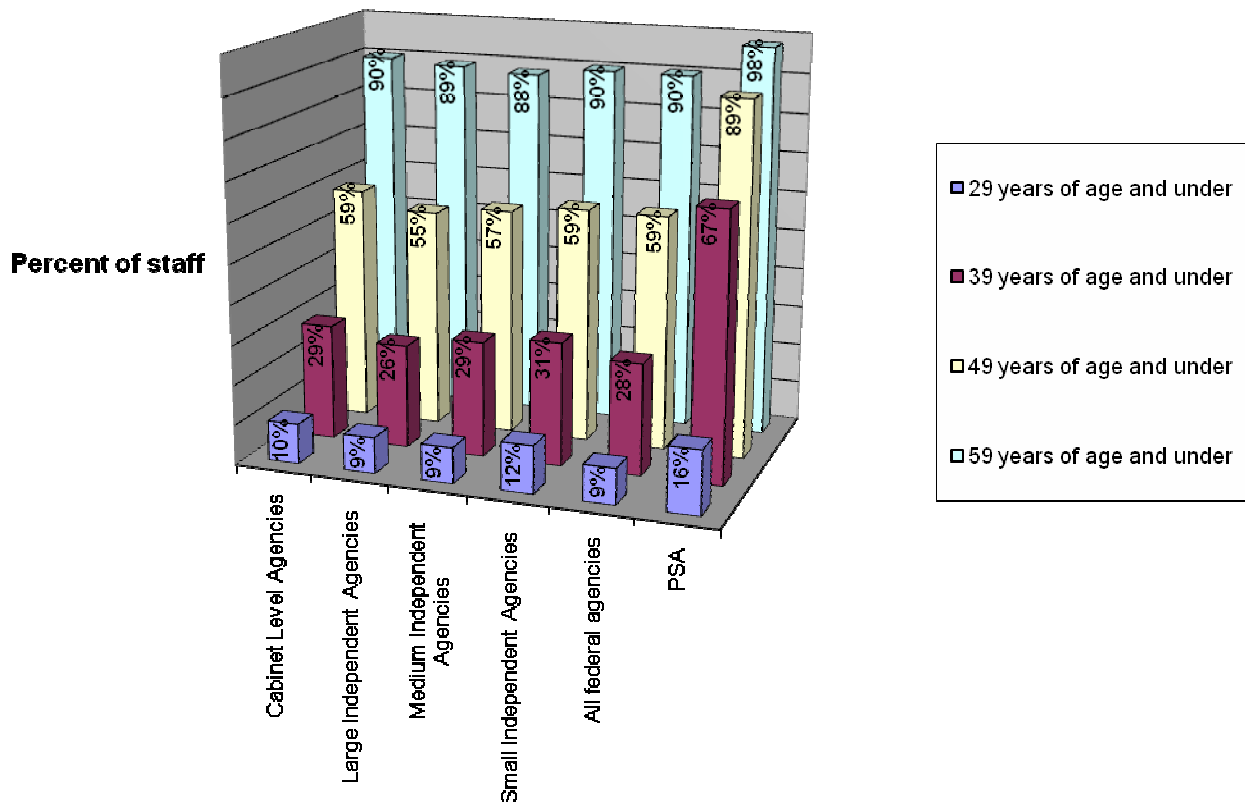


Approximately 28% of the staff are at grade 10 or below. As expected, however, as the grades increase, so does the age of the staff and the years of federal service:

- Staff at GS 13 and above average 14 years of federal service;
- Staff at GS 14 and above average 17 years of federal service;
- Staff at GS 15 and above average 18 years of federal service;
- SES staff average 26 years of federal service.

Because the higher graded staff have more years of federal service, it is clear that those with the most experience (particularly those at the SES level) will be eligible to exit the federal system in only a few years. In addition, federal time ranges from 9 to 39 years for staff at the GS 15 level. Almost 40% of staff at this level are currently or will soon be eligible to retire from the federal system. PSA is fortunate, however, to have a pool of younger employees who are expected to remain in the system for a longer period of time.

Age Distribution



However, because PSA’s staff is relatively young with few years of federal service, achievement of the human capital strategic enhancements is even more challenging. While this group of younger staff with fewer years of federal service will provide some consistency for the Agency in the coming years, efforts need to be made to prepare the staff for accepting the responsibilities of higher graded positions. It will also become critical for PSA to retain existing employees for leadership and supervisory positions as higher level employees either exit the system or move to other agencies.

STRATEGIC ALIGNMENT

Current State of Strategic Alignment Initiatives

For many years after becoming a federal agency, strategic planning efforts were coordinated by the Office of Human Resources, Strategic Planning and Evaluation (HRSPAE), now the Office of Human Capital Management. HRSPAE staff worked with Agency executives to determine timelines for strategic planning updates, set planning meetings, coordinate stakeholder interviews and revise the Agency Strategic Plan. In addition, HRSPAE staff worked with other Offices throughout the Agency during the budget planning cycle to ensure that budget requests included

all necessary elements, to include human capital investments. In FY 2006, these responsibilities were transferred to the Office of Research, Analysis and Development (RAD).

As part of the strategic planning process, information is collected from external and internal stakeholders to assess the opportunities and threats facing the Agency. This information is then presented to a strategic planning committee, which uses it to identify strategic enhancement priorities for the next five years. PSA's Chief Human Capital Officer (CHCO) serves on this committee each planning cycle.

Copies of the Strategic Plan are maintained on the Agency's intranet and are easily accessible by all staff. Training for all employees and interns includes a half-day session focusing exclusively on the Agency Strategic Plan and how it supports the mission and goals of the organization. In the FY 2007 Annual Employee Survey (AES), 95% of PSA's employees responding to the survey indicated that they knew how their work related to the Agency's goals and priorities. They also reported that this information is regularly communicated by managers.

Although the Strategic Plan has input from all Offices, not enough has traditionally been done at an organizational level to ensure that the action plans or work plans of each clearly support Agency-wide strategic enhancements. Throughout this strategic planning cycle, senior management will work with all Offices within the Agency to ensure that strategic enhancement initiatives are clearly linked to Office work plans. In addition, most work plans in the Agency do little to cross organizational boundaries and typically do not address the human capital implications of activities. In order to ensure that all Offices are working together to achieve the human capital goals, RAD will include OHCM staff directly in all phases on the strategic planning process, to include interviews of stakeholders.

Strategic Alignment Human Capital Goals

Goal 1. Our Human Capital Strategy is aligned with our mission, goals, and organizational objectives, and integrated into our strategic plans, performance plans, and budgets.

Planned Activities

- Ensure that Office work plans are consistent with Agency's mission, goals, objectives and enhancements identified in the Strategic Plan;
- Develop a process for including human capital management issues in strategic planning activities.

Goal 2. We will develop and regularly update the Human Capital Plan to support our mission, goals and strategic objectives.

Planned Activities

- Revise the Human Capital Plan in tandem with Strategic Plan revisions.

Resources

PSA can conduct and track the planned activities under Goal 1 and Goal 2 with existing resources. The Director of RAD and the Director of OHCM will be responsible for including

these activities in the respective work plans and will provide a quarterly progress report to PSA executives.

LEADERSHIP AND KNOWLEDGE MANAGEMENT

Current State of Leadership and Knowledge Management Initiatives

PSA has a history of focusing on leadership development. In 2004, PSA piloted and subsequently adopted the Leadership Potential Program (LPP), a learning experience designed to develop leadership qualities in employees at the non-supervisory GS-11, 12 and 13 levels. The LPP includes both didactic off-site training, on-going on-the-job training supervised by senior staff, continuous learning assignments, and mentoring. The wide range of learning activities supports the application of newly developed skills in the work setting.

In September 2005, PSA implemented the Agency's Commitment to Continuous Learning Policy Statement. This policy outlined an integrated career development initiative which called for mandatory professional development hours. Employees agency-wide can use informal learning as well as on-the-job training to fulfill this requirement. Available training programs span the range from mandated courses (such as Ethics or IT security) to development of supervisory potential to professional development. In particular, career development programs are popular, generating widespread interest and commitment. One goal is to develop sufficient bench strength of employees to compete for higher-level positions when vacancies occur. In fact, 81% of PSA respondents to the 2007 Annual Employee Survey (AES) indicated that they are given a real opportunity to improve their skills in the organization.

Currently, PSA's annual needs assessment survey collects information on the training needs of all staff, to include supervisors. The Supervisory Development Program is being developed in response to the needs identified by supervisors' responses to this survey and will include a 360 degree assessment tool for all managers and supervisors. This assessment will yield valuable competency gap data and will be used to determine future developmental direction and succession planning.

In order to better document learning that has occurred and to comply with OPM's eHRI requirements, PSA has implemented a new Learning Management System. This system will simplify procedures for accessing, requesting and enrolling in training. This process will also support closer tracking and analysis of training requests.

Leadership and Knowledge Management Human Capital Goals

Goal 3. We will develop integrated succession management and leadership development programs that build needed leadership competencies and enhance knowledge transfer.

Planned Activities

- Implement and expand the Supervisory Development Program;
- Develop a plan for succession management;
- Identify and develop a method for regularly assessing and addressing essential competencies for supervisors.

Goal 4. We will systematically provide resources, programs, and tools for knowledge-sharing across the organization in support of mission accomplishment.

Planned Activities

- Fully implement the Learning Management System;
- Evaluate the effectiveness of Agency leaders in communicating Agency priorities and in cultivating a supportive work environment;
- Comply with merit system principles and related laws, rules and regulations governing the Leadership and Knowledge Management system.

Resources

PSA will be able to conduct and track many of the planned activities under Goal 3 and Goal 4 with existing resources. Contractual resources may be needed, however, to assist with the assessment of essential competencies for supervisors. The Director of T&CD and the Director of OHCM will be responsible for including these activities in the respective work plans and will provide a quarterly progress report to PSA executives.

RESULTS ORIENTED PERFORMANCE CULTURE

Current State of Results Oriented Performance Culture Initiatives

In preparation for becoming a federal agency, PSA developed performance plans for employees that linked performance directly to its mission and to the elements of mission-critical occupations that support PSA's four Critical Success Factors: assessment, supervision, treatment and partnerships. Managers and employees participated in working groups to develop these plans for all positions. The performance plan process was evaluated in FY 2003 under the Performance Plan Enhancement Project (PPEP), resulting in the revision of performance plans across the Agency. The revised plans have been in use since that time.

PSA's performance plan policy, published in June 2003, required that supervisor and manager plans include standards that hold them accountable for completing timely progress reviews and appraisals for subordinates.

According to the FY 2007 Annual Employee Survey (AES), almost half of PSA staff (49%) agreed that differences in performance are recognized in a meaningful way. Seventy-six percent (76%) agreed that their appraisal was a fair reflection of their performance. However, performance plans have not been revised or evaluated across the agency in the past several years.

In response, OHCM staff is currently working with managers of staff in mission-critical occupations to determine what changes are needed, if any, in performance plans to allow for meaningful distinctions in levels of performance.

Results Oriented Performance Culture Human Capital Goals

Goal 5. We maintain a diverse, results-oriented, high performing workforce, and have a Performance Management System that effectively differentiates between high and low performance and links individual/team/unit performance to organizational goals and desired results.

Planned Activities

- Review the Agency’s performance management system.
- Ensure that workforce performance is aligned to mission, goals and outcomes.
- Foster an environment of fairness, inclusiveness, and cooperation that focuses on mission accomplishment.
- Comply with merit system principles and related laws, rules and regulations governing the Results-Oriented Performance Culture System.

Resources

PSA will need to devote significant resources to Goal 5 should an extensive revision of the performance plans be indicated by the evaluation effort. OHCM staff will be committed to this effort along with contractual staff, once identified.

Talent Management

Current State of Talent Management Initiatives

The Training and Career Development Center utilizes a variety of methods across a wide range of topics to support skills-building and professional growth for PSA staff. PSA’s successful mentoring programs and leadership potential program are effective recruitment incentives as well as valuable retention tools. In particular, PSA’s Mentoring Program encourages the exchange of institutional knowledge between Agency leadership and line staff. Throughout their time at PSA, employees receive training not only for their current positions but for advancement opportunities as well. In fact, 80% of respondents to PSA’s AES indicated that supervisors/team leaders in the work unit supported employee development.

The Office of Human Capital Management works with various Offices throughout the Agency to ensure that quality candidates are identified for and placed in mission-critical positions. This requires that OHCM staff work closely with hiring authorities throughout the Agency to ensure that job analyses are accurate and complete. PSA’s employees agreed (85% of those who responded to the AES) that the workforce has the job-relevant knowledge and skills necessary to

accomplish organizational goals. The Agency has, however, taken this process one step further to ensure that the competencies required for positions are clearly identified.

In 2005, PSA conducted the DACUM (Developing a Curriculum) to identify critical occupations, develop job specialty competencies and develop a process to identify skill gaps. A focus group of high performers identified all tasks associated with each job group and organized those tasks into task bands. The group associated tasks with the knowledge, skills and abilities (KSAs) needed to perform duties in several mission-critical occupations. Participating offices were encouraged to use the information gathered to identify training and career development needs and to incorporate this information into employees' individual development plans.

Although the DACUM process proved useful in identifying mission-critical occupations and related competencies, it has not been repeated in several years. Since that time, caseloads have changed and operational units have been slightly restructured. The process of identifying competencies for mission-critical positions needs to be repeated to ensure that the knowledge, skills and abilities are still relevant.

Talent Management Human Capital Goals

Goal 6. We will recruit, hire and retain employees with the necessary skills for mission accomplishment.

Planned Activities

- Identify recruitment and retention barriers;
- Meet 45 day time-to-hire standard;
- Foster employee development;
- Develop a positive working environment.

Goal 7. We will identify and close competency gaps for mission-critical positions.

Planned Activities

- Identify, develop, and administer a method for regularly assessing essential competencies for mission-critical staff;
- Comply with merit system principles and related laws, rules and regulations governing the Talent Management System.

Resources

PSA will be able to conduct and track the majority of planned activities under Goal 6 and Goal 7 with existing resources. Contractual resources will be needed, however, to assist in the assessment of essential competencies for mission-critical staff. The Director of T&CD and the Director of OHCM will be responsible for including these activities in the respective work plans and will provide a quarterly progress report to PSA executives.

Accountability

Current State of Accountability Initiatives

PSA submitted its first GPRA-related Performance Plan in FY 2000. In the years since that first submission, PSA has refined its outcomes, Critical Success Factors and performance measures, adding additional measures to reflect significant programmatic changes, and has established baselines and targets.

A variety of methods are used to collect performance measurement data. First, data is available through PSA's automated PRISM system, which provides information on the two key outcomes. Second, manual data is collected on a weekly (or, in some cases, monthly) basis from each of the supervision and treatment units. The manual data supports many of the performance measures and provides additional data of interest to the supervisors in the units. In addition, PSA regularly accesses the databases of other law enforcement agencies for rearrest data and the D.C. Superior Court and the U.S. District Court for failure to appear data. RAD serves as the central repository for this information and routinely compiles the information, analyzes the data and performance measurement information (and other information as appropriate) and transmits it back to the units and to executive leadership on a quarterly basis (or more often if needed). That information can be and is frequently used to make mid-course operational corrections and to guide future policy and procedure decisions.

This Plan is the first step in developing a framework for analyzing and responding to critical human capital management needs at PSA, similar to what is currently done with performance measurement information. Over the course of the next five years, OHCM and other PSA Offices will revise this Plan to respond to those needs and to develop the framework for making sound human resource decisions. Extra efforts will be taken to ensure that human capital strategic objectives are those that best respond to the needs of all offices agency-wide.

PSA will continue to streamline its approach for responding to OPM and EEOC annual reporting requirements. Improvements will be made to existing tracking and reporting methods in order to simplify the data collection process. This will provide OHCM staff with more time to perform the associated data analysis. In addition, OHCM will explore various methods of presenting this information to PSA management in order to support a data-driven decision making process.

Accountability Human Capital Goals

Goal 8. Our Human Capital decisions are guided by a documented data-drive, results-oriented planning and accountability system.

Goal 9. We will maintain an agency-wide system for ensuring accountability in Human Capital.

Planned Activities

- Identify human capital data that is needed on a regular basis to support reporting requirements and to inform management;

- Develop a process for regularly extracting, synthesizing, and analyzing human capital data;
- Institutionalize the process for reporting human capital data to executive management and to other PSA employees.

Resources

PSA will be able to conduct and track the planned activities under Goal 8 and Goal 9 with existing resources. The Director of OHCM will be responsible for including these activities in the Office work plan and will provide a quarterly progress report to PSA executives.

HUMAN CAPITAL ACTION PLAN

HCAAF System: Strategic Alignment

System Standard: Agency human capital management strategies are aligned with mission, goals, and organizational objectives and integrated into its strategic plans, performance plans, and budgets.

Human Capital Goals

Goal 1. Our Human Capital Strategy is aligned with our mission, goals, and organizational objectives, and integrated into our strategic plans, performance plans, and budgets.

Goal 2. We will develop and regularly update the Human Capital Plan to support our mission, goals and strategic objectives.

Planned Activities	Result	Milestones	Timeframe	Responsible Party(ies)
Ensure that Office work plans are consistent with Agency’s mission, goals, objectives and enhancements as identified in the Strategic Plan.	All Agency work focuses on achieving Agency objectives and strategic enhancements.	Review of Office work plans to ensure conformance with Strategic Plan and inclusion in SES performance plans;	August 1 of each year	Agency Director and Deputy Director; Office of Human Capital management
		Work plans approved.	September 1 of each year	
Develop process for including human capital management issues in strategic planning activities. Revise the Human Capital Plan in tandem with Strategic Plan revisions.	Human capital management issues are addressed in the revised Strategic Plan; strategic planning enhancements are addressed in the revised Human Capital Plan.	Plan for update of Agency Strategic Plan to include human capital planning developed;	October 1, 2010	Office of Research, Analysis and Development; Office of Human Capital Management
		Stakeholder interviews completed;	April 1, 2011	
		Strategic enhancements identified;	July 1, 2011	
		Revised version of Agency Strategic Plan that also addresses human capital issues and addresses activities and investments completed;	September 1, 2011	
Human Capital Plan updated to include elements of Strategic Plan.	November 1, 2011 as needed to conform to Strategic Plan			

HCAAF System: Leadership and Knowledge Management

System Standard: Agency leaders and managers effectively manage people, ensure continuity of leadership, and sustain a learning environment that drives continuous improvement in performance, and provide a means to share critical knowledge across the organization.

Human Capital Goals

Goal 3. We will develop integrated succession management and leadership development programs that build needed leadership competencies and enhance knowledge transfer.

Goal 4. We will systematically provide resources, programs, and tools for knowledge-sharing across the organization in support of mission accomplishment.

Planned Activities	Result	Milestones	Timeframe	Responsible Party(ies)
Implement the Supervisory Development Program.	Pool of staff with management skills is expanded.	Completed Supervisory Development Program curriculum	September 30, 2009	Office of Training and Career Development
		Supervisory Development Program is launched.	TBD in 2009	
Develop a plan for succession management.		Review succession plans of other, similar agencies.	August 1, 2009	Office of Human Capital Management
		Meet with agency management to determine best method for succession planning;	January 1, 2010	
		Develop succession plan based on input from all levels of the organization.	January 1, 2011	
Identify and develop a method for regularly assessing and addressing essential competencies for supervisors. ²	Supervisory competency gaps are closed.	Tool identified to measure competency gaps;	December 31, 2008	Office of Human Capital Management; Training and Career Development Center; Agency management.
		Tool administered to Agency supervisors and leaders;	May 1, 2009	
		Competency gap data analyzed;	August 1, 2009	
		Results of competency gap analysis	November 1, 2009	

² Required Leadership and Knowledge Management System outcome metric.

Planned Activities	Result	Milestones	Timeframe	Responsible Party(ies)
		routed to Agency management;		
		Strategy developed to address competency gaps;	April 1, 2010	
		Submit competency gap calculations to OPM as required.	December 31 of each year	
Fully implement the Learning Management System.	Staff access to training resources is expanded and improved.	Post-implementation assessment of the Learning Management System.	March 30, 2009	Training and Career Development Center
Evaluate the effectiveness of Agency leaders in communicating Agency priorities and in cultivating a supportive work environment. ³	Managers and employees are aware of the Agency's goals and priorities.	Review Agency OPM survey results;	March 1 of each year	Office of Human Capital Management
	Employees are highly satisfied with the performance of the Agency's top leaders.	Analyze leadership and knowledge management index ⁴ results;	June 1 of each year	
		Communicate results of management index results to management;	August 1 of each year	
		Strategy developed to address leadership and knowledge management deficiencies.	November 1 of each year	
		Submit leadership and knowledge management index results to OPM as required.	December 31 of each year	
Comply with merit system principles and related laws, rules and regulations governing the Leadership and Knowledge Management system. ⁵	No deficiencies are identified.	Results of OPM audit.	As scheduled by OPM	Office of Personnel Management

Leadership and Knowledge Management Index Questions:

- I have trust and confidence in my supervisor.
- In my organizations, leaders generate high levels of motivation and commitment in the workforce.
- I have a high level of respect for my organization's senior leaders.
- Overall, how good a job do you feel is being done by your immediate supervisor/team leader?
- Managers/supervisors/team leaders work well with employees of different backgrounds.
- Managers review and evaluate the organization's progress toward

³ Required Leadership and Knowledge Management System outcome metric.

⁴ Leadership and knowledge management index questions are prescribed by OPM.

⁵ Required Leadership and Knowledge Management System outcome metric.

- Managers communicate the goals and priorities of the organization.
- My organization has prepared employees for potential security threats.
- How satisfied are you with the policies and practices of your senior leaders?

meeting its goals and objectives.

- My workload is reasonable.
- How satisfied are you with the information you receive from management on what's going on in your organization?
- Employees are protected from health and safety hazards on the job.

HCAAF System: Results Oriented Performance Culture

System Standard: The agency has a diverse, results-oriented, high-performing workforce and a performance management system that differentiates between high and low levels of performance and links individual/team/unit performance to organizational goals and desired results effectively.

Human Capital Goals

Goal 5. We maintain a diverse, results-oriented, high performing workforce, and have a Performance Management System that effectively differentiates between high and low performance and links individual/team/unit performance to organizational goals and desired results.

Planned Activities	Result	Milestones	Timeframe	Responsible Party(ies)
Review the Agency’s performance management system. ⁶	Performance plans include credible measures and clearly differentiate between levels of performance.	Develop plan for administering the Performance Appraisal Assessment Tool (PAAT) ⁷ ;	October 1, 2010	Office of Human Capital Management
		Administer the PAAT;	April 1, 2011	
		Analyze PAAT data;	June 1, 2011	
		Report results of PAAT to management;	September 1, 2011	
		Formulate recommendations, if necessary, for revising performance plans;	November 1, 2011	
		Submit workforce performance appraisal data to OPM as required.	December 31 of each year	

⁶ Required Results-Oriented Performance Culture System outcome metric.

⁷ PSA’s performance appraisal system will undergo minor changes to element ratings as of August, 2009. Evaluation of the rating system should not occur until one year of data is available.

Planned Activities	Result	Milestones	Timeframe	Responsible Party(ies)
Ensure that workforce performance is aligned to mission, goals and outcomes. ⁸	Mission-focused performance appraisal system.	Submit SES performance/organizational performance data to OPM as required.	December 31 of each year	Office of Human Capital Management
Foster an environment of fairness, inclusiveness, and cooperation that focuses on mission accomplishment. ⁹	An empowered staff work cooperatively to accomplish the Agency's mission.	Review Agency OPM survey results;	March 1 of each year	Office of Human Capital Management
		Analyze results-oriented performance culture index ¹⁰ results;	June 1 of each year	
		Communicate results of index results to management;	August 1 of each year	
		Strategy developed to address identified deficiencies.	November 1 of each year	
		Submit results-oriented performance culture index results to OPM as required.	December 31 of each year	
Comply with merit system principles and related laws, rules and regulations governing Results-Oriented Performance Culture System. ¹¹	No deficiencies are identified.	Results of OPM audit.	As scheduled by OPM	Office of Personnel Management

Results-Oriented Performance Culture Index Questions:

- The people I work with cooperate to get the job done.
- Physical conditions allow employees to perform their jobs well.
- In my work unit, steps are taken to deal with a poor performer who cannot or will not improve.
- Creativity and innovation are rewarded.
- Discussions with my supervisor/team leaders about my performance are worthwhile.
- Employees have a feeling of personal empowerment with respect to work processes.
- How satisfied are you with the recognition you receive for doing a good job?
- I know how my work relates to the Agency's goals and priorities.
- Promotions in my work unit are based on merit.
- In my work unit, differences in performance are recognized in a meaningful way.
- My performance appraisal is a fair reflection of my performance.
- My supervisor supports my need to balance work and family issues.
- Pay raises depend on how well employees perform their jobs.

⁸ Required Results-Oriented Performance Culture System outcome metric.

⁹ Required Results-Oriented Performance Culture System outcome metric.

¹⁰ Results-oriented performance culture index questions are prescribed by OPM.

¹¹ Required Results-Oriented Performance Culture System outcome metric.

HCAAF System: Talent Management

System Standard: The agency has closed skills, knowledge, and competency gaps/deficiencies in mission-critical occupations, and has made meaningful progress toward closing skills, knowledge, and competency gaps/deficiencies in all occupations used in the agency.

Human Capital Goals

Goal 6. We will recruit, hire and retain employees with the necessary skills for mission accomplishment.

Goal 7. We will identify and close competency gaps for mission-critical positions.

Planned Activities	Result	Milestones	Timeframe	Responsible Party(ies)
Identify recruitment and retention barriers.	Highly qualified candidates apply for Agency vacancies, are hired and retained.	Collect demographic data needed for Report on Hispanic Employment, Federal Equal Opportunity Recruitment Program, MD-715 and Disabled Veterans Affirmative Action Program;	September 1 of each year	Office of Human Capital Management; Office of Research, Analysis and Development; Program offices
		Review data for recruitment barriers and identify;	November 1 of each year	
		Submit reports as required;	As required	
		Develop agency-wide exit interview format;	February 1, 2009	
		Administer agency-wide exit interviews;	On-going as of March 1, 2009	
		Evaluate results of exit interviews;	August 1 of each year	
		Strategy developed to address barriers to retention.	December 31 of each year	

Planned Activities	Result	Milestones	Timeframe	Responsible Party(ies)
Meet 45 day time-to-hire standard.	Vacancies are filled quickly.	Hires are made within 45 days of vacancy announcement closing.	Quarterly data submitted to OPM	Office of Human Capital Management
Foster employee development. ¹²	Staff have the skills necessary to accomplish organizational goals.	Review Agency OPM survey results;	March 1 of each year	Office of Human Capital Management; Training and Career Development Center
		Analyze talent management index ¹³ results;	June 1 of each year	
		Communicate results of talent management index to management;	August 1 of each year	
		Strategy developed to address identified deficiencies;	November 1 of each year	
		Submit talent management index results to OPM as required.	December 31 of each year	
Develop a positive working environment. ¹⁴	Staff are highly satisfied with the organization.	Review Agency OPM survey results;	March 1 of each year	Office of Human Capital Management
		Analyze job satisfaction index ¹⁵ results;	June 1 of each year	
		Communicate results of job satisfaction index to management;	August 1 of each year	
		Strategy developed to address identified deficiencies;	November 1 of each year	
		Submit job satisfaction index results to OPM as required.	December 31 of each year	

¹² Required Talent Management System outcome metric.

¹³ Talent management index questions are prescribed by OPM.

¹⁴ Required Talent Management System outcome metric.

¹⁵ Job satisfaction index questions are prescribed by OPM.

Planned Activities	Result	Milestones	Timeframe	Responsible Party(ies)
Identify and develop a method for regularly assessing and addressing essential competencies for mission-critical occupations. ¹⁶	Competency gaps for mission-critical occupations are closed.	Tool identified to measure essential competencies for mission-critical occupations.	December 1, 2009	Office of Human Capital Management; Training and Career Development Center; Agency management
		Tool administered to identify essential competencies for mission-critical occupations.	July 1, 2010	
		Tool identified to measure competency gaps.	September 1, 2010	
		Tool administered to mission-critical staff;	March 1, 2011	
		Competency gap data analyzed;	June 1, 2011	
		Results of competency gap analysis routed to Agency management;	August 1, 2011	
		Strategy developed to address competency gaps;	November 1, 2011	
		Submit competency gap calculations to OPM as required.	December 31 of each year beginning in 2011	
Comply with merit system principles and related laws, rules and regulations governing Talent Management System. ¹⁷	No deficiencies are identified.	Results of OPM audit.	As scheduled by OPM	Office of Personnel Management

Talent Management Index Questions:

- I am given a real opportunity to improve my skills in my organization.
- My work unit is able to recruit people with the right skills.
- My talents are well used in the workplace.
- How satisfied are you with the training you receive for your present job?
- The workforce has the job-relevant knowledge and skills necessary to accomplish organizational goals.
- Supervisors/team leaders in my work unit support employee development.
- My training needs are assessed.

Job Satisfaction Index Questions:

¹⁶ Required Talent Management System outcome metric.

¹⁷ Required Talent Management System outcome metric.

- My work gives me a feeling of personal accomplishment.
- The work I do is important.
- Considering everything, how satisfied are you with your pay?
- How satisfied are you with your opportunity to get a better job in your organization?

- I like the kind of work I do.
- How satisfied are you with your involvement in decisions that affect your work?
- Considering everything, how satisfied are you with your job?

HCAAF System: Accountability

System Standard: Agency human capital management decisions are guided by a data-driven, results-oriented planning and accountability system.

Results of the agency accountability system must inform the development of the human capital goals and objectives, in conjunction with the agency’s strategic planning and performance budgets.

Effective application of the accountability system contributes to agencies’ practice of effective human capital management in accordance with the merit system principles and in compliance with Federal laws, rules, and regulations.

Human Capital Goals

Goal 8. Our Human Capital decisions are guided by documented data-driven, results-oriented planning and accountability system.

Goal 9. We will maintain an agency-wide system for ensuring accountability in Human Capital

Planned Activities	Result	Milestones	Timeframe	Responsible Party(ies)
Identify human capital data that is needed on a regular basis to support reporting requirements and to inform management.	Human capital data is available to inform the decision-making process.	Data elements and sources are identified for all required reports.	December 31, 2009	Office of Human Capital management
Develop a process for regularly extracting, synthesizing, and analyzing data.	Human capital data is easily accessed and easily interpreted.	Standardized reports are developed.	December 31, 2010	Office of Human Capital Management
		Reporting methods identified.	December 31, 2010	
Institutionalize the process for reporting data to executive management and to other PSA employees.	Management and staff are regularly informed of the “state of the workforce.”	Human Capital data is presented to the Meeting of the Office Directors on a quarterly basis;	Quarterly after January 1, 2011	Office of Human Capital Management

Planned Activities	Result	Milestones	Timeframe	Responsible Party(ies)
		Data and reports are made available to staff through the infoweb and the Advocate.	Quarterly after January 1, 2011	

