



**Human Capital Strategic Plan
Pretrial Services Agency
for the District of Columbia**

FY 2012 – FY 2016

**Prepared and Maintained By:
Office of Human Capital Management
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MESSAGE FROM CHIEF HUMAN CAPITAL OFFICER

I am pleased to present the Pretrial Services Agency for the District of Columbia's (PSA) 2012 to 2016 Human Capital Plan. This document provides the blueprint for how our Agency will manage human capital in the coming years.

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 as required. 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 four years, PSA will continue to improve its identification of defendants who pose a higher risk of pretrial failure and enhance its supervision and oversight of these defendants. PSA will also continue its work with local justice and community partners to expand services and support for persons with substance dependence and mental health needs and to broaden diversion opportunities for appropriate defendants. In addition, the Agency will assume new strategic enhancements to explore supervision and mentoring techniques to reduce recidivism among youthful defendants, create an in-house advisory committee to study and identify promising emerging technologies in mission-critical areas, and improve evidence-based risk assessment, supervision, and treatment practices. Because our objectives over the next four years will require that we expand existing resources to reach populations with special needs, 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 was demonstrated in the Agency's FY 2008 – 2013 Strategic Plan, which included an enhancement focusing specifically on the development of human capital. This enhancement was identified as an Agency-wide priority and served to focus efforts more tightly on the human capital elements that directly support our mission. In fact, the full implementation of the Human Capital Assessment and Accountability Framework was included as one of the Agency's top four "high priority goals" in FY 2011 and the Agency has routinely been reporting to OMB on our human capital management efforts. The Agency's 2012 – 2016 Strategic Plan continues to refer to the staff as PSA's greatest asset and as the foundation for any successes.

Like our 2012- 2016 Strategic Plan, this Human Capital Plan will change as we are faced with new and exciting challenges and opportunities. To adequately respond, strategic and human capital planning efforts have been 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,



Ronald S. Brown
Director, Office of Human Capital Management

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UNDERSTANDING THE AGENCY'S MISSION

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 45 years and is a widely recognized national leader in the pretrial field.

Pretrial Services Agency for the District of Columbia Mission

PSA's mission is to promote pretrial justice and community safety by assisting judicial officers in making appropriate release decisions, and by providing supervision and pro-social interventions to defendants released into the community.

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, reducing the failure to appear rate during the period of pretrial release and increasing the percentage of defendants on pretrial release without revocation due to noncompliance.

Outcome 1	Outcome 2	Outcome 3
Rearrest rate for violent and drug crimes during the period of pretrial release.	Failure to appear rate during the period of pretrial release.	Percentage of defendants who remain on release at the conclusion of their pretrial status.

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 District of Columbia and Federal bail statutes mandate the least restrictive release consistent with public safety and return to court and require pretrial detention only when no condition or combination of conditions can reasonably address the defendant's 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 internal and external stakeholders to identify priorities for the coming four years. Interviews were conducted with representatives from twelve federal or District of Columbia agencies, with defendants under supervision and with employees to identify environmental changes, strengths, weaknesses and challenges. Office of Human Capital Management (OHCM) staff participated in this process to ensure that human capital issues were addressed in discussions with stakeholders and that activities associated with this revised Human Capital Plan fully support the Agency's strategic direction for the next four years.

Agency-wide strategic enhancements were developed for the FY 2012 – 2016 Agency Strategic Plan based on internal expertise and the feedback received from internal and external stakeholders. These enhancements include:

- Finalizing and implementing a validated risk assessment instrument to better target supervision and treatment resources;
- Exploring evidence-based supervision techniques to reduce recidivism among youthful defendants;
- Improving monitoring of dually supervised defendants to improve communication between agencies and prevent duplication of supervision and/or services;
- Creating a Technology Advisory Committee to assess and recommend emerging technologies in mission-critical and work management areas;
- Investigating effective supervision options for special populations;
- Promoting better collaboration with the Addiction Prevention and Recovery Administration and the Department of Mental Health to improve community-based substance dependence and mental health services and support;
- Enhancing agency-wide quality control and quality assurance efforts;
- Incorporating evidence-based practices.

PSA's Human Capital Plan has been developed specifically to assist the Agency in continuing to achieve its mission and in meeting each of the enhancements identified during the strategic planning process.

HUMAN CAPITAL MANAGEMENT

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."

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 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 supports PSA's **core values**:

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 and the associated Workforce Plan support 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 revised 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 the three Agency outcomes and the four operational goals as listed in the previous section.

Goal achievement is tracked in a variety of ways. First, achievement of milestones is tracked through OHCM's Work Plan (which serves as the action planning document for the Workforce Plan), which is submitted on a yearly basis to the Agency Director and Deputy Director. Second, performance indicators have been developed for each HCAAF goal and the data is regularly collected and reported to the Agency's executive management. Third, OPM's existing data requirements (as in the HCAAF reporting requirements, the yearly employee survey administered either by the Agency or by OPM) and the data requirements of other agencies (such as the Equal Employment Opportunity Commission) are reported in the yearly Human Capital Management Report submitted to OPM. All information and data is retained by OHCM, is regularly reported to the Agency's executive management, and is utilized to determine the need for programmatic corrections 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. 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.

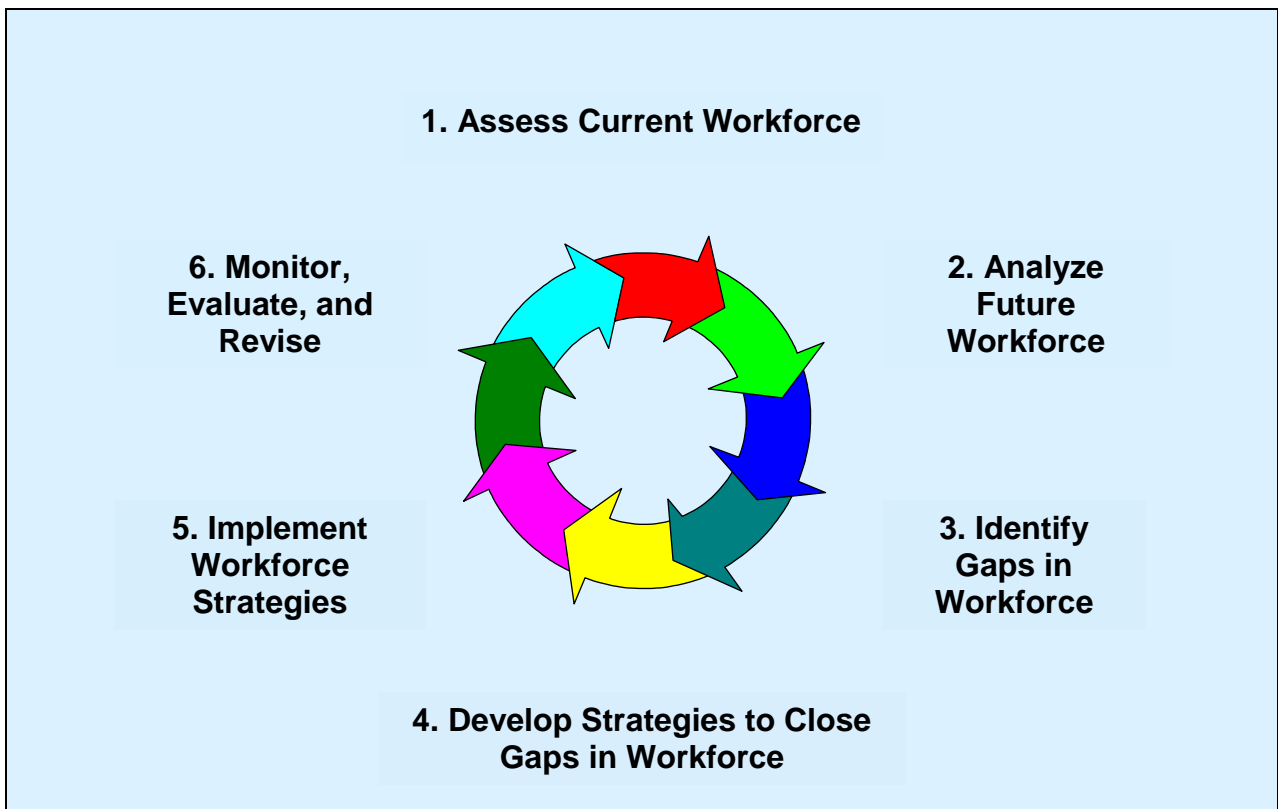
- STEP 2: **Analyze Future Workforce.** Identify the future workforce needed to effectively and efficiently accomplish the Agency's mission, goals, objectives and enhancements as established in PSA's Strategic Plan.

- 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.



PSA’s Workforce Plan (attached) clearly articulates human capital goals, the strategies the Agency intends to employ in order to achieve those objectives, implementation schedules, and methods of evaluation. The Plan, which is linked to the five HCAAF systems, serves as the foundation for OHCM’s Work Plan, which is submitted to the Agency’s Director and Deputy Director each year for review and approval and serves as the blueprint for all human capital activities throughout the year.

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, over five years ago, PSA 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, over time, organizational changes and changes in position responsibilities required that this process be repeated (Step 6). In September of 2010, the Agency once again tackled the competency identification and development process, this time with a focus on developing a more rigorous assessment tool to facilitate the measurement of competency gaps. As a result of this project, competencies for mission-critical positions have been identified and an assessment tool has been developed that can be administered by supervisors, all of whom have been trained on the process. The initial assessments have been conducted (Step 1) and information about future workforce needs has been collected through this planning process (Step 2). Managers and supervisors of mission-critical employees have set goals (Step 2) and competency levels have been compared to these goals (Step 3). Over the next year (and on an on-going basis in subsequent years), strategies will be developed and implemented to address those gaps (Step 4 and Step 5). As competency data is collected in future years and is compared to the goals, the strategies developed to address competency gaps will be evaluated (Step 6). This cycle will repeat each year.

Similarly, the Supervisory Development Program was established based on feedback from Agency managers and supervisors. This project incorporated Steps 1 – 5. This program is

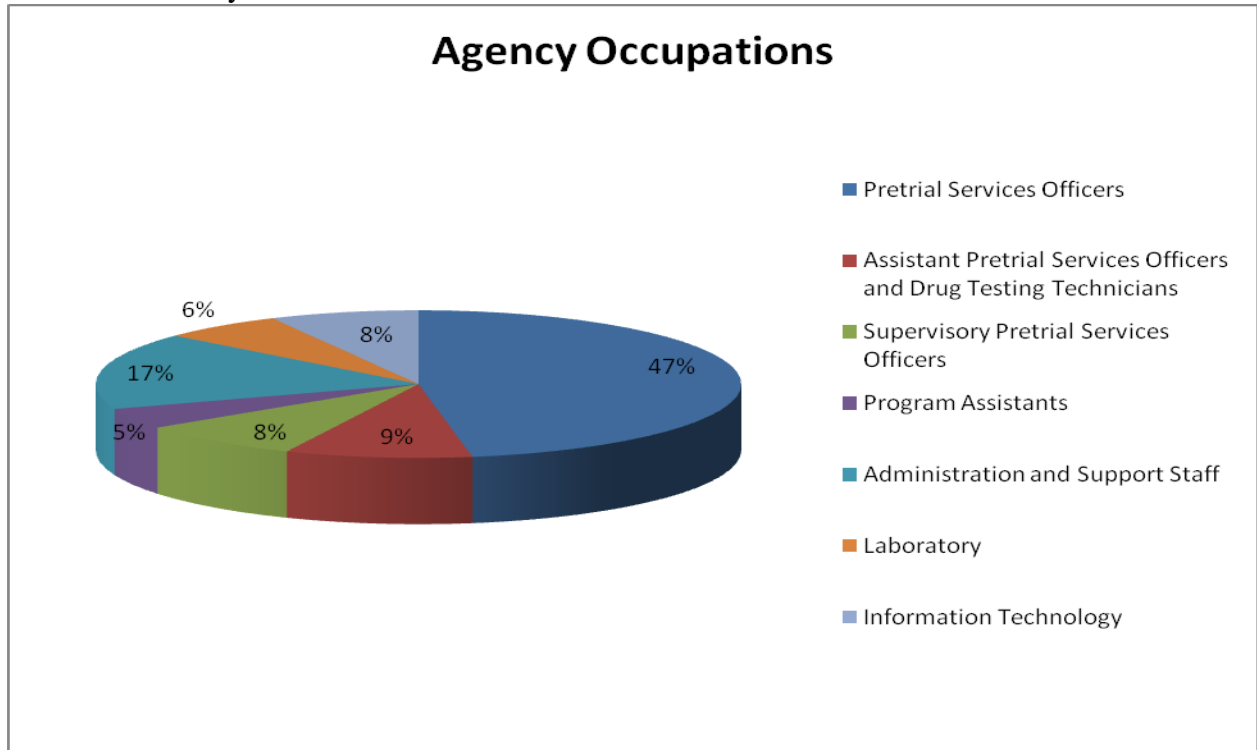
revisited and evaluated each year to determine the extent to which it is supporting competency development for supervisory staff (Step 6). Although the individual steps are not delineated in this Plan, each human capital planning activity follows this logical sequence.

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 45 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 ten 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, but are not limited to, 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.



All PSA’s mission critical PSOs have similar knowledge, skill 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.

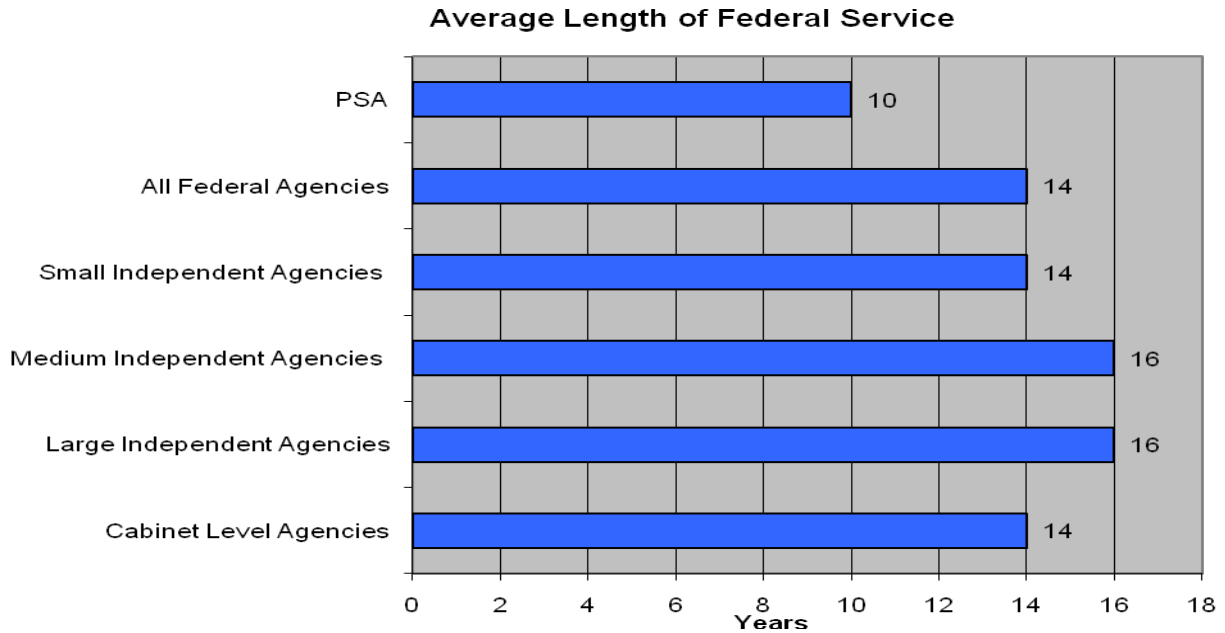
Drug Testing Technicians, who are also assigned to the Drug Testing and Compliance Unit, are required to have:

- 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.

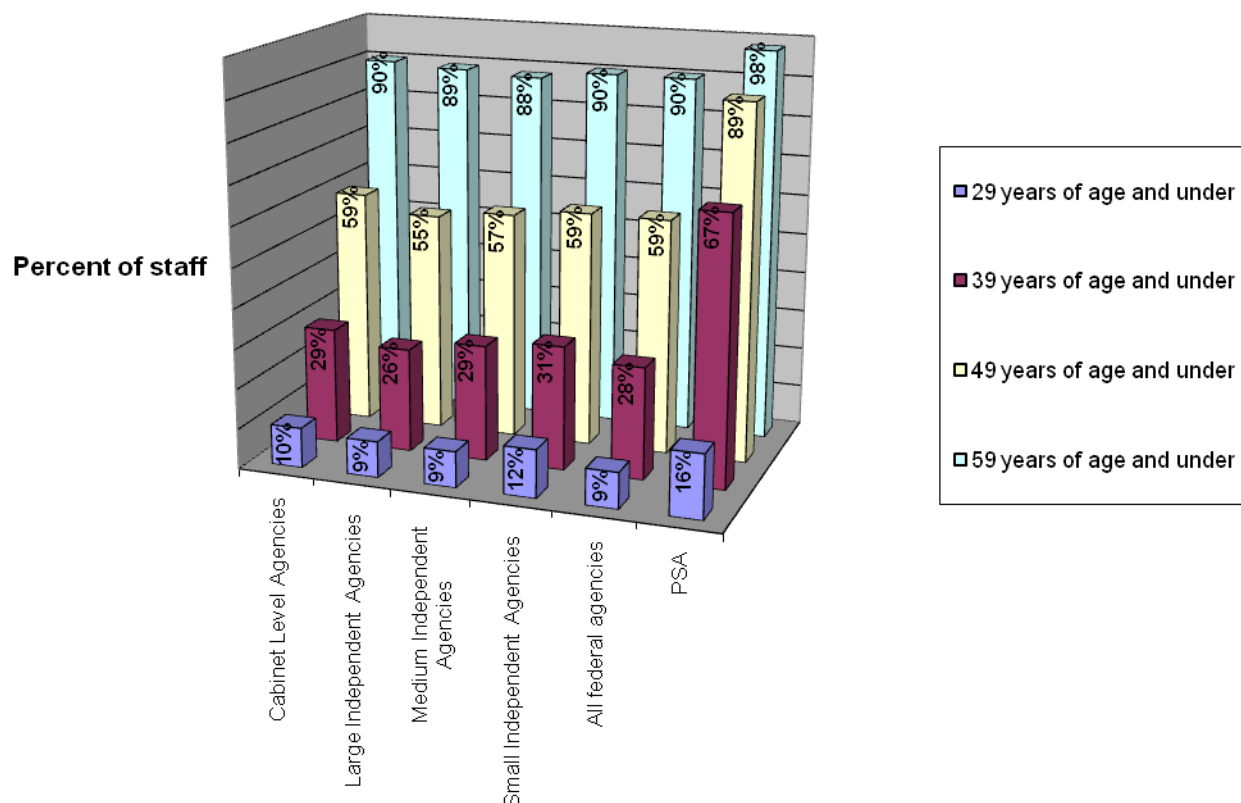


Approximately 22% of the staff are at Grade 9 or below. As expected, however, as the grades increase, so does the years of federal service:

- Staff at GS 13 and GS 14 average just under 14 years of federal service;
- Staff at GS 15 average 15 years of federal service;
- SES staff average 29 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 1 to 23 years for staff at the GS 15 level. Almost 25% of staff at this level, however, 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, significant focus is placed on preparing the staff for the responsibilities of higher graded positions. It is 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 (HRSPA), now the Office of Human Capital Management. HRSPA 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, HRSPA 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 (which was completed in February 2012), information was collected from external and internal stakeholders to assess the environment and to identify the opportunities and threats facing the Agency. This information was then presented to agency management, which used it to identify strategic priorities for the next four fiscal years. OHCM was a key participant throughout the process, from developing the interview questions to conducting stakeholder interviews to identifying strategic enhancements.

Copies of the Strategic Plan are maintained on the Agency's intranet and public website 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 2011 Employee Viewpoint Survey (AES), 97% 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 previous strategic plans had input from all Offices, not enough was traditionally done at an organizational level to ensure that the action plans or work plans of each clearly supported Agency-wide strategic enhancements. Over the last few years, senior management worked with all Offices within the Agency to ensure that strategic enhancement initiatives and/or human capital goals were clearly linked to Office work plans. In addition, efforts were made to ensure that work plans crossed intra-organizational boundaries, clearly showing all individuals and units/programs that have responsibility for achieving each goal. Over the next strategic cycle, PSA intends to perfect the alignment between strategic enhancements, the Agency mission and office/program/unit activities. This is particularly important as the Agency works to maximize scarce resource and improve efficiency across all Programs and Offices.

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;
- Address human capital management issues in strategic planning activities.

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

Planned Activities

- Revise the Human Capital Plan in tandem with Strategic Plan revisions;
- Revise human capital management policies and processes as needed to maintain relevance and to ensure that they support the Agency's short and long-term goals.

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 biannual 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 and leadership development programs are popular, generating widespread interest and commitment. Over the last few years, PSA has made extensive use of the range of leadership programs offered by other federal agencies to include OPM's LEAD programs. The goal is to develop sufficient bench strength of employees to compete for higher-level positions when vacancies occur. In fact, 80% of PSA respondents to the 2011 Employee Viewpoint Survey (EVS) indicated that they are given a real opportunity to improve their skills in the organization.

PSA's annual training needs assessment surveys collect information on the training needs of all staff, to include supervisors. This information, as well as the information provided by the competency gap assessment for mission-critical positions (see the section on Talent Management), is used to develop new training programs and to access additional external training resources to meet the needs of the Agency.

In order to better document learning that has occurred and to comply with OPM's eHRI requirements, PSA implemented a Learning Management System. This system simplified procedures for accessing, requesting and enrolling in training. Over the next strategic cycle, PSA's Training and Career Development Center staff will learn to fully utilize all aspects of the LMS and to develop innovative methods of delivering training content and information. This will be increasingly important as PSA shares information about best practices and is required to develop and implement training programs on innovative service delivery or meeting the needs of special populations.

Leadership and Knowledge Management Human Capital Goals

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

Planned Activities

- Fully utilize the Supervisory Development Program;
- Regularly assess and address 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. 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 the 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. PSA's performance plan policy was also changed to require that supervisor and manager plans include standards that hold them accountable for completing timely progress reviews and appraisals for subordinates.

While many of PSA staff agree that differences in performance are recognized in a meaningful way (46% according to the FY 2010 EVS and 50% in FY 2008), PSA executive management began to focus on improving the Agency's ability to make clear distinctions in levels of

performance. In response, in FY 2010, PSA reviewed performance plans across the Agency and revised them as needed, putting new standards into place at the beginning of the performance cycle in August 2010.

The revision of the critical elements and standards in performance plans was the first step in PSA's revision of its performance management system. In FY 2011, PSA completed OPM's Performance Appraisal Assessment Tool (PAAT) and is awaiting the results of this assessment. Over the next strategic planning cycle, revisions to the Agency's performance management system will be made as needed. In addition, PSA will monitor the results of the EVS on performance management questions and factor in the perspective of employees in identifying and implementing changes.

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

- Evaluate and revise as needed 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

Over the next few years, PSA will devote significant resources to revising PSA's performance management system should the evaluation indicate that such a revision is needed.

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 EVS in 2011 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 (84% of those who responded to the EVS) 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 performing Agency staff 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, changes in caseloads and restructuring of operational units required that this process be repeated to ensure that the knowledge, skills and abilities were still relevant. In FY 2011, PSA launched a project to identify job-related competencies for mission critical positions throughout the Agency. Skilled facilitators met with Subject Matter Experts (SMEs—employees in the positions) to identify necessary competencies and the associated behaviors. Competency models were developed based on these meetings and the final product was vetted and approved by Agency supervisors and managers. Assessment tools were developed to measure competencies for each mission-critical employee and to subsequently provide the information supervisors need in crafting individualized developmental activities. The data provided by the assessments will also feed the Agency-wide training program, allowing PSA to target "gaps" in competencies. This assessment tool was administered for the first time in early FY 2012. In subsequent years, skills gaps will be monitored to ensure that mission-critical employees have the competencies needed in order to perform core functions.

Talent Management Human Capital Goals

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

Planned Activities

- Continue to scan the environment to identify and eliminate recruitment and retention barriers;
- Meet 80 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

- Administer assessment tool to measure essential competencies for mission-critical staff;
- Identify competency gaps for each mission-critical position;
- Address gaps through individualized development plans and/or Agency-wide training or development programs;
- Comply with merit system principles and related laws, rules and regulations governing the Talent Management System.

Resources

PSA can conduct and track the majority of planned activities under Goal 6 and Goal 7 with existing resources. Supervisors of mission-critical employees, the Director of T&CD and the Director of OHCM will be responsible for including these activities in the respective work plans.

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 continues to refine its outcomes, Critical Success Factors and performance measures, adding additional measures to reflect significant programmatic changes, and establishing baselines and targets.

A variety of methods are used to collect performance measurement data. First, data are available through PSA's automated PRISM system, which provides information on the three key outcomes and all but two of the Agency's eleven performance measures. Second, manual data is collected weekly (or, in some cases, monthly) from each of the supervision and treatment units on the remaining performance measures and other mission critical factors. Additional data of interest are provided to the supervisors in the units and the Agency's executive staff. 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.

PSA's first Human Capital Plan was 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. Data are routinely collected and provided to the Chief Human Capital Officer for presentation to the Agency's executive staff. In addition, OHCM's annual Work Plan (which is submitted to the Director and Deputy Director each year)

has been modified to reflect goals, objectives and activities as articulated in the Human Capital Plan along with the associated Workforce Plan. Data on performance indicators are included in the Work Plan to ensure on-going quality assurance and accountability.

Over the course of the next four years, OHCM will continue to develop the framework for making sound human resource decisions. Extra effort 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 continue to be made to existing tracking and reporting methods in order to ensure that data meets the needs of consumers and supports 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

- Regularly extract, synthesize, analyze and report human capital management, human resources and other data to ensure compliance with regulations and internal policies and to inform management.

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 WORKFORCE PLAN

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

Planned Activities	Objective	Milestones	Timeframe	Responsible Party(ies)
Ensure that Office work plans are consistent with Agency's mission, goals, objectives and enhancements as identified in the Agency's Strategic Plan and in the Human Capital 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;	September 1 of each year	Agency Director and Deputy Director; Director, Office of Research, Analysis and Development
		Work plans approved.	October 1 of each year	
Address 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 and Human Capital Plan developed;	January 1, 2015	Office of Research, Analysis and Development; Office of Human Capital Management
		Stakeholder interviews completed;	July 1, 2015	
		Strategic enhancements identified;	September 1, 2015	
		Revised version of Agency Strategic Plan and Human Capital Plan completed and submitted to Executive Committee for review.	February 1, 2016	

Planned Activities	Objective	Milestones	Timeframe	Responsible Party(ies)
Revise human capital management policies and processes as needed to maintain relevance and to ensure that they support the Agency's short and long-term goals.	Human capital management policies are consistent with the Collective Bargaining Agreement and respond to the Agency's needs.	Initiate and hold meetings with indexers to plan for electronic conversion of employee files.	October 1, 2011	Office of Human Capital Management
	Human capital information is preserved in the event of an emergency.	CBA is reviewed to identify changes needed in Agency policies	July 1, 2012	
		Six policies are revised to ensure conformance with renegotiated CBA;	December 1, 2012	
		Revised policies are routed for final approval to Agency Director.	March 1, 2013	
		Full employee file conversion.	TBD	
STRATEGIC ALIGNMENT PERFORMANCE INDICATORS				
INDICATOR			Source	
Work units are able to recruit people with the right skills.			Positive responses to EVS question	
Managers actively participate participated in the planning process to fill positions.			Manager survey	
The Office of Human Capital Management helps achieve hiring goals.			Manager survey	

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

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

Planned Activities	Objective	Milestones	Timeframe	Responsible Party(ies)
Fully utilize the Supervisory Development Program. Regularly assess and address essential competencies for supervisors. ¹	Pool of staff with management skills is expanded. Supervisory competency gaps are closed.	Launch annual training needs assessment for supervisors;	September 1 of each year	Office of Training and Career Development; Office of Human Capital Management; Agency managers
		Competency assessment tool administered for mission-critical supervisors;	September 1 of each year	
		Competency gap data and annual training needs survey data analyzed;	November 15 of each year	Office of Training and Career Development; Office of Human Capital Management
		Competency gaps calculations to OPM as required;	December 15 of each year	Office of Human Capital Management
		Strategy developed to address competency gaps and training needs;	January 1 of each year	Office of Training and Career Development; Office of Human Capital Management;
Fully implement the Learning Management System.	Staff access to training resources is expanded and improved.	Needed revisions to Learning Management System are identified and included in TCDC Work Plan;	October 1 of each year	Training and Career Development Center

¹ Required Leadership and Knowledge Management System outcome metric.

Planned Activities	Objective	Milestones	Timeframe	Responsible Party(ies)
Evaluate the effectiveness of Agency leaders in communicating Agency priorities and in cultivating a supportive work environment. ²	Managers and employees are aware of the Agency's goals and priorities. Employees are highly satisfied with the performance of the Agency's top leaders.	Review Agency OPM survey results;	March 1 of each year	Office of Human Capital Management
		Analyze leadership and knowledge management index ³ 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. ⁴	No deficiencies are identified.	Results of OPM audit.	As scheduled by OPM	Office of Personnel Management

LEADERSHIP AND KNOWLEDGE MANAGEMENT PERFORMANCE INDICATORS

INDICATOR	Source
Employees are highly satisfied with the performance of the Agency's top leaders.	EVS: Leadership and Knowledge Management index results
Employees are given a real opportunity to improve their skills in the organization.	Positive responses to EVS question
Supervisors/team leaders provide employees with opportunities to demonstrate their leadership skills.	Positive responses to EVS question
Supervisors/team leaders support employee development.	Positive responses to EVS question

² Required Leadership and Knowledge Management System outcome metric.

³ Leadership and knowledge management index questions are prescribed by OPM.

⁴ Required Leadership and Knowledge Management System outcome metric.

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	Objective	Milestones	Timeframe	Responsible Party(ies)
Evaluate the Agency's performance management system. ⁵	Performance plans include credible measures and clearly differentiate between levels of performance.	Begin reviewing performance management system and auditing performance plans;	March 1, 2013 (and every other year)	Office of Human Capital Management
		Complete administration of the PAAT;	October 1, 2011 (and every other year)	
		Compile PAAT data and submit package to OPM for review;	December 1, 2012 (and every other year)	
		Review OPM's PAAT score;	March 1, 2012 (and every other year)	
		Report results of PAAT to management along with recommendations, if necessary for further revising performance system;	April 1, 2012 (and every other year)	
		Submit workforce performance appraisal data to OPM as required.	December 31 of each year	
		Begin reviewing performance management system and auditing individual performance plans;	March 1, 2013 (and every other year)	

⁵ Required Results-Oriented Performance Culture System outcome metric.

Planned Activities	Objective	Milestones	Timeframe	Responsible Party(ies)
Ensure that workforce performance is aligned to mission, goals and outcomes. ⁶	Mission-focused performance appraisal system.	Begin reviewing SES performance management system and auditing SES performance plans;	March 1, 2012 (and every other year)	Office of Human Capital Management
		Complete administration of the SES PAAT;	October 1, 2012 (and every other year thereafter)	
		Compile SES PAAT data and submit package to OPM for review;	December 1, 2012 (and every other year thereafter)	
		Submit SES performance/organizational performance data to OPM as required.	December 31 of each year	
		Review OPM's SES PAAT score;	March 1, 2013 (and every other year thereafter)	
		Report results of SES PAAT to management along with recommendations, if necessary for further revising performance system;	April 1, 2013 (and every other year thereafter)	
Foster an environment of fairness, inclusiveness, and cooperation that focuses on mission accomplishment. ⁷	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 ⁸ 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	

⁶ Required Results-Oriented Performance Culture System outcome metric.

⁷ Required Results-Oriented Performance Culture System outcome metric.

⁸ Results-oriented performance culture index questions are prescribed by OPM.

Comply with merit system principles and related laws, rules and regulations governing Results-Oriented Performance Culture System. ⁹	No deficiencies are identified.	Results of OPM audit.	As scheduled by OPM	Office of Personnel Management
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LEADERSHIP AND KNOWLEDGE MANAGEMENT PERFORMANCE INDICATORS

INDICATOR	Source
An empowered staff work cooperatively to accomplish the Agency's mission.	EVS: Performance culture index results
Managers communicate the goals and priorities of the organization.	Positive responses to EVS question
Employees know how their work relates to the agency's goals and priorities.	Positive responses to EVS question
Managers review and evaluate the organization's progress toward meeting its goals and objectives.	Positive responses to EVS question
Employees have a feeling of personal empowerment with respect to work processes.	Positive responses to EVS question
Employees are held accountable for achieving results.	Positive responses to EVS question
Employees perceive that their performance appraisals are a fair reflection of their performance.	Positive responses to EVS question
Differences in performance are recognized in a meaningful way.	Positive responses to EVS question
Creativity and innovation are rewarded.	Positive responses to EVS question
Policies and programs promote diversity in the workplace.	Positive responses to EVS question
Prohibited Personnel Practices are not tolerated.	Positive responses to EVS question
The ethnicity and diversity of employees reflect that of the general population.	Percent of workforce that is Hispanic
Performance plans accurately differentiate in levels of performance.	PAAT score

⁹ Required Results-Oriented Performance Culture System outcome metric.

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 recruit, hire and retain employees with the necessary skills for mission accomplishment.

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

Planned Activities	Objective	Milestones	Timeframe	Responsible Party(ies)
Continue to scan the environment to identify and eliminate 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; Agency managers
		Review data for recruitment barriers and identify;	November 1 of each year	
		Submit reports as required;	As required	
		Collect results of automated agency-wide exit survey;	October 1, 2012 and every year thereafter	
		Collect results of Manager survey		
		Evaluate results of exit interviews and manager interviews to identify recruitment and retention barriers;	Each year as of November 1, 2012	
Strategy developed to address barriers to recruitment/retention.	December 31 of each year			
Meet 80 day time-to-hire standard.	Vacancies are filled quickly.	Hires are made within 80 calendar days of initial request to fill position.	Quarterly data submitted to OPM	Office of Human Capital Management
	Staff have the skills necessary to accomplish	Review Agency OPM survey	March 1 of each year	Office of Human Capital

Planned Activities	Objective	Milestones	Timeframe	Responsible Party(ies)
Foster employee development. ¹⁰	organizational goals.	results;		Management; Training and Career Development Center
		Analyze talent management index ¹¹ 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. ¹²	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 ¹³ 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	

¹⁰ Required Talent Management System outcome metric.

¹¹ Talent management index questions are prescribed by OPM.

¹² Required Talent Management System outcome metric.

¹³ Job satisfaction index questions are prescribed by OPM.

Planned Activities	Objective	Milestones	Timeframe	Responsible Party(ies)
Administer assessment tool to measure essential competencies for mission critical staff. ¹⁴ Identify competency gaps for each mission-critical position. Address gaps through individualized development plans and/or Agency-wide training or development programs.	Competency gaps for mission-critical occupations are closed.	Tool administered to mission-critical staff;	January 2, 2013 (and every other year thereafter)	Office of Human Capital Management; Training and Career Development Center; Agency management
		Competency gap data analyzed;	March 15, 2013 (and every other year thereafter)	
		Results of competency gap analysis routed to Agency management;	April 15, 2013 (and every other year thereafter)	
		Strategy developed to address competency gaps;	June 15, 2013 (and every other year thereafter)	
		Submit competency gap calculations to OPM as required.	December 31 of every other year or as required by OPM	
Comply with merit system principles and related laws, rules and regulations governing Talent Management System. ¹⁵	No deficiencies are identified.	Results of OPM audit.	As scheduled by OPM	Office of Personnel Management

TALENT MANAGEMENT PERFORMANCE INDICATORS

INDICATOR	Source
An empowered staff work cooperatively to accomplish the Agency's mission.	EVS: Performance culture index results
Managers communicate the goals and priorities of the organization.	Positive responses to EVS question
Employees know how their work relates to the agency's goals and priorities.	Positive responses to EVS question
Managers review and evaluate the organization's progress toward meeting its goals and objectives.	Positive responses to EVS question
Employees have a feeling of personal empowerment with respect to work processes.	Positive responses to EVS question
Employees are held accountable for achieving results.	Positive responses to EVS question
Employees perceive that their performance appraisals are a fair reflection of their performance.	Positive responses to EVS question
Differences in performance are recognized in a meaningful way.	Positive responses to EVS question

¹⁴ Required Talent Management System outcome metric.

¹⁵ Required Talent Management System outcome metric.

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 maintain an agency-wide system for ensuring accountability in Human Capital.

Planned Activities	Objective	Milestones	Timeframe	Responsible Party(ies)
Regularly extract, synthesize, analyze and report human capital management, human resources and other data to ensure compliance with regulations and internal policies and to inform management.	Human capital data is easily accessed, interpreted and available to inform the decision-making process.	Performance measure data is completed and submitted after vacancy files are closed.	On-going	Office of Human Capital Management
	Employees receive accurate pay by managing time and attendance.	Internal audits are conducted of all vacancy files.	January 31 of each year for the previous year	
	Applicants meet law enforcement and security requirements.	DEU audits are completed and submitted.	Quarterly	
	Grievances are handled appropriately and in a timely fashion.	Human Capital Management Report is compiled and submitted to CSOSA.	December 1 each year	
	Agency hiring decisions meet regulatory requirements and adhere to merit principles.	Human capital data is presented to the Meeting of the Office Directors.	Quarterly	
		Time and attendance records are audited.	On-going	
		Background investigations are obtained and adjudicated.	On-going	
		Drug Free Workplace Program is	As needed	

Planned Activities	Objective	Milestones	Timeframe	Responsible Party(ies)
		managed.		
		Conduct and performance cases are processed.	As needed	