



**U.S. Chemical Safety and  
Hazard Investigation Board**

**HUMAN CAPITAL PLAN  
2011 – 2015**

## **Message from the Chairperson of the Board:**

In the face of increasingly complex and demanding challenges, it is more important than ever for the U.S. Chemical Safety and Hazard Investigation Board (CSB) to have people with the right skills, in the right places, at the right times, to help guide the management of the Agency and contribute to financially sound and reliable incident investigations that serve the public interest. The Agency's Human Capital Plan (HCP) for 2011 – 2015 will serve as our human capital map for the next several years.

The responsibilities of the CSB are numerous, complex interactions requiring commitment to excellence by each and every employee to ensure our success. People define an organization's character, affect its capability to perform, and represent the knowledge-base of the organization. As such, a variety of effective strategic human capital management approaches will serve as the hallmark of major change management initiatives.

This plan was developed to ensure we are capable of carrying out our mission, serve our customers, and invest in our current and future workforce more effectively and produce meaningful results. The identified human capital action strategies will excel the organization forward into the next decade. Clear roles and responsibilities have been outlined to ensure the success of our human capital strategies. Success will be measured throughout all levels of our Agency including our executive leadership, human resources staff, Agency managers, and employees.

This plan describes the major challenges we now face, the forces that impact and shape our future, and the steps we must take to attract, retain, and develop an effective workforce. I am confident that if all of us follow this plan and work together as a team we can maximize our performance in an efficient and effective way.

Rafael Moure-Eraso  
Chairman

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# Section I

## Chemical Safety and Hazard Investigation Board

### Introduction

The Chemical Safety and Hazard Investigation Board (CSB/Board) is an independent, non-regulatory, federal Agency with the mission to investigate chemical accidents and recommend actions to prevent future accidents – protecting workers, the public, and the environment. The Agency was authorized by Congress in the Clean Air Act Amendments of 1990 and was first funded in 1997.

When a major chemical accident occurs at a fixed industrial facility, the CSB deploys a multidisciplinary team of investigators to the site. The investigators interview witnesses, examine and document the accident scene, and collect evidence. After a detailed analysis of the circumstances of the accident, investigators prepare a report containing findings of fact, conclusions, root causes, and, where necessary, safety recommendations.

Each draft report is provided to the CSB Board members, which consists of up to five presidential appointees who are confirmed by the U.S. Senate, for their review. Reports and recommendations are only issued after a majority vote of the board is obtained. In addition to investigation reports, the CSB also produces shorter written products such as safety bulletins and case studies. Further the CSB is authorized to conduct broader investigations of chemical accident hazards – whether or not an accident has occurred – in order to improve safety within the industry. Most of the CSB’s written products include a number of specific, measurable safety recommendations designed to prevent future accidents. These recommendations are addressed to local, state, and federal agencies, such as the U.S. Environmental Protection Agency (EPA) and the U.S. Department of Labor’s Occupational Safety and Health Administration (OSHA). The CSB also makes recommendations to standard-setting bodies, model code developers, trade associations, labor unions, corporations, and other organizations.

To accomplish its mission, the CSB carefully tracks the progress of recipients implementing recommended actions. Ultimately, the majority of the Board must vote to designate a recommendation as closed based on “acceptable” action by a recipient.

In 2004, the Agency established a dedicated recommendations office to work with recommendation recipients to successful close recommendations in a timely manner.

The CSB mission is also dependent upon a widespread understanding of the causes of chemical accidents we have investigated. To broadly disseminate our findings and recommendations throughout the U.S. and overseas, the CSB produces outreach products and animated videos which highlight safety issues, as well as conduct public meetings, news conferences, and shareholder roundtables. Board members contribute significant time and effort to public speaking engagements and participate in safety events, to convey various topical CSB safety messages, findings, and recommendations to numerous and diverse audiences in the United States and around the globe.

Finally, the Agency’s success is dependent on maintaining a highly productive staff – including many with significant technical knowledge about the design, operation, and management of hazardous chemical processes – that are highly motivated, educated, and enthusiastic about determining root causes of accidents in this sector.

## Mission:

**To investigate chemical accidents and hazards at fixed industrial facilities, to issue safety recommendations, and to provide information on preventing accidents to Congress, government, industry, labor, and the American public.**

## Vision

**Workers, businesses, and communities are safe from the threat of chemical accidents**

## Strategic Goals

**Goal 1: Select and complete accident investigations and recommend actions with a high potential for protecting workers, the public, and the environment.**

**Goal 2: Select and complete safety studies and recommend actions with a high potential for protecting workers, the public, and the environment.**

**Goal 3: Reduce the likelihood of similar accidents in the future by securing implementation of CSB safety recommendations.**

**Goal 4: Promote improved safety practices by broadly disseminating the findings, lessons, and recommendations from CSB investigations and studies.**

**Goal 5: Establish the CSB as a recognized world leader in accident investigation and prevention by continuing to improve our human capital and infrastructure.**

While all five of these goals directly impact - our HCP, the one most supportive and involved with development of our human capital are those stated in Strategic Goal 5.

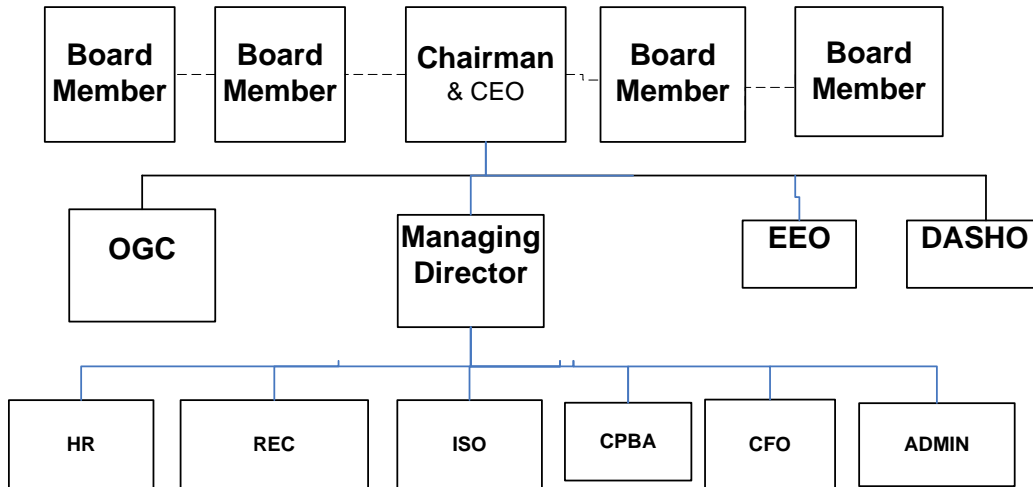
## Organization

The CSB was created under the Clean Air Act Amendments of 1990. The legislation created an independent safety board to investigate serious chemical accidents and to recommend measures to prevent future accidents. Lawmakers modeled the CSB after the National Transportation Safety Board (NTSB), the federal Agency that investigates transportation-related disasters. Like the NTSB, the CSB was given a separate and distinct mission from regulatory agencies, which conduct inspections after chemical accidents primarily to determine if violations of existing rules occurred. Instead, CSB accident investigations “determine the cause or causes of an accident whether or not those causes were in violation of any current and enforceable requirement.” [Senate Report No. 101-228 (1989)]

The Board conducts its statutory mission independent of direction from other executive branch agencies, and the Board’s recommendations, testimony, and budget requests may be provided concurrently to Congress and the executive branch. CSB reports are not subject to judicial or executive branch review, and the Board’s conclusions, findings, and recommendations are not admissible as evidence in civil suits seeking damages.

Although the Board was created to function independently, it also collaborates in important ways with EPA, OSHA, and other agencies in completing its mission. The Board has entered into a number of memoranda of understanding (MOUs) with other federal agencies that define the terms of collaboration. For example, in cases where several agencies are conducting investigations of a particular accident, the MOUs outline mechanisms for coordination in the field. The goal of the MOUs is to allow each Agency to carry out its statutory mission efficiently and without unnecessary duplication of effort.

## Organization Chart



## Offices

**Office of Congressional, Public, and Board Affairs (CPBA)**

**Office of Recommendations (REC)**

**Office of General Counsel (OGC)**

**Office of Investigations (ISO)**

**Office of Human Resources (HR)**

**Office of Financial Operations (CFO)**

**Office of Equal Employment Opportunity (EEO)**

**Designated Agency Safety and Health Officer (DASHO)**

**Office of Administration (ADMIN)**

## Section II

### Human Capital Management

#### Preface

The CSB recognizes that high-performing employees are essential to the success of the organization and statutory mission. Conducting high quality accident investigations and studies as well as developing effective recommendations and outreach activities requires exceptional levels of technical skill, motivation, and diligence on the part of all employees.

The CSB began operation in 1998 as a new federal Agency without any transfer of staff or infrastructure from existing federal entities. Since that time, however, CSB has devoted considerable resources to hire highly qualified personnel and develop its organizational structure and procedures to maximum its effectiveness and efficiency.

In fiscal year 2005, the CSB developed a draft HCP, which called for the establishment of multiple investigative teams, each composed of a diverse array of technical and professional skill sets. For example, team members should have specialized expertise in physical and record data collection, chemical engineering, mechanical engineering, metallurgy, as well as human and organizational factors. Establishment of the teams, each with its own supervisory lead investigator, is a key to reducing the cost and duration of investigations. In addition, the plan envisioned formation of a dedicated unit for conducting safety studies. As the plan recognized, conducting effective studies requires distinct skills in research, statistics, and public policy formulation. This initial HCP was not completed or published. Though much of the information contained in this early HCP remains valid, much has changed at the CSB and those changes are reflected in this, our current Plan.

In 2008, CSB announced the opening of a field office Investigative Team in Denver, Colorado. Establishing a presence in Denver allowed the CSB to recruit more effectively, to deploy investigators more quickly to accident sites in the southwest and western United States, and to maintain important contacts with stakeholders throughout the country. This expansion helped the CSB increase its capacity to investigate more of the serious chemical accidents that occur each year across the U.S.

#### Purpose

This HCP addresses the internal and external drivers identified later in this section and our desire to maximize the use of our human capital in light of the concerns that we face. The HCP aligns the totality of human assets currently resourced with the operational, information technology, and support processes required to produce reports for the benefit of those we serve, resulting in a performance-based organization.

As indicated throughout the Plan, the CSB is committed to working with top level managers, employees, and other stakeholders to ensure satisfactory progress is made in developing, modifying and updating our human capital goals and supporting activities. Part of this process will involve holding managers accountable for human capital decisions using the recognized merit system principles and ensuring continuous communication with our employees on efforts we undertake to improve support to them as they work to maximize our organizational effectiveness.



There are two companion documents to the HCP. The Workforce Plan (attached as Appendix A), and the separate stand alone document known as the Accountability System.

The Workforce Plan documents the systematic process for identifying and addressing Agency workforce gaps that exists between today's human resources and the future needs based on a detailed workforce analysis.

The Accountability System is designed to identify, measure, and track success when implementing human capital initiatives throughout the process. The tracking of the initiatives and measures against expected outcomes helps drive management decisions regarding human capital prioritization and funding. Appendix B, the Solutions Implementation Plan, is a working tool used to track the status of the Board's agreed upon human capital initiatives, as required by the Accountability System.

## Human Capital Drivers/Impacts

In addition to internal and external reviews to Agency human capital initiatives, the Administration's emphasis on, and Congressional interest in, human capital challenges have influenced development of the CSB human capital plan. Some samples where external influences are apparent are identified below. Furthermore, current nationwide and internal trends threaten the CSB's ability to maintain a highly skilled workforce, heightening the imperative to develop a comprehensive, integrated approach to human capital management. These CSB workforce trends and drivers are presented in detail in the Workforce Plan found in Appendix A.

**The President's Management Agenda (PMA).** The PMA reflects a strategy for improving the management and performance of the Federal Government, making it more citizen-centered and results-oriented based on making good on its promises to the American people. In a comprehensive effort to focus on government improvement and results, the PMA presents five government initiatives. They are:

Strategic Management of Human Capital Competitive Sourcing Improved Financial Performance Expanded Electronic Government Budget and Performance Integration
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In the area of Strategic Management of Human Capital, the PMA outlines the following specific goals:

- Reduction in the number of organizational layers;
- Reduction of decision-making times;
- Increase in the number of employees providing services to citizens thus making agencies more citizen-centric;
- Adoption of information technology to capture the knowledge and skills of retiring employees; and
- Attainment of the ability to recruit, retain, and reward a high-quality workforce.

CSB must ensure that these initiatives are fully implemented within the Agency in a well-planned, consistent, and coordinated manner.

**Congressional Interest.** Oversight committees and individual members of Congress have taken an active interest in the ability of the Federal workforce to perform efficiently and serve the needs of Americans in an effective way. For example, the December 2000 Report to the President, "The Crisis in Human Capital," highlights numerous concerns and proffers support for efforts to strengthen the workforce. Moreover, in January 2007, the Government Accountability Office (GAO) named human capital a management challenge for all agencies across the Federal Government.

**Office of Personnel Management (OPM).** OPM has issued regulations implementing certain provisions of the Chief Human Capital Officers Act of 2002, which set forth OPM and Agency responsibilities and requirements to enhance and improve the strategic management of the Federal Government's civilian workforce, as well as the planning and evaluation of Agency

efforts in accomplishing them. These regulations establish a basic framework for planning and assessing human capital management progress and results, including compliance with relevant laws, rules, and regulations, as assessed through Agency human capital accountability systems and reported in annual Agency human capital accountability reports. They also establish requirements for all agencies to maintain a current human capital plan which is to be submitted to OPM on an annual basis as part of the human capital accountability report.

**OPM HCAAF.** A number of diagnostic tools and standards for success have been developed over the recent past to assist agencies to better manage their human capital assets, such as the Office of Management and Budget Standards for Success, OPM Human Capital Scorecard, and GAO Tools. While many of these standards apply to the larger departments and independent agencies, CSB has taken many of these into consideration in developing this Plan as they reflect the current focus on human capital.

Building on past efforts to provide standards and tools, OPM developed the Human Capital Assessment and Accountability Framework (HCAAF) as a road map for human capital transformation and to serve as a comprehensive standard for human capital results, human resources programs, and merit system compliance. The HCAAF is comprised of five systems which collectively provide a consistent, comprehensive representation of human capital management for the Federal Government:

<b>HCAAF Systems</b>
Strategic Alignment (Planning and Goal Setting)
Leadership/Knowledge Management (Implementation)
Performance Culture (Implementation)
Talent Management (Implementation)
Accountability (Evaluating Results)

The HCAAF systems, while each distinct, are interrelated to serve a common purpose of producing and supporting a world class workforce which:

- Is effective in achieving Agency mission results,
- Delivers the highest quality products and services, and
- Quickly adapts to changing environments.

As detailed in Section IV, our human capital goals are built around the HCAAF.

## Challenges

We identified several human capital challenges that threaten our ability to maintain a world-class workforce:

- **Development of Expert Skills Sets** - There are recurring specific skill sets required to ensure accurate, complete, and thorough investigations are conducted and reported on by the CSB. Currently, when an investigation requires knowledge in one of several specific areas, an assigned investigator is trained in this area or seeks outside expertise in the subject area to ensure accurate and complete information is used in the investigations.
- **Employee Training** – develop and implement a more comprehensive training and development program for all levels of employees. Ensure employees have the time to attend training and development opportunities.
- **Knowledge Management** –a significant portion of employees and managers who opt for retirement may result in multiple skill gaps and loss of institutional knowledge. These possibilities compel institutionalizing the capture of knowledge as an imperative need. In addition, the highly specialized mission of the Agency makes knowledge capture and transfer especially critical.
- **Leadership Succession** – related to attrition is the likelihood that there will be significant turnover in the leadership ranks and the need for leadership succession planning.

- Leadership Development – employee satisfaction surveys have indicated some concerns with leadership. Moreover, leadership development is needed as part of our leadership succession planning process.
- Communication – there is evident concern amongst the workforce about the amount and effectiveness of communications.
- Performance Appraisals and Awards – our performance management system needs continued refinement to include appropriate measures tied to mission goals.
- Chemical Incident Investigator Recruitment and Retention – The CSB needs to ensure that the investment made in the recruitment and development of our investigators results in the retention of skilled personnel. Discussions by the Board, leadership team and staff continue surrounding the appropriate competency and education requirements needed in recruitment for these positions.
- Necessity for Safety Studies as part of Agency Mission – The GAO and the EPA Inspector General, as well as other stakeholders, have inquired about CSB’s commitment to carrying out this part of our mission, which may require additional staff resources.
- Staff Capacity – the Chemical Incident Investigator Teams are over-tasked with the number and breadth of the investigations requiring attention.

These human capital challenges are described in further detail in our Workforce Plan in Appendix A.

Ultimately, strategic management of human capital is the right thing to do because the realization of CSB’s vision and mission depends on its people. Mission success rests primarily in the hands of our staff. This Plan is intended to be useful and responsive to long-term, as well as short-term, changes within the Agency. The CSB need to be agile, flexible and resilient in order to accommodate circumstances not only as they are today but also as they will unfold in the future. This Plan is a roadmap that, when followed, will enable our human resources to accomplish the Board’s mission and be adaptable to change.

## **Plan Administration and Communication**

Overall responsibility for development, implementation, and evaluation of this Plan rests with CSB’s Human Resources Director, and that accountability is documented and monitored through the Agency performance appraisal process.

The HCP will be shared with all employees at CSB via an all-hands meeting to be held upon its scheduled implementation. Periodic review and evaluation of the Plan will be conducted by senior management. Feedback and results will be communicated to all employees by the Chairman and MD. The Plan also will be posted on our Intranet and updated as necessary by the HRD.

## Section III

# Workforce Planning

## Process

Workforce planning integrates the Agency's strategic and mission goals with its workforce. It is the process through which the CSB identifies the human capital required to meet organizational goals, identify competency gaps, and develop strategies to address human capital needs and close those identified gaps. It's an assessment of future workforce needs and a determination of strategies and actions required to meet those needs. Our Workforce Plan will allow us to identify strategies to align our workforce with our mission while accommodating for external trends and drivers that may impact our mission success. It will also provide the justification to support and prioritize human capital and human resources programs that will help us meet our short-term and long-term objectives.

Workforce planning involves the following six on-going steps:

1. **Set Strategic Direction** – Links workforce planning process with the Agency's internal planning documents and work activities required to carry out the short-term and long-term goals and objectives.

2. **Conduct Workforce Analysis** – Identifies current workforce resources and how they will evolve; develops specifications for the kinds, numbers, and location of workers and managers to accomplish the Agency's strategic requirements.

3. **Identify Workforce Gaps** – Determines what gaps exist between current and projected workforce needs. This includes a supply analysis, demand analysis, and gap analysis.
4. **Identify Strategies and Develop Action Plan** – Identifies strategies to close gaps, plans to implement the strategies, and measures for assessing progress.
5. **Implement Workforce Strategies** – Ensures that solutions are identified; human and fiscal resources are in place; roles are understood; and the necessary communication, marketing, and coordination are occurring to execute the plan and achieve the strategic objectives.
6. **Monitor, Evaluate, and Revise** – Monitors progress against milestones, assessing for continuous improvement purposes and adjusting the plan to make course corrections and to address new workforce issues.



## Brief Analysis

Our Workforce Plan is a companion to this HCP, as Appendix A. Many of the human capital solutions activities that were identified and which are presented later in this Plan are supported by the workforce analysis. Specific findings are as follows:

**Mission Critical Occupations:** Mission critical occupations are those occupations that are core to the mission of an organization. These occupations reflect the primary mission of the organization without which mission-critical work cannot be performed. For the CSB, these include:

- Senior Management
- Chemical Incident Investigator
- Chemical Safety Recommendations Specialist
- General Counsel/Attorneys

**Employee Satisfaction:** Results of our 2007 Annual Employee Survey (AES) were compared to the 2008 Federal Human Capital Survey (FHCS). While in most areas we are doing very well in comparison to the overall government-wide results, there were downward trends in some areas. Some of those downward trends were in questions that are considered by OPM to be Key Impact Items, having the greatest impact on employee satisfaction and retention.

**Projected Attrition due to Retirement:** Less than ten percent of our overall employee population is eligible for optional retirement in 2011. The percentage of CSB employees eligible for voluntary retirement in the next 10 years, excluding senior managers, is only 17 percent. However, 77 percent of CSB's senior managers are eligible for voluntary retirement within that same timeframe. We do not have high numbers of retirement eligible employees in our other mission critical occupations. Projected retirements are only a concern for senior management at the Board.

**Workforce Trends and Drivers:** There are various trends and drivers that impact the workforce and our resulting identification of strategies and action plans. Some of these are:

- Loss of Institutional Knowledge – as our senior management workforce ages and separates, the organization faces a growing problem with the loss of individuals who possess valuable institutional and organizational knowledge.
- Recurring Expert Skills Sets – there are recurring specific skills sets that are required for investigations conducted at CSB, and our investigators have varying levels of knowledge in some or all of these areas. Routinely developing specific staff members for the various skills sets may be of benefit to the Agency.
- Additional Safety Studies – The Board has been called upon to perform additional safety studies yet we have limited staff resources and funding available.
- Staff Capacity – The current number of Chemical Incident Investigators at the Board is not sufficient to conduct the number and breadth of investigations necessary for proper mission accomplishment.

**Gap Analysis:** Gap analysis is the process of comparing information from the supply and demand analysis to identify the differences, or gaps between the supply and demand. We have the following types of gaps:

- Gaps Resulting from Attrition – the potential rates of attrition in the mission critical category of senior management due to retirement eligibility could be an issue for concern
- Competency Gaps – competency gaps at CSB are minimal. Strategies to address the gaps that do exist are included in the Workforce Plan and in Appendix B – Human Capital Solutions Implementation Plan.

- **Diversity Gaps** – The CSB is not as representative as the Federal civilian workforce or U.S. civilian labor force in the categories of American Indian/Alaska Native and Black or African American. Our representation of Asian/Native Hawaiian or Other Pacific Islander and Hispanic is above that of the Federal civilian workforce and the U.S. civilian labor force. Representation of women in the higher grade levels of the organization is lower than that of the Federal civilian workforce, however, the high representation of women at the GS-9-12 levels does provide a strong pipeline of potential internal candidates for future leadership positions. The CSB has attained a fairly good mix of career-entry, mid-career, and late career employees that will help ensure Agency institutional knowledge and work planning will effectively continue.

**Workforce Challenges:** The CSB human capital challenges identified under the Human Capital Drivers section in this Plan are outlined in further detail in the Key Workforce Challenges for the CSB section of the Workforce Plan companion document.

**Strategies and Solutions:** In response to the workforce challenges, a number of strategies and solutions and supporting documentation are presented. This includes recruitment strategies, retention strategies, and incentives to attract and retain talent.

## Section IV

# Strategic Human Capital Architecture and Improvement Initiatives

## Introduction

As the structure for its HCP, CSB is using the systems identified in the HCAAF. This architecture is structured around five elements:

Strategic Alignment
Leadership/Knowledge Management
Performance Culture
Talent Management
Accountability

These elements all support the Agency's human capital focus on identifying and alleviating current and future skills gaps, including the succession planning necessitated by the potential retirement of a significant segment of the Board's senior management workforce. The elements all support the refining of performance plans and provide measures to ensure alignment with Agency organizational goals. In addition, the elements will establish baselines against which future performance can be assessed, assuring recruitment and retention of skilled employees, and increasing efficiency by utilizing technology to enhance the productivity of the workforce. All of these elements are necessarily interrelated in serving a common purpose of producing and supporting a workforce to meet the Agency's mission.

An internal assessment of the Agency's current state of human capital management highlighted a number of human capital goals that merit special emphasis where expenditure of resources can be expected to yield the greatest benefit. These are organized under the five HCAAF systems listed above. For each system, these human capital goals and supporting activities are identified. Measures and expected outcomes are identified for each of the supporting activities efforts as well. Specific implementation plans for each element are outlined in Appendix B – Human Capital Solutions Implementation Plan. The Human Capital Solutions Implementation Plan includes information on activities, measures, measurement approach, timeframe, responsible parties, and identified resources. While responsible parties are generally at a senior level, all supervisors play a role in this implementation process. The implementation of these solutions will greatly enhance the Agency's ability to effectively manage its human capital.



## Element 1 – Strategic Alignment

Strategic alignment focuses on aligning human capital management strategies with the Agency’s mission, goals, and objectives. Our planning processes have included information related to human capital activities and investments, but to a lesser degree than we now deem necessary. Our Agency planning processes have not included information related to human capital activities and investments. Our earlier attempt at formal human capital planning highlighted the need for our sustained commitment to strategically manage human capital and to support efforts to integrate our human capital approaches with our organizational goals. It is our intent to prepare, implement, and evaluate our human capital planning initiatives or refinements with respect to both changing organizational needs and the demonstrated successes or shortcomings of our human capital efforts. The Agency will include its human resources strategies in performance plan goals and budget requests as appropriate. While these efforts can be led by administrative personnel, true success requires the engagement of all executives, office managers, and leaders. With this strategy, the CSB can focus the use of human resource flexibilities to address areas of concern to achieve optimum alignment between its workforce and the mission.

**Strategic Alignment System Standard:** Agency human capital management strategies are aligned with mission, goals, and organizational objectives and integrated into the Agency’s strategic plans, performance plans, and budgets.

### Human Capital Goal:

**Human capital strategy is aligned with Agency mission, goals, and organizational objectives and integrated into our strategic plans, performance plans, and budgets.**

#### Supporting Solution Activities:

- Facilitate strategic human capital planning in support of on-going strategic and business planning.
- Maintain and implement an Agency-wide integrated workforce planning process.

### Human Capital Goal:

**We will regularly update the Human Capital Plan to support our mission and strategic goals.**

#### Supporting Solution Activities:

- Update/Revise HCP to support our business goals and strategies on a regular basis.
- Progress is reported through the Human Capital Solutions Implementation Plan to identify necessary human capital activities.

The result of implementing these supporting activities will be an integrated approach to determining capabilities needed to support the CSB mission, more effective deployment of the workforce across programs resulting in enhanced mission performance, and an increased ability to attract and keep a highly skilled diverse workforce through focused use of the human resources flexibilities where they are most needed.

## ELEMENT 1 – STRATEGIC ALIGNMENT

Solution Activities	Solution Measures	Expected Outcomes
Facilitate strategic human capital planning in support of on-going strategic and business planning.	<p>Human capital planning is supported and led by CSB Senior Management.</p> <p>Strategic Planning activities and Agency budget include human capital activities and investments.</p>	<p>Better deployed workforce and enhanced mission performance.</p> <p>Increased ability to attract and keep highly skilled, diverse workforce.</p>
Maintain and implement an Agency-wide integrated workforce planning process.	<p>Agency's Workforce Plan meets both regulatory requirements and the business needs of the Agency.</p> <p>All organizational units provide input to the human capital strategic planning process.</p>	<p>A human capital planning process that enhances the ability to evaluate CSB's performance against established goals.</p>
Update/Revise HCP to support our business goals and strategies on a regular basis.	HCP is formally updated every five years. Reviews will take place on an annual basis.	<p>Managers are accountable for human capital management.</p>
Progress is reported through the Human Capital Solutions Implementation Plan to identify necessary human capital activities.	Human Capital Solutions Implementation Plan is updated by appropriate parties and used to report progress.	<p>Human capital activities and investments are included in the Agency's budget, Strategic Plan, and Performance Plan.</p>

## Element 2 – Leadership and Knowledge Management

Leadership and knowledge management focuses on identifying and addressing Agency leadership competencies so that continuity of leadership is ensured, knowledge is shared across the organization, and an environment of continuous learning is present. CSB aims to have Agency leaders and managers effectively manage people, ensure continuity of leadership, improve accountability, and sustain a learning environment that drives continuous improvement in performance. Our goal is to establish a comprehensive leadership development program to ensure that newly selected and current leaders are ready and able to perform their duties to their greatest potential.

Leadership development and succession planning are high priorities at CSB. Two-thirds of our senior managers are eligible for retirement within the next ten years. We need a formalized succession and development plan to ensure that current, newly selected, and future leaders are ready and able to perform their duties to their greatest potential.

In addition to the need for development and succession plans, the possible attrition from our leadership ranks, as well as from the workforce as a whole, creates the need for formal knowledge management and transfer plans. The Agency needs to review options to help ensure that institutional knowledge can be readily retrieved and disseminated throughout the organization as much as possible.

Communication is a critical part of leadership and a focus area. An effective organization includes a senior leadership team committed to developing better ways of doing business, accomplishing results, and investing in human capital. Achievement of these goals is dependent on a well-informed organization, which we are striving to attain.

**System Standard:** Agency leaders and managers effectively manage people, ensure continuity of leadership, sustain a learning environment that drives continuous improvement in performance, and provide a means to share critical knowledge across the organization. Knowledge management must be supported by an appropriate investment in training and technology.

### Human Capital Goal:

**We will develop integrated succession management and leadership development programs that build needed leadership competencies.**

#### Supporting Solution Activities:

- Develop an integrated, strategic training and development program to acquire and maintain needed Agency leadership competencies.
- Develop and implement a Management Succession Plan.

### **Human Capital Goal:**

**We will ensure effective management of our employees by instituting a leadership focus for all managers at CSB.**

#### Supporting Solution Activities:

- Include Leadership-focused elements in all managers' performance appraisals.
- Develop the "Leadership" competency requirement for CSB managers through appropriate training.

### **Human Capital Goal:**

**We will increase the level of communication throughout the Agency.**

#### Supporting Solution Activities:

- Initiate standardized and consistent avenues of communication throughout the Agency.

### **Human Capital Goal:**

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

#### Supporting Solution Activities:

- Capture knowledge and lessons learned (from failures and successes) in a more effective, systematic way.
- Explore strategies for enhancing organizational knowledge sharing and knowledge transfer.

## ELEMENT 2 – LEADERSHIP AND KNOWLEDGE MANAGEMENT

Solution Activities	Solution Measures	Expected Outcomes
Develop an integrated, strategic training and development program that acquires and maintains needed Agency leadership competencies.	<p>Program objectives are met by Agency.</p> <p>Leadership Development Program is designed and implemented.</p> <p>Determine extent to which management/leadership competency gaps are being closed.</p>	<p>Agency has the right kind and number of diverse effective leaders to achieve mission success.</p>
Develop and implement a Management Succession Plan.	Management Succession Plan is developed and utilized.	Effective process to develop leaders for future CSB leadership roles/ responsibilities.
Include leadership-focused elements in managers' performance appraisals.	Performance appraisal elements and ratings reflect leadership-focus.	Well informed managers and employees.
Develop the "Leadership" competency requirement for CSB managers through appropriate training.	<p>Assess managers' skill levels using the Federal Competency Assessment Tool – Management (FCAT-M) or another agreed upon method.</p> <p>Leadership-related questions measured in the Federal Human Capital Survey (FHCS)/Annual Employee Survey (AES) report improvement.</p>	<p>Open communication (top-down and bottom-up).</p> <p>Supervisors/Managers/Leaders are better prepared to create and sustain a productive and motivated work environment and to assume responsibility for developing staff.</p>
Initiate standardized and consistent avenues of communication throughout the Agency.	<p>Managers and employees are informed as measured in the FHCS/AES.</p> <p>Communication is effective as measured in the FHCS/AES.</p> <p>All Hands meetings with Board are regularly scheduled.</p> <p>Regularly scheduled "Operations" meetings, to include the Investigation Supervisors, Recommendations Manager and Director of Congressional, Public, and Board Affairs.</p>	<p>Employees and managers have access to programs and tools that share institutional knowledge.</p> <p>Leaders embrace, model, and promote use of programs and tools that share institutional knowledge.</p> <p>Improved sharing of relevant information with all CSB employees.</p>
Capture knowledge and lessons learned (from failures and successes) in an effective, systematic way.	Critical work processes are captured and documented.	
Explore strategies for enhancing organizational knowledge sharing and knowledge transfer.	A consistent knowledge management approach is developed and applied across the Agency.	

## Element 3 – Performance Culture

A results-oriented performance culture focuses on having a diverse, results-oriented, high-performing workforce. It also includes having a performance management system that effectively plans, monitors, develops, rates, and rewards employee performance. CSB is committed to creating an organizational culture that promotes high performance, ensures accountability, and empowers and includes employees in setting and accomplishing programmatic goals. As in many cases in the human capital area, *how* an organization does something is as important as *what* it does.

CSB put a four-level performance appraisal program into effect in 2006 with the provision that it be reviewed every two fiscal years, beginning in November 2008. It is our intent to use OPM's Performance Appraisal Assessment Tool (PAAT) in November 2012 to evaluate our appraisal program's strengths and weaknesses in areas such as communicating organizational goals and individual performance expectations, promoting accountability for achieving those goals, identifying developmental needs, and assessing performance using appropriate measures, among others. The Agency intends to continue to refine our performance appraisal system as well as our awards process with an eye toward consistency and a results-oriented performance culture at CSB.

**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 Goal:

**CSB has a diverse, results-oriented, high performing workforce.**

#### Supporting Solution Activity:

- Promote an environment that is fair and unbiased that values opportunity, inclusiveness, and mission accomplishment.
- Ensure managers and supervisors will strive for continual cooperation throughout the workforce.
- Develop a culturally diverse workforce that maximizes effective utilization of human capital.

### Human Capital Goal:

**The Performance Management System will effectively differentiate between high and low performance and link performance to organizational goals and desired results.**

#### Supporting Solution Activities:

- Continually improve implementation of the General Schedule performance management system to ensure all appraisals are aligned with the Agency's strategic objectives.
- Implement performance management system training throughout the Agency to ensure all appraisals are aligned with organizational goals, include credible measures, and demonstrate consistency in program execution.

- Review awards program to ensure appropriate rewards and recognition are provided for, and that it is adequately linked to performance that contributes to the achievement of Agency strategic goals.
- Integrate performance review with budget decisions to ensure that budget projections are tied to performance results and performance is more readily measurable.

## ELEMENT 3 – PERFORMANCE CULTURE

Solution Activities	Solution Measures	Expected Outcomes
Promote an environment that is fair and unbiased and values opportunity, inclusiveness, and mission accomplishment.	<p>Barriers that deter CSB employees from realizing their full potential are identified and, when possible, eliminated.</p> <p>Employee input is valued and considered.</p>	<p>Improved personal and organizational performance.</p> <p>Enhanced mission success through more effective use of the diverse talents/abilities of the workforce.</p> <p>CSB maintains an environment characterized by inclusiveness of a variety of styles and personal backgrounds and is responsive to the needs of diverse groups of employees.</p> <p>Enhanced appraisal systems that are perceived as fair and unbiased and promote workplace excellence.</p> <p>Alignment of individual employees' performance to CSB's strategic plan and core values.</p> <p>Workforce has candid and constructive information designed to maximize individual potential and contributions to the Agency.</p> <p>Management has the information needed to recognize and reward top performers and deal with poor performers.</p>
Managers and Supervisors will strive for continual cooperation throughout the workforce.	<p>Employees are empowered within their role and function toward overall Agency mission accomplishment as measured by the FHCS/AES.</p> <p>Cooperation amongst employees is fostered at all levels of the organization.</p>	
Develop a culturally diverse workforce that maximizes effective utilization of human capital.	<p>Workforce demographic studies report progress toward diversity.</p> <p>FHCS/AES reports satisfaction with Agency efforts to support diversity.</p>	
Continually improve implementation of the General Schedule performance management system to ensure all appraisals are aligned with the Agency's strategic objectives.	<p>Appraisal system is reviewed and all appraisals are linked to strategic objectives and annual performance goals.</p> <p>Agency management adequately deals with poor performance.</p>	
Implement performance management system training throughout the Agency to ensure all appraisals are aligned with organizational goals, include credible measures, and demonstrate consistency in program execution.	Training program is planned and implemented, once OPM's PAAT has been applied.	
Review awards program to ensure that appropriate rewards and recognition are provided for, and it is adequately linked to performance that contributes to the achievement of Agency strategic goals.	<p>Performance-based rewards and recognition clearly are linked to individual and organizational performance.</p> <p>Awards to recognize staff contributions and employee performance are issued, funding permitted.</p>	
Integrate performance review with budget decisions to ensure that budget projections are tied to performance results and performance is more readily measurable.	<p>Budget documents reflect performance results.</p> <p>Annual funding is provided for monetary awards as appropriate and available.</p>	



## Element 4 – Talent Management

Talent Management focuses on agencies having quality people with the appropriate competencies in mission-critical activities. CSB is committed to implementing and maintaining programs to attract, acquire, develop, promote, and retain quality talent. The CSB's success is dependent upon maintaining a highly productive staff – including many with significant technical expertise in the operation of the chemical industry – that is highly motivated, educated, and enthusiastic. Our fifth strategic goal targets the development and retention of a high-performing workforce.

A major challenge is to recruit and develop the skills necessary to implement the human capital vision. Recruitment and retention strategies must be employed to hire and retain the right people with mission critical skills. Due to the specialized nature of CSB's mission, a significant investment in new employees is made in both the recruitment and retention of our employees. Recruiting for some of our professional positions needs to be focused to locate candidates with skills specific to CSB. For the past five to six years, CSB has focused intensive efforts on hiring the right people with the right skills. We believe our current method of recruitment and the efforts we put into the retention of those new hires has been very successful, particularly this past year. However, internal discussions continue regarding the need for certain competencies and education requirements during recruitment of Chemical Incident Investigator positions. Aggressive use of the pathways (formerly federal career intern) program as well as the student loan repayment program has greatly facilitated hiring at the entry-level. By 2006, nine highly talented and motivated college graduates had been recruited through this program for initial two-year appointments, and eight of them have been converted to permanent appointments and remain on our staff. Appropriate use of retention bonuses has also aided our ability to retain skilled staff member in recent years.

Another way to help ensure employee retention is to implement a good “onboarding” strategy; or integration of new employees into the work force by initiating them into the Agency culture. Best in class organizations acknowledge that onboarding initiatives begin by adopting a formalized plan, ensuring that onboarding is an integral element of the overall human capital management strategy and is on the radar screen of senior management. As a result, organizations are able to direct their efforts towards elements that reaffirm the employee's decision to join the Agency and integrate the new employee into the Agency's culture. The importance of providing socialization into the Agency culture cannot be understated. Providing formalized socialization, a formal training program over at least the first six months of employment, and assigning a mentor or coach to new hires is critical to sustain employee retention. Our extensive use of the pathways (formerly federal career intern) program has helped guide our onboarding efforts, but an Agency formalized plan would help ensure consistent and unified efforts continue toward employee retention.

CSB recognizes the importance of training and development and is taking steps to ensure that effective employee skills development is addressed in a number of ways. In fiscal year 2006, the Agency reassigned one of its senior investigators to begin the task of developing a comprehensive training program for its investigative staff. Virtually all career employees participated in a variety of training programs, including specialized investigative courses, safety training, and leadership programs. The Agency will continue this training effort as funding is permitted. In addition there are recurring specific skills sets that are required for investigations conducted at CSB. Each Investigator has varying levels of knowledge in some or all of these areas, depending upon their assigned roles. The Agency would benefit greatly by routinely developing specific staff members for the various skills sets, thereby creating some degree of a “staff authority” in these skills sets that could then be called upon as required by the various incidents. Staff members could be assigned a specific area and would then acquire and maintain state-of-the-art expertise, or an updated working knowledge in their assigned skills set.

In 2006 the CSB completed a full overhaul of its information technology (IT) infrastructure, with the installation of modern servers, workstations, and other equipment throughout the Agency. The CSB also completed plans for the outsourcing of its public website to reduce costs and improve service and technological currency. The CSB has benefited from excellent retention of key employees. However, developing plans for replacing key investigative and administrative functions is still an important exercise. Through our human capital planning process, the Agency will monitor our workforce mission critical skills and competencies to ensure that the CSB maintains a capable workforce necessary for effective mission accomplishment.

**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 Goal:**

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

#### Supporting Solution Activities:

- Develop and implement a comprehensive training policy ensuring that needed competencies are cultivated.
- Issue a Board Order authorizing educational reimbursement for tuition type costs in support of advancing employee degrees.
- Consider training staff members in recurring skills sets to create staff authorities in various frequently occurring specialized knowledge areas.
- Develop in-house training using online delivery methods as much as possible.
- Incorporate staff resource needs into budget and planning documents.
- Consider developing a formalized “onboarding” process to integrate new employees into the CSB workforce culture.
- Establish a formal exit interview process to monitor retention efforts.
- Review and reconcile areas within the Agency that may contribute to discontent in the workforce, and therefore possible resignations.
- Streamline and simplify the recruitment and hiring process using the strategies and metrics in OPM’s End-to-End Hiring Initiative.
- Initiate a review of occupational series for Chemical Incident Investigator positions to ensure we attract and hire candidates with appropriate mission-critical skills sets.

**We will explore work/life flexibilities, facilities and programs to make the Agency an attractive place to work.**

- Assess work schedule policy and the telework program to advance efficiency of operations.
- Continue and expand use of Student Loan Repayment Program where possible.
- Continue and expand use of Pathways (formerly Federal Intern) Program where possible.

## ELEMENT 4 – TALENT MANAGEMENT

Solution Activities	Solution Measures	Expected Outcomes
Develop and implement a comprehensive training policy ensuring that needed competencies are cultivated.	Policy is developed, implemented, and communicated.	<p>Agency has the skills/competencies it needs.</p> <p>New and current employee retention is enhanced, thereby sustaining the Agency investment made in new employees.</p> <p>Better performance through a more knowledgeable, more highly skilled workforce prepared to achieve CSB’s strategic goals.</p> <p>Training expenditures will be better aligned with overall organizational strategy and performance goals.</p> <p>Staff capacity will be improved in the Agency mission critical occupations.</p> <p>Agency is able to recruit and hire employees for mission critical positions quickly and efficiently.</p> <p>Enhanced work environment that recognizes and appreciates diversity, improved employee-friendly programs, and fairness.</p> <p>Agency hiring process is modified in accordance with OPM’s E2E Initiative creating a simplified and streamlined process and thereby aiding our recruitment efforts.</p>
Issue a Board Order authorizing educational reimbursement for tuition type costs in support of advancing employee degrees.	Order is issued and communicated.	
Consider training staff members in recurring skills sets to create staff authorities in various frequently occurring specialized knowledge areas.	Evaluation of value-added benefits to program. Decision is made and communicated. If decision is to move forward, next steps will be drawn up.	
Develop in-house training using online delivery methods as much as possible.	Plan and implement a CSB-specific training program to build core competencies in-house.	
Incorporate staff resource needs into budget and planning documents.	Budget documents include information related to staff resource needs.	
Consider developing a formalized “onboarding” process to integrate new employees into the CSB workforce culture.	Decision is made as to whether a formalized “onboarding” process is useful. If decision is to move forward, next steps will be drawn up.	
Continue the formal exit interview process to monitor retention efforts.	Exit interview format is in place and made available to exiting employees.	
Review and reconcile areas within the Agency that may contribute to discontent in the workforce, and therefore possible resignations.	Review is completed and areas of discontent are reconciled as appropriate.	
Streamline and simplify the recruitment and hiring process using the strategies and metrics in OPM’s End-to-End (E2E) Hiring Initiative.	<p>Applicants are selected within 15 days after selecting official receives selection certificate.</p> <p>CSB meets OPM E2E Initiative metrics.</p> <p>Use of hiring flexibilities where appropriate (e.g., STEP, Federal Career Intern Program (now Pathway program), summer employment).</p>	
Assess work schedule policy and the telework program to advance efficiency of operations.	Assessments are complete and decisions are made and communicated.	
Continue and expand use of Student Loan Repayment Program where possible.	Documentation of use.	
Continue and expand use of Pathways (formerly Federal	Documentation of use.	

<b>Solution Activities</b>	<b>Solution Measures</b>	<b>Expected Outcomes</b>
Intern Program) where possible.		
Initiate a review of occupational series for Chemical Incident Investigator positions to ensure we attract and hire candidates with appropriate skills sets.	Senior management directs the scope of this assessment and meets regularly with HR Director to develop recommendations related to findings.	

## Element 5 – Accountability

Accountability provides a consistent means to monitor and analyze Agency performance on all aspects of human capital management policies, programs, and activities which support mission accomplishment and to be effective, efficient, and in compliance with merit system principles. CSB is committed to planning our future human capital and human resources needs and ensuring sound management through a rigorous Human Capital Accountability System that demonstrates results, promotes continuous improvement, and ensures adherence to the merit systems principles and other laws and regulations. In the past, human capital assessments at CSB were mostly transaction- focused, with the exception of using OPM’s PAAT to assess our SES performance appraisal program’s status in October 2010. Our accountability program is now tied to our HCP and monitors the human capital performance goals, identifies how progress will be assessed, and describes the human resources management evaluation process.

**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 Agency’s proactive use of effective human capital management in accordance with the merit system principles and in compliance with Federal laws, rules, and regulations.

### Human Capital Goal:

**Agency leadership demonstrates its commitment to human capital accountability through actions and allocation of resources.**

#### Supporting Solution Activity:

- Update HCMP and Workforce Plan on regular basis and in response to changing human capital environment.

### Human Capital Goal:

**We will document our human capital management processes, measures, and results; evaluate our accomplishments; and report findings to Agency decision-makers and stakeholders.**

#### Supporting Solution Activities:

- Improve CSB’s human capital accountability by developing Human Capital Accountability System.
- Analyze results of the FCHS/AES.

## ELEMENT 5 – Accountability

Solution Activities	Solution Measures	Expected Outcomes
Update HCP and Workforce Plan on regular basis and in response to changing human capital environment.	Revise plans to determine if CSB’s human capital and human resources efforts are in line with mission and strategic goals.	Human Capital accountability ties to the Agency’s Strategic Plan, Integrated Financial System, etc.
Improve CSB’s human capital accountability system by implementing and maintaining Human Capital Accountability System.	Measure and assess all human capital management systems for mission alignment, effectiveness, efficiency, and compliance with merit system principles, laws, and regulations.	Documented human capital management process, measures, and results.
Analyze results of the FHCS/AES.	Administer FHCS/AES every year.	Agency senior management demonstrates commitment to the accountability system through its actions and allocation of resources.
Prepare Human Capital Management Report (HCMR) for OPM for each FY as required by regulation.	HCMR for FY is completed and submitted to OPM by December 15, 2010.	Agency conducts continuous assessment of its human capital practices.

**APPENDIX A**  
**to the**  
**HUMAN CAPITAL PLAN**



**U.S. Chemical Safety and  
Hazard Investigation Board**

**WORKFORCE  
PLAN  
2011 – 2015**



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## Workforce Planning Overview

Workforce planning overlaps the Agency’s strategic and mission goals with its workforce. It is the process through which the CSB identifies the human capital required to meet organizational goals, identify competency gaps, and develop strategies to address human capital needs and close those identified gaps. It’s an assessment of future workforce needs and a determination of strategies and actions required to meet those needs. Our Workforce Plan will allow us to identify strategies to align our workforce with our mission while accommodating for external trends and drivers that may impact our mission success. It will also provide the justification to support and prioritize human capital and human resources programs that will help us meet our short-term and long-term objectives. This is the Chemical Safety and Hazard Investigation Board’s (CSB/Board) first Workforce Plan and is identified as Appendix A to our Human Capital Plan.

Workforce planning involves the following six on-going steps:

7. **Set Strategic Direction** – Links workforce planning process with the Agency’s internal planning documents and work activities required to carry out the short-term and long-term goals and objectives.
8. **Conduct Workforce Analysis** – Identifies current workforce resources and how they will evolve; develops specifications for the kinds, numbers, and location of workers and managers to accomplish the Agency’s strategic requirements.
9. **Identify Workforce Gaps** – Determines what gaps exist between current and projected workforce needs. This includes a supply analysis, demand analysis, and gap analysis.
10. **Identify Strategies and Develop Action Plan** – Identifies strategies to close gaps, plans to implement the strategies, and measures for assessing progress.
11. **Implement Workforce Strategies** – Ensures that solutions are identified; human and fiscal resources are in place; roles are understood; and the necessary communication, marketing, and coordination are occurring to execute the plan and achieve the strategic objectives.
12. **Monitor, Evaluate, and Revise** – Monitors progress against milestones, assessing for continuous improvement purposes and adjusting the plan to make course corrections and to address new workforce issues.



These six steps are a circular process, with the sixth step of Monitor, Evaluate, and Revise leading back to the beginning in a continual effort to ensure that workforce planning needs are identified and captured on an ongoing basis. The CSB’s Workforce Plan as presented here primarily covers the first four steps of this process. Steps 5 and 6 are ongoing as the CSB moves forward in time and these parts of the plan are “living documents”. However, tools and strategies to continue through Steps 5 and 6 and track and measure progress are also presented. The sixth step of Monitor, Evaluate, and Revise is addressed in further detail in the CSB’s Human Capital Accountability System.

## Mission and Strategic Goals

**To investigate chemical accidents and hazards at fixed industrial facilities, to issue safety recommendations, and to provide information on preventing accidents to Congress, government, industry, labor, and the American public.**

**Goal 1: Select and complete accident investigations and recommend actions with a high potential for protecting workers, the public, and the environment.**

**Goal 2: Select and complete safety studies and recommend actions with a high potential for protecting workers, the public, and the environment.**

**Goal 3: Reduce the likelihood of similar accidents in the future by securing implementation of CSB safety recommendations.**

**Goal 4: Promote improved safety practices by broadly disseminating the findings, lessons, and recommendations from CSB investigations and studies.**

**Goal 5: Establish the CSB as a recognized world leader in accident investigation and prevention by continuing to improve our human capital and infrastructure.**

This Workforce Plan is tied directly to the mission of the CSB and to our five strategic goals. While all five of these goals are impacted directly by our human capital, efforts to support and develop our human capital are most closely aligned with Strategic Goal 5. This strategic direction sets the organizational direction for workforce planning and links human capital efforts to the Agency's direction and focus.

## CSB Workforce

As discussed in the Human Capital Plan, the CSB began operation in 1998 as a new federal Agency without any transfer of staff or infrastructure. Since that time, however, CSB has devoted considerable resources to hiring highly qualified personnel and developing its organizational structure and procedures. In 2006, the CSB established multiple (from two to three) investigative teams, each with a diverse array of skills to reduce the cost and duration of investigations. In addition, the CSB opened a new field office Investigative Team in Denver, Colorado in 2008 with the idea that establishing a presence in the western states potentially will allow the CSB to recruit more effectively, to deploy investigators more quickly to accident sites, and to maintain important contacts with stakeholders throughout the country. This expansion will also help the CSB increase its capacity to investigate more of the serious chemical accidents that occur each year across the U.S.

Various reviews of our Agency have brought to our attention the affect the possibility of attrition due to employee retirements, and the related loss of institutional knowledge will have on our ability to achieve mission accomplishment. While the percentage of CSB employees eligible for voluntary retirement in the next 10 years

excluding senior managers is only 17 percent, 77 percent of CSB's senior managers are eligible for voluntary retirement within that same timeframe.

CSB's Organization Chart is found on page 6 of our Human Capital Plan, to which this document is an Appendix.

## Mission Critical Occupations

Mission critical occupations are those occupations that are core to the mission of an organization. These occupations reflect the primary mission of the organization without which mission-critical work cannot be performed. For CSB, these include:

- Senior Management
- Chemical Incident Investigator
- Chemical Safety Recommendations Specialist
- General Counsel Attorney

These occupations were identified through discussions with the senior management officials. The CSB also used the information in the [Recruitment Priorities Table](#), under the Strategies and Solutions Section of this Workforce Plan, to help identify which occupations are mission critical at CSB.

**Senior Management Officials** are critical to the success of the CSB, similar to all Federal agencies. The President's Management Agenda (PMA) identifies leadership as a government-wide mission critical occupation. This category for the Board covers all executives who have significant leadership responsibilities for Agency programs and the CSB as a whole. Senior Management is responsible for planning, organizing, directing, and controlling work in support of achieving organizational goals and objectives. This leadership is critical to the success of the Agency.

**Chemical Incident Investigators** are core to the work performed at CSB and are located in the Office of Investigations. They serve as experts in industrial chemical safety and incident investigation, responsible for organizing, managing and coordinating the investigation and analysis of major incidents involving the accidental release of hazardous materials and writing, developing and presenting reports with safety recommendations for adoption by the Board.

**Chemical Safety Recommendations Specialists** are core to the work performed at CSB and are located in the Office of Recommendations. They serve as experts in industrial safety analysis responsible for leading and managing the development of the Board's safety recommendations and follow-up actions with recipients of the Board's safety recommendations and providing Board safety recommendations advocacy activities.

**General Counsel Attorneys** provide legal advice and services to Board members and Agency staff on all aspects of Board and Agency operations and direct all legal functions and operations necessary for Board programs.

## Employee Satisfaction – Federal Human Capital Survey

CSB has conducted employee satisfaction surveys to gauge how effectively the Agency is managing its workforce. In 2006 and 2008, the CSB participated in the Office of Personnel Management (OPM) Federal

Human Capital Survey (FHCS), which is administered by OPM in even-numbered years to collect data about how effectively agencies are managing their workforces. In 2007, OPM required agencies to complete an Annual Employee Survey (AES) which includes 40 prescribed questions that are also in the bi-annual FHCS. Because the questions from both surveys are the same, a direct comparison can be made with the data. CSB will continue to participate in OPM’s bi-annual FHCS and continue to conduct an Agency AES in the odd-numbered years to track progress in employee satisfaction. A full breakdown of the results from the 2006, 2007, and 2008 surveys is located in [Attachment 1 – Federal Human Capital Survey Positive Responses](#).

In OPM’s administration of the FHCS, they identified 16 “key impact items” through a series of standard statistical analyses that examined the relationships between what employees reported on these items and their expressed intention to stay or leave. These are the items most strongly associated with employees’ satisfaction and intent to stay in their jobs. These items are listed below along with the 2008 governmentwide and CSB’s 2007 and 2008 results as well as CSB trend data.

**Positive Responses to FHCS Impact Items - Strongest Predictors of Satisfaction and Who Stays or Leaves**

<b>FHCS Key Impact Items/Questions</b>	<b>% Positive – Gov Wide 2008</b>	<b>% Positive – CSB 2007</b>	<b>% Positive – CSB 2008</b>	<b>CSB Trend – 2007-2008</b>
Q.2 – I am given a real opportunity to improve my skills in my organization.	64.0%	80.0%	75.1%	-4.9
Q.5 – My work gives me a feeling of personal accomplishment.	73.4%	94.3%	77.0%	-17.3
Q.6 – I like the kind of work I do.	83.8%	94.3%	85.3%	-9.0
Q.9 – Overall, how good a job do you feel is being done by your immediate supervisor/team leader?	66.2%	74.3%	66.9%	-7.4
Q.17 – My workload is reasonable.	60.0%	71.4%	49.8%	-21.6
Q.18 – My talents are used well in the workplace.	62.3%	74.3%	62.2%	-12.1
Q.24 – Employees have a feeling of personal empowerment with respect to work processes.	43.8%	60.0%	63.5%	+3.5
Q.37 – I have a high level of respect for my organization’s senior leaders.	51.8%	57.1%	44.5%	-12.6
Q.40 – Managers communicate the goals and priorities of the organization. (New Impact Item in '08)	59.7%	74.3%	50.7%	-23.6
Q.55 – How satisfied are you with your involvement in decisions that affect your work?	53.4%	54.3%	59.7%	+5.4
Q.56 – How satisfied are you with the information you receive from management on what’s going on in your organization?	48.1%	60.0%	51.6%	-8.4
Q.57 – How satisfied are you with the recognition you receive for doing a good job?	50.3%	71.4%	63.3%	-8.1
Q.58 – How satisfied are you with the policies and practices of your senior	42.3%	60.0%	49.1%	-10.9

<b>FHCS Key Impact Items/Questions</b>	<b>% Positive – Gov Wide 2008</b>	<b>% Positive – CSB 2007</b>	<b>% Positive – CSB 2008</b>	<b>CSB Trend – 2007-2008</b>
leaders?				
Q.59 – How satisfied are you with your opportunity to get a better job in your organization?	39.0%	48.6%	48.0%	-0.6
Q.60 – How satisfied are you with the training you receive for your present job?	55.3%	62.9%	73.9%	+11.0
Q.62 – Considering everything, how satisfied are you with your pay?	60.4%	68.6%	52.2%	-16.4

The impact areas indicate that Federal employees government-wide want to feel that their talents are being used well and are valued, want opportunities to grow and advance, and want strong leadership. When these conditions are present, satisfaction is high and the intent to leave is low. The 2008 survey responses for CSB in these impact items show a higher positive response rate than the government-wide results in all but five questions, some significantly higher. However, nearly all questions show a lower positive response rate in 2008 than in 2007, in some cases considerably lower. This is an issue that requires additional evaluation at the Agency.

OPM has identified 40 of the FHCS questions that provide one source of information for evaluating success in three essential Human Capital Assessment and Accountability Framework (HCAAF) systems: Leadership and Knowledge Management, Results-Oriented Performance Culture, and Talent Management. Using the survey questions, OPM developed four indices, one directly related to each of the three systems identified above and an additional Job Satisfaction Index. The CSB is able to make comparisons by using the like questions identified by the indices from both the CSB 2007 AES and OPM’s 2008 FHCS.

The following table shows CSB performance in 2007 and 2008 and the government-wide performance in 2008 on the four HCAAF indices. CSB has higher positive response rates than those of government-wide in all but one of the indices, and the one is only .6 percent lower. Of concern is that rates in all four of the indices fell from 2007 to 2008.

<b>HCAAF Systems – Human Capital Management Indices</b>	<b>2008 Governmentwide Positive</b>	<b>2007 CSB Positive</b>	<b>2008 CSB Positive</b>
Leadership & Knowledge Management	58.7%	67.1%	58.1%
Results-Oriented Performance Culture	53.6%	68.8%	66.4%
Talent Management	59.7%	70.2%	67.0%
Job Satisfaction	67.0%	75.9%	69.1%

***OPM HCAAF Indices:***

- The Leadership and Knowledge Management Index indicates the extent employees hold their leadership in high regard, both overall and on special facets of leadership. This is the only Index for which CSB’s positive response rates was less than that of government-wide, but as mentioned only by a very small margin. Still, our

2008 scores dropped by nearly ten percent. In addition, all six of the “key impact” items in the Leadership Index show a decrease in positive responses from 2007 to 2008 and five of those also have scores below 65 percent. This is an area where the CSB needs to focus improvement efforts.

- The Results-Oriented Performance Culture Index indicates the extent employees believe their organizational culture promotes improvement in processes, products, and services, as well as organizational outcomes. In this category, CSB’s positive response rates show only a small overall decrease between 2007 and 2008. Still, positive response rates for almost half of the questions in this Index decreased from 2007 to 2008 and are less than 65 percent. Most of those questions are also related to supervision/management issues, where the CSB intends to focus our efforts. A number of those questions with lower scores in 2008 are related to awards and recognition.
- The Talent Management Index indicates the extent employees think the organization has the talent necessary to achieve its organizational goals. Once again, CSB’s positive response rates in this Index show only a small overall decrease between 2007 and 2008. However, all but two of the questions in the category show a decrease from 2007 to 2008, and these include two of the three “key impact” items included in this category. Questions related to training showed an increase or remained almost the same from 2007 to 2008.
- The Job Satisfaction Index indicates the extent employees are satisfied with their jobs and various aspects thereof. In this Index, CSB positive response rates for all but one question decreased between 2007 and 2008 and the overall decrease was almost seven percent. While CSB’s overall 2008 positive response rates exceed those of government-wide, four of the five “key impact” questions included in this Index show a decrease in positive response rates from 2007 to 2008. Of concern is that most of the questions in this category are also “key impact” items which are associated with employees’ intent to stay in their jobs.

The information in the tables below shows some trends and provides additional data toward determining where the CSB needs to focus our improvement efforts. These tables are organized by the HCAAF Indices and are numbered using the FHCS questions.

Those questions for which the positive response rate went up from 2007 to 2008 are as follows:

**CSB Positive Responses Increasing from 2007 AES to 2008 FHCS**

2007 AES and 2008 FHCS Positive Responses Increasing
<p><b>Leadership:</b>            Q.42 - Employees are protected from health and safety hazards on the job. +4.1            Q.43 - My organization has prepared employees for potential security threats. +6.5</p>
<p><b>Performance Culture:</b>            Q.12 - My supervisor supports my need to balance work and family issues. +4.3            Q.21 - Physical conditions (for example, noise level, temperature, lighting, cleanliness in the workplace) allow employees to perform their jobs well. +1.3            Q.24 - Employees have a feeling of personal empowerment with respect to work processes. +3.5            Q.30 - My performance appraisal is a fair reflection of my performance. +4.5            Q.31 - Discussions with my supervisor/team leader about my performance are worthwhile. +1.9            Q.32 - In my most recent performance appraisal, I understood what I had to do to be rated at different performance levels (e.g., Fully Successful, Outstanding). +7.0</p>
<p><b>Talent Management:</b>            Q.51 - My training needs are assessed. +4.9</p>

### 2007 AES and 2008 FHCS Positive Responses Increasing

Q.60 - How satisfied are you with the training you receive for your present job? +11.0

#### **Job Satisfaction:**

Q.55 - How satisfied are you with your involvement in decisions that affect your work? +5.4

These are areas in which the CSB needs to maximize employee satisfaction, which will help retain key employees and serve as a marketing tool in recruiting new employees. In areas where there has been improvement, the CSB needs to review the steps that were taken between 2007 and 2008 that contributed to these improvements and continue to focus on these efforts (for example, performance appraisal system standards were clarified and aligned with Agency mission).

Those questions for which the positive response rate went down more than 10 percent from 2007 to 2008 were:

### CSB Positive Responses Decreasing more than 10 Percent from 2007 AES to 2008 FHCS

#### 2007 AES and 2008 FHCS Decreasing Positive Responses More than 10 Percent

#### **Leadership:**

Q.17 - My workload is reasonable. -21.6

Q.37 - I have a high level of respect for my organization's senior leaders. -12.6

Q.38 - In my organization, leaders generate high levels of motivation and commitment in the workforce. -15.3

Q.40 - Managers communicate the goals and priorities of the organization, -23.6

Q.41 - Managers review and evaluate the organization's progress toward meeting its goals and objectives. -10.5

Q.58 - How satisfied are you with the policies and practices of your senior leaders. -10.9

#### **Performance Culture:**

Q.26 - Creativity and innovation are rewarded. -10.6

#### **Talent Management:**

Q.11 - The workforce has the job-relevant knowledge and skills necessary to accomplish organizational goals. -10.8

Q.14 - My work unit is able to recruit people with the right skills. -10.0

Q.18 - My talents are used well in the workplace. -12.1

#### **Job Satisfaction:**

Q.5 - My work gives me a feeling of personal accomplishment. -17.3

Q.62 - Considering everything, how satisfied are you with your pay? -16.4

Those questions for which the positive response rate was below 65 percent are as follows:

### CSB Positive Responses lower than 65 Percent on 2008 FHCS

#### 2008 FHCS – Lowest Positive Responses

#### **Leadership:**

Q.17 - My workload is reasonable.

Q.36 - Managers/supervisors/team leaders work well with employees of different backgrounds.

Q.37 - I have a high level of respect for my organization's senior leaders.

Q.38 - In my organization, leaders generate high levels of motivation and commitment in the workforce.

Q.40 - Managers communicate the goals and priorities of the organization.

Q.41 - Managers review and evaluate the organization's progress toward meeting its goals and objectives.



## 2008 FHCS – Lowest Positive Responses

Q.56 - How satisfied are you with the information you receive from management on what's going on in your organization?

Q.58 - How satisfied are you with the policies and practices of your senior leaders?

### **Performance Culture:**

Q.22 - Promotions in my work unit are based on merit.

Q.23 - In my work unit, steps are taken to deal with a poor performer who cannot or will not improve.

Q.24 - Employees have a feeling of personal empowerment with respect to work processes.

Q.26 - Creativity and innovation are rewarded

Q.27 - Pay raises depend on how well employees perform their jobs.

Q.29 - In my work unit, differences in performance are recognized in a meaningful way.

Q.57 - How satisfied are you with the recognition you receive for doing a good job?

### **Talent Management (in 2006, not asked in 2007):**

Q.11 - The workforce has the job-relevant knowledge and skills necessary to accomplish organizational goals.

Q.14 - My work unit is able to recruit people with the right skills.

Q.18 - My talents are used well in the workplace.

### **Job Satisfaction:**

Q.55 - How satisfied are you with your involvement in decisions that affect your work?

Q.59 - How satisfied are you with your opportunity to get a better job in your organization?

Q.62 - Considering everything, how satisfied are you with your pay?

These questions, and those in the table immediately preceding this one, are areas in which the CSB needs to focus attention to increase employee satisfaction.

## Supply Analysis

### ***Occupation/Grade Breakdown***

The CSB's occupation distribution is as follows:

**CSB Occupational Series Distribution** (*as of March 2009*)

<b>Occupational Series</b>	<b>Sample Position Titles</b>	<b>Number of EES</b>
201	Director of Human Resources	1
301	Chairman Board Member Board Affairs Specialist Director of Government, Public and Board Affairs Government and Public Affairs Specialist Supervisory Chemical Safety Recommendation Specialist Director of Administration	10
303	Administrative Support Assistant	1
343	Management Analyst	2
501	Director of Financial Operations Financial Specialist	2
905	General Counsel Attorney Advisor	3
1801	Supervisory Chemical Incident Investigator Chemical Incident Investigator Chemical Safety Recommendation Specialist	14
2210	Information Technology Specialist	3

The primary occupations in terms of overall numbers of staff are Chemical Incident Investigators and Chemical Safety Recommendations Specialists, which are also mission critical occupations.

The grade distribution of the CSB is compared to the civilian workforce in the Washington, D.C. metropolitan area as follows:

**CSB GS Grade Distribution** (as of March 2009)

<b>General Schedule Grade</b>	<b>Number of Employees</b>	<b>%</b>	<b>% Civilian Workforce D.C. Metro</b>
15	9	29.03%	13.67%
14	8	25.81%	18.70%
13	3	9.68%	20.17%
12	1	3.23%	12.30%
11	4	12.90%	7.57%
9	5	16.13%	5.77%
7	1	3.23%	4.45%
<b>Total</b>	<b>31</b>	<b>100%</b>	

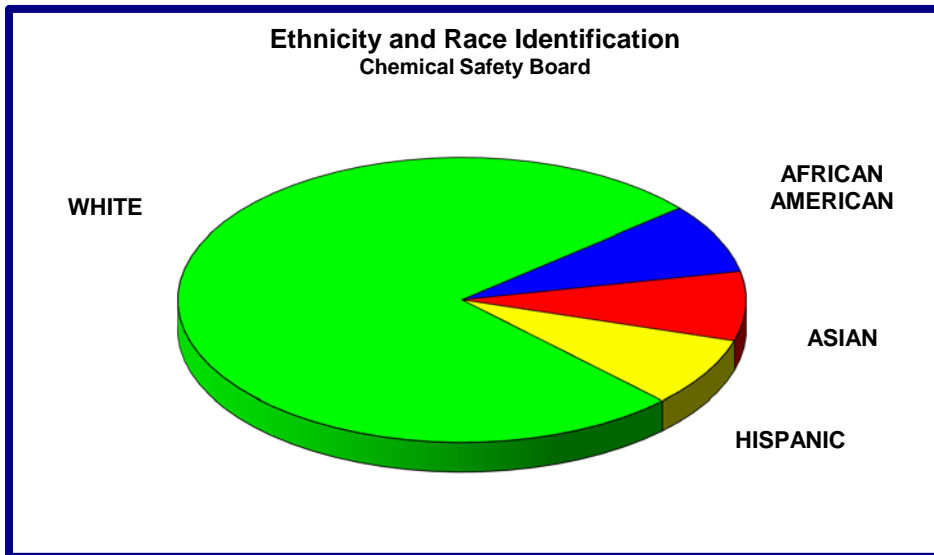
OPM, Fedscope data as of 5/08

The average grade for CSB is 12.7, while that of the Federal civilian workforce in the Washington, D.C. metropolitan area is 11.7. As can be seen, the grade representation of the CSB is fairly close to that of other Federal agencies in the Washington, D.C. area. Generally, civilian workforce grade levels in the Washington, D.C. metropolitan area tend to be higher than those nationally due to the fact that the majority of Federal agencies have their headquarters located in this area.

Currently, 22.22 percent of the Agency workforce is designated as supervisors or managers. This is one supervisor/manager for every 4.5 employees. While this is a high proportion, a higher ratio is to be expected in a small Agency such as ourselves where staff members are spread thin.

## Demographics

### Ethnicity and Race Identification



As represented on the pie chart to the left, our total minority representation is not quite as broad as that of the Federal Civilian Workforce. In the Asian category however, our representation exceeds that of both the Federal Civilian Workforce and the U.S. Civilian Labor Force. In addition, our Hispanic representation exceeds that of the Federal Civilian Workforce. Our representation of African Americans is an area in which the CSB continually makes extensive efforts to improve. Due to our very small size and the large number of scientific positions at

CSB, we have not been as successful at recruiting minorities as the CSB aspires to. All job announcements are widely distributed and targeted recruitment efforts are standard practice for all vacancies. The CSB will continue our earnest efforts toward improving minority employment. Currently, the CSB does not have any representation in the categories of Native Hawaiian or Other Pacific Islander and American Indian/Alaska Native. These are minority groups for which the representation in the Federal civilian workforce and the U.S. civilian labor force are relatively low, making it a challenge to build our diversity representation in these areas, especially given our small size. Specific minority representation is detailed in the following table:

CSB Ethnicity and Race Identification Data (as of March 2009)

	Ethnicity	Racial Category					Total Minority
	Hispanic	American Indian or Alaska Native	Black or African American	Asian	Native Hawaiian or Other Pacific Islander*	White	
<b>CSB</b>	3	0	3	3	0	27	9
<b>%</b>	8.3%	0.00%	8.3%	8.3%	0.00%	75.0%	25.0%
<b>Federal Civilian Workforce %</b>	7.8%	2.0%	17.8%	5.3%		67.2%	32.8%
<b>U.S. Civilian Labor Force%</b>	13.3%	.7%	10.1%	4.3%		71.6%	28.4%
<b>U.S.A. Population%</b>	14.4%	1.0%	12.8%	4.5%*		80.2%	

Federal Civilian Workforce and U.S. Civilian Labor from 2007 FEORP Report.

U.S.A. population figures are from the U.S. Census Bureau's USA Quick Facts based on the 2000 Census, located at [www.census.gov](http://www.census.gov).

\*Prior to 8/2005, Asian and Native Hawaiian or Other Pacific Islander categories were combined into one category of Asian/Pacific Islander.

## Sex

### Representation of Women (as of March 2009)

	CSB	CSB %	FW	CLF
Women	15	41.66%	43.9%	45.7%
Men	21	58.33%	56.1%	54.3%

OPM 2007 FEORP

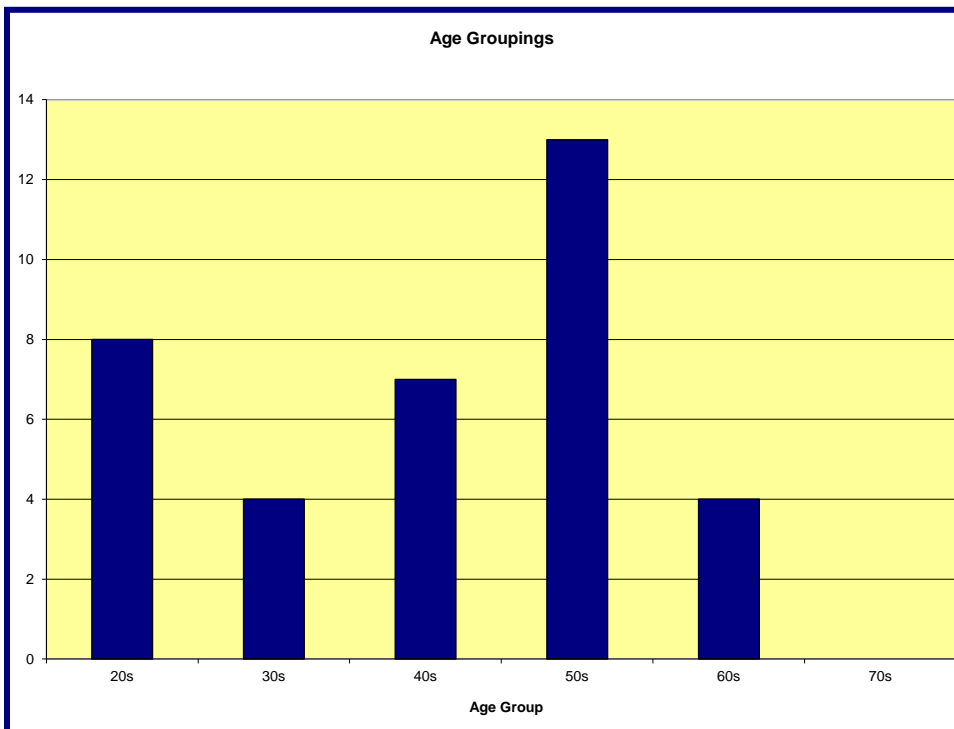
### Representation of Women by GS Grades (as of March 2009)

Grade Grouping	Total Number-CSB	Number Women CSB	% Women CSB	% Women – Federal Civilian Workforce
GS-1-4	0	0	0.00%	68.0%
GS-5-8	1	1	100.00%	63.0%
GS 9-12	10	10	100.00%	46.7%
GS-13-15	20	4	20.00%	36.2%
SES/EX	5	0	0.00%	

OPM 2007 FEORP

Representation of women at CSB is lower than that of both the Federal workforce and U.S. civilian labor force. When compared to the Federal civilian workforce, women at CSB are not as well represented at the higher grade levels in the organization. Twenty percent of our GS-13 through 15 positions are occupied by women. The high representation of women at the GS-9-12 levels does provide a strong pipeline of potential internal candidates for future leadership positions.

## Age



As of September 2006, the average age of the full-time, permanent Federal worker was 46.9 years. For CSB, the average age as of March 2009 is 45. The age groupings for CSB employees as of March 2009 are illustrated in the bar chart to the left. Our current average age is about two years below that of the Federal civilian workforce. Just over a third of our workforce is over the age of 50. Over half of our workforce is below the age of 50 and over half of those are in their 20's and 30's. The CSB has attained a fairly good mix of career-entry, mid-career, and late career employees that will help ensure Agency institutional

knowledge and work planning will continue with less interruption should high levels of attrition due to retirements or other unplanned reasons occur. Still, with half of the workforce over the age of 50, an active focus on planning for future high levels of attrition must be maintained.

When compared to the Federal civilian workforce age groupings in the Executive Branch, the mix of age groups in our workforce is fairly close. However, the representation of employees over the age of 50 at CSB is higher than that of the overall Federal civilian workforce as reflected in the following table.

**CSB Representation across Age Groups (as of March 2009)**

<b>% of Employee Population</b>	<b>Average Age</b>	<b>&lt;30</b>	<b>30-39</b>	<b>40-49</b>	<b>50-59</b>	<b>60-69</b>	<b>70+</b>
<b>CSB – Number</b>	45	8	4	7	13	4	0
<b>CSB - %</b>		22.2%	11.1%	19.4%	36.1%	11.1%	0%
<b>Federal Civilian Workforce - %</b>	46.8	10.4%	20.1%	29.3%	32.2%	7.3%	.7%

From OPM 2005 Fact Book

**Generational Analysis**

There are four primary generations working at CSB at this time. They are the veterans, baby boomers, generation X, and generation Y. Each generation has a set of values that differs from the other. The characteristics listed in the following table are but a very few of those that have been studied and reported by various authors. Not every person in a generation will share all of the various characteristics shown in this table with others in the same generation. However, these examples are indicative of general patterns in the relationships between and among family members, friends and people in the workplace. Individuals born at one end of the date range or the other may see overlapping characteristics with the preceding or succeeding generation.

**CSB Representation across Generation Groups (as of March 2009)**

<b>Generation</b>	<b>CSB Number</b>	<b>CSB Percentage</b>	<b>Core Values</b>
Generation Y (1979-1994)	8	22.22%	Realism, civic duty, confidence, achievement, sociability, morality, street smarts, diversity, fast learning
Generation X (1965-1978)	9	25.00%	Diversity, thinking globally, balance, technology, fun, informality, self-reliance, pragmatism
Baby Boom (1946-1964)	17	47.22%	Optimism, team orientation, personal gratification, health and wellness, personal growth, work involvement
Veteran (1922-1945)	2	5.56%	Dedication, sacrifice, hard work, conformity, law and order, respect for authority, patience, delayed reward, duty before pleasure, adherence to rules, honor

Conflicts between generational styles can lead to workforce conflict. This is maximized when one or more generation is a clear minority. A more even mix of generations can still generate conflict, but differences in core values and work styles are more balanced and can contribute to effective change and an active performance culture. Managing and leading such a workforce requires enhanced leadership skills if the organization is to function at peak productivity.

The Veteran generation is actively retiring now. Many Baby Boomers are or will be eligible to retire within the next five to ten years. Recent studies have indicated that the Federal government is an employer of choice for American undergraduates. In a 2008 poll conducted in collaboration with the Partnership for Public Service<sup>1</sup>, Government/public service is the most popular industry choice out of 46 options for American undergraduates. A healthy work/life balance is undergraduates’ number one career goal with 66 percent of students citing this as a priority, and federal employment offers these flexibilities. While these findings are encouraging for federal agencies, the survey also revealed some challenges. Many young people fear “bureaucracy” and “red tape” if they work for the government. In addition, undergraduates expect to earn an annual salary of more than

<sup>1</sup> [Great Expectations, What Students Want in an Employer and How Federal Agencies Can Deliver It](#), January 2009, Partnership for Public Service/Universum USA.

\$49,000 in their first job after graduation, yet entry level federal government starting salaries for students with undergraduate degrees range from about \$30,000 to \$38,000. These factors will adversely impact every Agency's ability to recruit for college graduates. It is critical that future recruitment activity includes a focus on ages and generations in addition to other factors. As the "war for talent" escalates, organizations realize that a talent acquisition strategy including planning, sourcing, assessing, hiring and an orientation process is a necessity.

## **Veterans**

Recognizing the sacrifices that veterans have made, Congress enacted laws to provide veterans preference which recognizes the economic loss suffered by citizens who have served their country in uniform, restores veterans to a favorable competitive position for government employment, and acknowledges the larger obligation owed to disabled veterans. While the percentage of veterans with preference employed in the Federal civilian workforce in 2004 was 22 percent, the proportion at the CSB is 8.3 percent.

## **Disability**

Executive Order 13163, which became effective in July 2000, calls for Federal agencies to increase employment opportunities for individuals with disabilities employed at all levels and occupations in the Federal Government. It focuses attention on the need to hire and advance qualified individuals with disabilities within the Federal Government. Executive Order 13163 also requires each Federal Agency to have a plan as to how it will increase the opportunities for individuals to be hired in the Agency. The CSB remains committed to try and maintain and increase diversity in its workforce in the hiring and employment of disabled employees and to providing reasonable accommodations for those employees as necessary. At present, our workforce includes 5.4 percent of employees who reported a disability while the Federal civilian workforce representation is 6.8 percent. It should be noted that disability status is "self-identified," meaning employees may choose whether or not they wish to report a disability; therefore there is no absolute way to ensure accurate numbers.

## ***Attrition Analysis***

The table below shows the losses to the organization from 2004 through 2008. As evidenced in the table, attrition rates have remained fairly constant. The CSB has both gained and lost about the same number of employees and expect to continue to fill vacancies as they occur. The rate of voluntary retirement actions has been very low. While an increasing rate of attrition due to voluntary retirements cannot be curtailed as it is difficult to entice employees to remain on the rolls when they are ready to retire, the impact can certainly be managed and steps can be taken to try to maintain key personnel.

Transfers are when an employee separates from the Agency to accept a new position with another Federal Agency. Most managers, while disappointed to lose strong performing employees, are satisfied if these employees are able to obtain new positions offering additional opportunities for growth in responsibility, accountability, and compensation and the accompanying exposure to new work experiences. However, transfers are not a positive situation when key employees depart because they are not satisfied with their current work experience and are not necessarily looking for new opportunities or promotions, but desire to leave due to their dissatisfaction. The rate of transfers has remained fairly low throughout the reflected time period. Of positive note, is that 10 of the 36 employees at CSB (28 percent) have promotion potential in their current positions. When employees have promotion potential, retention rates are positively influenced.

Resignations are generally considered to be voluntary on the part of the employee and do not offer any benefit to the government as a whole when high-performing employees leave. Approximately four of the resignations

every year except for 2008 were students who returned to school, indicating further that the rate of resignations at CSB has remained low.

**Losses to the Organization - From January 2004 through December 2008**

Year	Resignation	Retirement	Transfer	Termination	Death	Total
2008	1	1	3			5
2007	5		2	2		9
2006	5		3			8
2005	7					7
2004	8	1	1	1		11

**Retirement Analysis**

Within the Federal civilian workforce, the average age of retirement in FY 2004 was 58.7 years for all types of retirement. The average age for optional (voluntary) retirement was 60.4. While the average age of retirement has been slowly increasing in recent years, the overall trend from 1994 to 2004 was nearly the same, with an average age of 58.0. This 2004 information is the most current statistical data of this type available.

In March 2008, OPM published “An Analysis of Federal Employee Retirement Data.” This document predicts future retirements using varying factors relevant to retiring from the Federal service. The study reports that in 2008, 27.2 percent of the workforce will be eligible to retire and that by the year 2016, the ratio reaches 60.8 percent. However, using the varying factors and available data, the study predicts that the actual retirements will be 7.8 percent in 2008 and 37.3 percent for 2016. It also reports that the study of occurrence and time of retirement indicates the median number of years an employee stays with the Government after first becoming eligible is four years, and that nearly 25 percent remain for nine years or more.

This study gives some perspective to the very large number of Federal employees becoming eligible to retire government-wide. Based on these predictions, CSB’s actual workforce retirement eligibility numbers for the next five to ten years are very small. The percentage of CSB employees eligible for voluntary retirement in the next 10 years, excluding senior managers, is only 17 percent. However, 77 percent of CSB’s senior managers are eligible for voluntary retirement within that same timeframe. Eligibility for retirement is not a significant workforce planning factor for CSB overall, but senior management retirement is a factor that needs to be focused upon and managed before it becomes a critical issue. Eligibility in 5 year increments for optional retirement is as indicated in the table below.

**CSB Optional Retirement by Grade Level**

Grade	Eligible before or in 2009	Eligible Next 5 Years (as of 12/31/13)		Eligible Next 10 Years (as of 12/31/18)		Eligible Next 15 Years (as of 12/31/23)	
		New	Cum	New	Cum	New	Cum
7							
9							
11		1	1		1		1
12							
13	1		1		1	1	2
14				4	4	1	5
15		4	4	1	5	2	7
SES/SL	1		1		1		1
EX	1	2	3	1	4		4



<b>Grade</b>	<b>Eligible before or in 2009</b>	<b>Eligible Next 5 Years (as of 12/31/13)</b>		<b>Eligible Next 10 Years (as of 12/31/18)</b>		<b>Eligible Next 15 Years (as of 12/31/23)</b>	
Total	3	7	10	6	16	4	20
Percent of Current Workforce	8.33%	19.44%	27.78%	16.67%	44.44%	11.11%	55.55%

First Column for years out is newly eligible employees in that time frame, second column is cumulative total.

The average length of service for all retirements in Fiscal Year 2004 government-wide was 28.1 years and 29.3 years for voluntary retirements. The current average Federal civilian employees' length of service is 16.6 years. CSB's employees' average length of service is 8 years, half that of the overall civilian workforce.

### Staffing Trends

<b>Calendar Year</b>	<b>Number of New Hires</b>
2008	4
2007	7
2006	7
2005	13
2004	10

The table to the left indicates new hires to the Agency from January 2004 through December 2008. New hires include career/career-conditional appointments, transfers, reinstatements, excepted appointments, and temporary appointments. The CSB has gained employees at about the same rate as we have lost them, filling most vacancies as they occur. Our total FTE count has remained fairly constant since the Agency's creation in 1998. The CSB expects to hire additional Chemical Incident Investigators in the next two years.

## Mission Critical Occupations

The table to the right lists the mission critical occupations and the number of full-time equivalent (FTE) in the various grade levels. Individuals who are senior managers and are classified in one of the other mission critical occupations are included in the Senior Management count. The highest population groups are Senior Management and Chemical Incident Investigator.

Mission Critical Occupation	Average Age	Average Years of Service
Senior Management	51.89	15.33
Chemical Incident Investigator	40.60	4.30
Chemical Safety Recommendations Specialist	27.50	1.50
Attorney	39.50	9.50

The average age and average years of service indicated above illustrates the aging of employees in mission critical occupations.

Mission Critical Occupation/Grade	Number
Senior Management –SES/15's	9
Chemical Incident Investigator	10
GS-9	3
GS-12	1
GS-13	1
GS-14	5
Chemical Safety Recommendation Specialist	2
GS-9	1
GS-11	1
Attorney	2
GS-14	1
GS-15	1

The following table breaks down retirement eligibility at CSB for the mission critical occupations. Two-thirds of our Senior Managers are eligible for retirement in the next ten years, so succession planning for leadership is our main area of focus. There is no immediate need for succession planning in our other mission critical occupations due to retirements, though the CSB will continue to make use of recruitment and retention strategies to ensure we are able to maintain our first-rate workforce.

	Current On-Board Count	Cumulative Optional Retirement Eligibility		
		2009	Next 5 Years (2013)	Next 10 Years (2018)
Senior Management	9	1	2	6
Chemical Incident Investigator	10	0	0	3
Chemical Safety Recommendation Specialist	2	0	0	0
Attorney	2	0	0	0

Data over the last five years in the mission critical occupations show relatively low attrition rates. Most turn-over has occurred within the Chemical Incident Investigator occupation, but that is to be expected as Investigators represent 28 percent of the total workforce. In addition, the skills sets associated with these positions are in high demand in the private sector.

Mission Critical Occupation Attrition – January 2004 – December 2008	Number of Separations					
	2004	2005	2006	2007	2008	Total
Senior Management	3				2	5
Chemical Incident Investigator		2	4	3	2	11
Chemical Safety Recommendation Specialist				2	1	3
Attorney		1				1

# Demand Analysis

## *Workforce Trends and Drivers*

There are various trends and drivers that impact the workforce and the resulting identification of strategies and action plans. Some of these are:

### **Loss of Institutional Knowledge**

As the CSB senior management workforce ages and separates, the organization faces a growing and significant problem with the loss of individuals who possess valuable institutional and organizational knowledge. This is especially critical given the very specialized type of work carried out by the Agency. Knowledge regarding the nuances involved in the investigations conducted by CSB must be passed on from the long-term employees to the newer employees. Moreover, much of the employee training is achieved through on-the-job training, particularly from the supervisory/managerial ranks. Because the mission critical occupations other than senior management are occupied by younger employees with less Federal service, it is even more important that this knowledge be managed.

### **Recurring Expert Skills Sets**

There are recurring specific skills sets that are required for investigations conducted at CSB. Some of these skills sets are manageable enough that an Investigator could actually become an Agency expert in them, in addition to their regular duties. Others are so wide-ranging that in order for an Investigator to acquire and keep up the skills sets, the CSB could only require that an “updated working knowledge” be maintained. Each Investigator has varying levels of knowledge in some or all of these areas, depending upon their assigned roles. Currently, when an investigation requires a team member to have knowledge in one of these areas, one of the assigned Investigators hurriedly gets up to speed on the subject to ensure the most recent information is included or used in the conduct of the investigation. In many cases, particularly those requiring more extensive skills sets, the CSB hire a contractor. The Agency would benefit greatly by routinely developing specific staff members for the various skills sets, thereby creating some degree of a “staff authority” in these skills sets that could then be called upon as required by the various incidents. Staff members could be assigned a specific area and would then acquire and maintain state-of-the-art expertise, or an updated working knowledge in their assigned skills set. These recurring skills sets include, but are not limited to:

#### **Manageable Skills Sets**

Human Factors/organizational analysis  
DCS control systems  
Safety instrumented systems  
Process hazard analysis  
OSHA and EPA regulatory scheme (PSM, RMP, HAZcom, etc.)

#### **Wide-Ranging Skills Sets**

Process modeling  
Reactive chemical hazards  
Incident data analysis  
Pressure relief systems  
Facility siting  
Explosion analysis

### **Additional Safety Studies**

The GAO’s audit called for the Board to perform additional safety studies as stated in Goal 2 of our Strategic Plan. In response to GAO’s Report to Congress of August 2008, CSB agreed that the performance of these studies is critical, believing that broader studies form an important part of our work by leading to safety recommendations that have greater national impact. The issue is how to conduct studies with the limited and

already over-tasked staff resources and funding available. The CSB is putting together a plan for how we might accomplish this work within the confines of our current status, but the very real problem of our inadequate resources remains a barrier to mission achievement.

### **Staff Capacity**

The GAO's audit and Report to Congress discuss the need for conducting additional investigations. The current number of Chemical Incident Investigators at the Board is not sufficient to conduct the number and breadth of investigations necessary for proper mission accomplishment. Investigators are deployed to investigation sites far more often than is acceptable; most do not have time to take necessary training or an annual vacation. Furthermore, as mentioned above, CSB is being called to perform additional safety studies which cannot be accomplished within the confines of our current staff numbers. While the CSB hires contractors for those investigations that require specialized skill sets, this does not lessen the workload of our permanent staff. When an investigation requires very specialized knowledge or skills not present in our permanent staff, the CSB will continue to hire contractors to fill that void. Hiring contractors is clearly one of the ways in which the CSB can effectively manage any knowledge or skills deficits, but it will not solve the problem of needing additional permanent staff members on our Investigative Teams. Permanent Investigative staff capacity must be increased to meet these additional demands.

The percent of employees at CSB who feel their workload is reasonable has dropped 21.6 percent from 2007 to 2008. The positive response rate for this question is only 49.8 percent. This is one of the key impact items that OPM's studies have found to have an extreme effect on whether or not employees stay or leave. It is unrealistic to require our employees to continually endure constant demands to travel, long hours, the inability to take time off, and to forfeit most all opportunities for training. Employee burn-out is definitely affecting the morale of the staff and the CSB expects that it will also have a negative effect on employee retention if our staffing shortfalls are not managed immediately.

## **CSB Workforce Needs**

As part of the workforce planning process, CSB management officials participated in an interview process which helped us identify some of the concerns of our management team and the impact of those issues on the Agency workforce. Management officials also provided detailed workforce information as part of the original human capital planning efforts.

### **Senior Management**

The focus in the area of senior management officials is preparing for a transition of the management team as current managers and leaders retire and leave the Agency. The CSB hopes to identify a professional, well-qualified, motivated management team that focuses on our mission and the development of our staff. The CSB is also focused on developing managers who can in turn create and maintain a culture that increases employee engagement, accountability, and a results-oriented performance culture. Some of the developmental opportunities the CSB has provided to current staff are discussed in this plan under Strategies and Solutions, [Leadership Development](#). The CSB will continue to be conscious of the need to provide opportunities to groom the next generation of leaders.

### **Chemical Incident Investigators**

As discussed throughout this WFP, the current number of Chemical Incident Investigators at the Board is not sufficient to conduct the number and breadth of investigations necessary for proper mission accomplishment. See [Workforce Trends and Drivers](#) for more detail.

## Gap Analysis

Gap analysis is the process of comparing information from the supply and demand analysis to identify the differences or “gaps” between the supply and demand.

### *Gaps Resulting from Attrition*

Attrition due to transfers, resignations, and other separation actions is low for the overall Agency. Most losses were in the Chemical Incident Investigator occupation, which is not unusual given that this occupational group represents the largest portion of the workforce (28 percent). Of some concern is that approximately half of the resignations over the reviewed timeframe were due to employees accepting position with private industry. Often, comparable private sector positions offer better salaries, bonuses and benefits. As discussed in the [Workforce Challenges](#) section later in this document, it is extremely important that we ensure that the investment made in the recruitment and development of employees results in their retention. The CSB needs to continue monitoring attrition and any possible reasons that could increase the levels, particularly in the mission critical occupation of Chemical Incident Investigators. Retirement is only a concern within the mission critical category of Senior Management, where two-thirds of our managers are eligible for voluntary retirement in the next ten years. The CSB will continue to plan for, monitor and manage any leadership related attrition.

### *Competency and Capacity Gaps*

In [Attachment 2 – Mission Critical Occupations, Critical Tasks, Competency Requirements & Gaps](#), the CSB has captured the critical tasks, the competency requirements, and the gaps between those required competencies and the current workforce’s competencies for the mission critical occupations in CSB. A competency is a measurable pattern of knowledge, skills, abilities, behaviors, and other characteristics that an individual needs to successfully perform work roles or occupational functions.

CSB Management Officials took part in several data collection processes to provide information identifying mission priorities, current workforce skills, skills needs not currently at competency levels required for mission accomplishment, mission and workforce trends, recruitment strategies, and communication issues. The information identified through this endeavor was supplemented by the AES data that the CSB took part in during 2006, 2007, and 2008, as well as competency information from OPM’s Human Resources Manager. The outcome of these efforts led us to the information provided in [Attachment 2](#).

In summary, the competency gaps for our mission critical occupations are minimal at CSB. For Senior Management, the three identified primary competency gaps were communication, teamwork, and leadership focus. The latter refers to competencies in the leadership arena that need attention and development. For Chemical Incident Investigators, the competency gap identified was training in expository writing, along with bench-strength limitations noted as a gap. Suggested solutions for some of the gaps identified and listed in the Senior Management category are discussed in this plan under [Strategies and Solutions](#). Specific solutions to the identified competency gaps are included in the Human Capital Solutions Implementation Plan which is Appendix B to our Human Capital Plan.

### *Diversity Gaps*

While the Agency does not have any specific diversity goals, it does strive to have a workforce that is as representative of the U.S. Civilian labor force as possible. CSB is not as representative as the Federal civilian

workforce or U.S. civilian labor force in the categories of American Indian /Alaskan Native, and Black or African American. For the category of Asian/Native Hawaiian or Other Pacific Islander, CSB representation is above that of both the Federal civilian workforce and the U.S. civilian labor force, and in the Hispanic category our representation is also above that of the Federal civilian workforce. Any recruitment activity will continue to include focused diversity efforts in an effort to increase the diversity of the applicant pool and the CSB will continue to focus on maintaining the strong representation of Asian and Hispanic workers at the Agency.

CSB's workforce is not as representative as the Federal civilian workforce in the area of Veterans. Disabled employees make up 5.4 percent of our workforce which is slightly below that of the Federal civilian workforce at 6.8 percent. These are areas in which the Agency will continue to make targeted recruitment efforts whenever possible for future vacancies.

Overall, the age of the Federal civilian workforce has been increasing with time. CSB has done a good job of attracting younger workers into the workforce and the CSB will continue using the effective recruitment strategies that are working for us in this area. Any employee departures will provide the Agency with the opportunity to improve upon diversity gaps of all types. The continued injection of early-and mid-career individuals with the right talents will ensure a productive workforce with newer skill sets and new ideas and points of view that will help shape a better future workforce.

### ***Gap Analysis Summary***

Due to the high numbers of senior managers eligible for voluntary retirement, it is possible that two-thirds of our managers may turnover within the next ten years. The loss of employees during this time will challenge us in meeting our mission responsibilities and goals. However, the loss and replacement of key positions will provide opportunities to continue to diversify the workforce, obtain needed competencies, and bring out new perspectives and ways of accomplishing work. To minimize unnecessary turnover and manage the impact of attrition, the CSB will need to have appropriate strategies to efficiently and effectively recruit and retain employees. Strategies for these areas are addressed later.

Other workforce changes that will have an impact are:

- The retirement of senior management will also have an impact on knowledge management. The CSB must continue to make strides in capturing this knowledge.
- While added diversity in all areas is a positive contribution to the Agency, managing diversity can be difficult. Our managers and supervisors need to be given the tools and development opportunities to successfully meet this challenge.

## Key Workforce Challenges for the CSB

The following is a summary of some of the issues that have been referenced throughout this document. This list will focus the activities and actions of the CSB to ensure that our workforce is equipped to the successfully accomplish mission objectives.

**Organizational Deficit** – The reestablishment of the Director of Operations position at the SES level between the Supervisors of the Investigation Teams and the Chairman would allow the teams to operate more consistently and share resources more readily, as well as reduce direct reports to the Chairman of the Agency. A position similar to this one was in place in the organization when the Agency was first established. As the Agency evolved and the position was vacated in 2004, the determination was made that a new structure without the Director of Operations position would allow unfiltered access and exchange of information between the Chairman and the Investigation Managers concerning ongoing investigations. The Board has reconsidered this and decided to recruit for and fill the position as soon as possible.

**Development of Expert Skills Sets** – There are recurring specific skills sets that are required for investigations conducted at CSB. Currently, when an investigation requires knowledge in one of several specific areas, an assigned Investigator hurriedly gets up to speed on the subject to ensure the most recent information is employed in the conduct of the investigations. More detail on this challenge is found in [Workforce Trends and Drivers](#).

**Employee Training** – The CSB needs to ensure that training dollars are particularly focused on training that addresses mission critical skills and competencies and that training programs are aligned with Agency strategic goals and performance objectives. A consolidated approach to training and development should be implemented. Because of our staff resource limitations, planning for and scheduling employee training is very difficult. It is critical that CSB employees stay abreast of all issues related to chemical safety and maintain state-of-the-art knowledge in order to conduct comprehensive investigations and make informed recommendations. There are excellent training and education resources available and the CSB must be able to provide opportunities for our employees to attend.

**Knowledge Management** – In the 21st century, the increasing rate of change will be more prevalent than in the past, influencing performance both organizationally and individually. Should a significant portion of the experienced employees and managers opt for retirement, the resulting skill gaps and loss of institutional knowledge in responding to differing circumstances will affect the CSB's ability to realize our mission and goals. In addition, the highly specialized mission of the Agency makes knowledge capture and transfer especially critical.

**Leadership Succession** – CSB has high retirement eligibility rates in its core of Senior Management in the next ten years.

**Leadership Development** – There are several areas in the employee satisfaction surveys where the positive response rate for questions relating to leadership and supervision decreased in 2008 from 2007. This is cause for concern because in some cases the decrease was significant. While a number of the questions in the survey that had low and/or decreasing positive response rates fall into various HCAAF Indices, most of them are directly related to supervision and management deficiencies. Issues such as generating employee motivation, employee empowerment, reasonable workload levels, dealing with poor performers, and awards and recognition are all areas that can be cultivated through leadership development methods. In addition, due to the Agency size many of our leaders are tasked with a significant day-to-day operational workload in addition to their



management responsibilities. While some of the operational responsibilities will likely continue to require our managers' attention, the CSB will look toward a better alignment of responsibilities in order to cultivate more of a leadership-focus in our managers. Leadership development combined with management succession planning will have a positive impact on both the current and future leadership of the Agency.

**Communication** – There is evident concern amongst the workforce about the amount and effectiveness of communications, with those questions relating to communication in the employee satisfaction surveys having positive response rates of less than 65 percent. In order to support a results-oriented performance culture, employees need to be engaged in not only the mission of the organization, but the day to day operations and decision making as well. Ensuring that employees know what is taking place in both the short-term and long-term helps ensure their support in making those plans come to fruition.

**Performance Appraisals and Awards** – CSB's recently updated performance appraisal system is doing a better job of articulating Agency expectations for employees. However, the system needs refinement to include appropriate measures tied to mission goals as well as recognizing employees for good performance and providing appropriate rewards. The CSB will continue to refine our performance appraisal system as well as our awards process with an eye toward a results-oriented performance culture.

**Chemical Incident Investigator Recruitment and Retention** – The CSB needs to ensure that the investment made in the recruitment and development of our Investigators results in the retention of skilled personnel. Discussion continues surrounding the appropriate competency and education requirements needed in recruitment for these positions. Our Supervisory Investigators have differences of opinion regarding the proper classification of these positions, possibly due to hiring location. Of main concern is that our recruitment efforts produce the best number and quality of applicants who have the necessary skills for successful mission accomplishment. The CSB will continue to evaluate this issue with successful recruitment efforts as our goal.

As mentioned in various places throughout this Plan, lack of staff in the Investigator occupation is a significant issue. If this is not corrected, it is likely to have a negative effect on employee retention in this mission critical occupation.

**Necessity for Safety Studies as part of Agency Mission** – GAO and EPA, as well as other stakeholders, have inquired about CSB's commitment to carrying out this part of our mission, which may require additional staff resources. See [Workforce Trends and Drivers](#) for more detail.

**Staff Capacity** – As discussed under [Workforce Trends and Drivers](#), the Board must address the lack of staff resources. The Chemical Incident Investigator Teams are over-tasked with the number and breadth of the investigations requiring attention.

## Strategies and Solutions

The following are a number of strategies and solutions that can be implemented to address the Key Workforce Challenges for the CSB and in supporting the workforce and achievement of Agency objectives in general.

### Recruitment Strategies

- **Hiring Priorities** – The table below outlines an approach to prioritizing which positions need to be filled:

#### Recruitment Priorities for CSB

<b>Directly Supports CSB's Mission</b>	
Positions which:	
<ul style="list-style-type: none"> <li>▪ Are mandated by law and/or regulation</li> <li>▪ Have significant influence management decisions/actions</li> <li>▪ Positions which broadly influence/impact other than the immediate organization</li> <li>▪ Results in actions to implement Agency decisions/actions</li> </ul>	
Sample Occupations:	
<ul style="list-style-type: none"> <li>▪ Senior Management</li> <li>▪ Chemical Incident Investigators</li> </ul>	<ul style="list-style-type: none"> <li>▪ Chemical Safety Recommendations Specialists</li> <li>▪ General Counsel</li> </ul>

<b>Enables the Core Mission</b>	
Positions which:	
<ul style="list-style-type: none"> <li>▪ Directly enable core work to be accomplished</li> <li>▪ Work provides information and tools to enable core work to be accomplished.</li> </ul>	
Sample Occupations:	
<ul style="list-style-type: none"> <li>▪ Congressional and External Affairs</li> </ul>	

<b>Enables the Operations and Organizational Efficiencies</b>	
Positions which:	
<ul style="list-style-type: none"> <li>▪ Enable core workers to function and focus on core work</li> <li>▪ Provide interface/information to the public</li> </ul>	
Sample Occupations:	
<ul style="list-style-type: none"> <li>▪ Administration</li> <li>▪ Budget &amp; Financial Services</li> <li>▪ Facilities Management</li> </ul>	<ul style="list-style-type: none"> <li>▪ Human Resources</li> <li>▪ Information Technology</li> <li>▪ Clerical/Administrative Support</li> </ul>

<b>Non-Critical Support</b>	
<ul style="list-style-type: none"> <li>▪ This type of work is typically done because “it always has been” or because people think it needs to be done. This work does not add clear, demonstrable value to the organization.</li> </ul>	

- **Career Patterns** – To support the increasing competition in attracting and retaining a talented workforce, OPM developed the Career Patterns initiative, a new approach for identifying appropriate strategies to bring the next generation of employees into Federal positions. The Career Patterns initiative offers a way of viewing recruiting techniques for identifying opportunities and crafting action plans related to employment

efforts. The Career Patterns initiative is based on the recognition that yesterday's typical, traditional employee, an entry-level employee who joined an Agency and spent his/her career growing in that Agency and position, is not the model the CSB can rely upon today. More and more of today's workforce are attracted by features other than this traditional employer-employee relationship. Workforce planning efforts need to focus on new arrangements around dimensions related to time in career, mobility, permanence, mission-focus, and flexible arrangements. Tied with this is the need for managers and leaders to have the competencies needed to supervise and manage in a non-traditional way. For each of these dimensions, aspects of the position and employee needs will vary. For example, time in career will vary from early, middle, late, and returning annuitants. As vacancies occur, CSB will use the Career Patterns Guide and Analytic Tool to help further define effective strategies for attracting and retaining current and future employees.

- **Special Appointing Authorities for Veterans** – Hiring flexibilities such as the Veterans' Recruitment Appointment, 30 Percent or More Disabled hiring authority, and the Veterans Employment Opportunity Act makes hiring veterans outside of normal competitive procedures easy. Besides the discipline and work ethic that military service instills, transitioning veterans have technical skills in areas of critical importance: information technology, communications, security, and information gathering. Transitioning veterans are eager to serve and the CSB should work with military outplacement organizations, which may provide additional benefits in increasing diversity.
- **Expert and Consultant Appointments** – One option that can be used to temporarily infuse skills to address specific short-term projects or initiatives is the excepted service appointment of experts or consultants. An expert is someone who is specifically qualified by education and experience to perform difficult and challenging tasks in a particular field beyond the usual range of achievement. A consultant is someone who can provide valuable and pertinent advice generally drawn from a high degree of broad administrative, professional, or technical knowledge or experience.
- **Student Employment** – the establishment of a formal student employment program could help the CSB in a number of ways. First, it will help balance the workforce by focusing on employees who are at the beginning of their careers and generally lower graded, helping to ensure continuity in the workforce. Moreover, student appointments do not provide any guarantee of permanent employment. This feature allows the CSB to determine whether the student has the competencies and attributes desired for future employment as managers can evaluate the students' performance in real work situations. Management can also be more flexible when responding to resource restrictions. Students often have training, education, and sometimes experience working with cutting-edge technologies and theories in their chosen field.
- **Pathways (formerly Federal Career Intern) Program** – the Pathways Program is an excellent way of attracting individuals who are starting out their career, but whom often have high-levels of technical competencies in their chosen field. Positions are filled at the GS-5, 7, and 9 grade levels or other established grade levels for trainee positions. Individuals are appointed to a two-year internship and upon successful completion of the internship, may be eligible for permanent placement within the Agency. Similar to the student appointments, the Agency has an opportunity to determine whether the intern has the competencies and attributes desired for continued employment. Moreover, the appointment of Pathways Interns can have positive impacts on workforce diversity in terms of ethnicity, race, sex, and age. CSB uses this program extensively.
- **Temporary and Term Appointments** – a temporary limited appointment is a time-limited appointment for a specified period not to exceed one year (with the option to extend for up to one additional year). A term appointment may be made for more than one year, but not more than four years. These appointments are

ideal for situations when the need for temporary services arises, e.g., project work, unusually heavy workload, scheduled reorganization, or the uncertainty of future funding. Short-term appointments can be especially useful to obtain technical competencies and skills for project-related work. Moreover, today's workforce is moving away from the typical government employee who spends the majority of his or her career with one Agency in the Federal government.

### ***Retention Strategies***

- **Training/Development** – The CSB needs to ensure that training dollars are particularly focused on training that addresses mission critical skills and competencies and that training programs are aligned with Agency strategic goals and performance objectives. A consolidated approach to training and development should be implemented, including the use of Individual Development Plans to assess employee's career goals, Agency needs, and training and development activities and options to support these goals and needs. Various methods for achieving training and development are possible, including:
  - On-the-Job Training: These include specific cross-training work activities, coaching, feedback, mentoring, etc.
  - Self-Development: Reading, self-study, professional organization activities, volunteer activities, etc.
  - Formal Coursework: Professional and technical training, leadership training, and general management training. Much of this training can be Costs can be paid by the Agency, shared by employees and the Agency, or paid by the employee.
  - Special Assignments: Development-in-Place work assignments, temporary promotions or details, etc.
  - Tuition Reimbursement: The Agency may offer financial assistance to attend academic courses that are job related.
  - Individual Learning Account (ILA): An ILA is a training tool used to allow employees a chance to develop themselves, in support of improving overall performance, increasing productivity, and improving customer service skills. They allow for flexible learning where the responsibility for the learning is in the hands of the employee. The training opportunities often utilize emerging learning technology. Details on this can be found at <https://www.opm.gov/hrd/lead/ila/accounts.asp>.

In addition to our general overall training approach, the CSB will enhance our Agency-specific training program and ensure that it continues to build the mission critical competencies necessary to accomplish CSB goals. In 2008, a Process Safety Management course was developed for investigation interns, investigation staff members conducted training on public health protection and accidents and human factor issues, and guest speakers made a presentation on lessons learned from a chlorine release resulting from a railcar accident. Conducting investigative training and presentations by safety experts was also an initiative in our Action Plan. When possible, the CSB will also send employees to training courses at the National Transportation Safety Board, Environmental Protection Agency, Occupational Health and Safety Administration, and the George Washington School of Public Health.

The Board plans for a specified amount of educational assistance for all staff, but additional funding is necessary for reimbursement of employees for tuition type costs in support of advancing their degrees.

- **Formalized Orientation Strategy** – Current research emphasizes that an effective orientation strategy to provide an experience reaffirming a new hire's decision to join the Agency is critical to employee retention, satisfaction, and productivity. Effective strategies focus not only on documentation and tracking of the new employees' progress as they enter on duty, but also on integrating new talent into the organization and providing new hires with the tools they need to succeed throughout their first year. This is one of the easiest and most cost-effective ways to enhance employee performance and improve retention. The Partnership for Public Service published a report in May 2008, [\*Getting on Board, A Model for Integrating and Engaging New Employees\*](#). This report diagnoses the current challenges facing federal processes for integrating new talent and

presents a strategic model which can serve as a guide for Agency reforms. This model outlines a set of overriding principles that underpin effective orientation programs. It identifies key stakeholders and clarifies their roles in the process, breaking down the process into five distinct time periods and explaining what agencies should be doing during each phase. The conclusion of this report includes a series of recommendations for how best to implement this model. CSB could use the information in this report to develop a strategy that supports our needs.

- **Communication** – An open communication culture within an Agency, especially from senior leadership, is essential to employees’ sense of added value and satisfaction. CSB’s Leadership Team should continue meeting on a weekly basis. A regularly scheduled “Operations” meeting, to include the Investigation Supervisors, the Recommendations Manager and the Director of Congressional, Public, and Board Affairs, may aid in mission efficiency and improve the flow of important communications. Employees need to be involved in the decision-making processes, and to feel empowered to share their ideas and/or concerns with supervisors and other management officials. Studies indicate that employees look to their immediate supervisor to get the key information they need about their job, the developments that are taking place in the organization, and the way these will affect them. Steps can be taken to improve communication flow to ensure that pertinent, necessary information is free-flowing to the appropriate levels within the Agency, and CSB will explore and implement those as appropriate.
- **Performance Appraisal Program Improvement** – Part of a successful results-oriented performance culture is a performance management system that supports the needs of the Agency. A high-performance climate can help attract and retain top performers. While it is important to link and integrate organizational and employee performance management, the two remain distinct in some respects, particularly regarding establishing individual accountability and dealing with poor performers. First line supervisors need to be given the tools and training to manage performance and deal with less than successful performance. Incentive awards and recognition should be tied to performance as appropriate.

CSB updated our performance appraisal system in July 2007, and it is doing a better job of articulating Agency expectations for employees. The system includes four performance levels and plans must have at least three critical elements with clearly defined levels. OPM has developed a Performance Appraisal Assessment Tool (PAAT), by which agencies evaluate their appraisal program’s strengths and weaknesses in areas such as communicating organizational goals and individual performance expectations, promoting accountability for achieving those goals, identifying developmental needs, and assessing performance using appropriate measures, among others. Agencies are encouraged to use the tool as a guideline to measure the effectiveness of their programs. During OPM Agency audits, the PAAT is used as a measurement tool to evaluate and rate Agency performance appraisal programs. CSB may benefit by using the tool as a guide to review our program to ensure that essential elements are included. Our program needs to clearly stipulate that performance plans must align work with organizational goals and include credible measures against which future performance can be assessed.

While employee positive response rates to performance appraisal related questions average about 75 percent, questions associated with recognition and awards show much lower positive response rates, averaging below 60 percent. In FY 2008, the CSB updated our Incentive Awards Board Order. Review and evaluation of our performance appraisal and rewards and recognition programs will help us discern any issues contributing to lower scores in these areas. The PAAT may be a useful tool in assisting us with our assessment process. The CSB will continue to refine our performance appraisal system as well as our awards process with an eye toward a results-oriented performance culture at CSB.

- **Leadership Development** – As part of our efforts to strategically plan for and sustain a high performance leadership cadre, the CSB intends to use OPM’s Federal Competency Assessment Tool – Management (FCAT-M) which is a web-enabled leadership assessment and development tool for current and prospective

Federal leaders. The FCAT-M will allow us to understand the strengths and developmental needs of this cadre across an array of leadership and performance management competencies so informed investment decisions can be made. It is intended for developmental purposes only and is not meant as a performance management tool. The results of the FCAT-M will be used to guide individual leadership development for current and prospective leaders in our organization and will also provide data on general strengths and areas of need. Ultimately, these results will be valuable inputs into our human capital planning efforts.

The CSB needs to develop and implement a multi-level leadership development strategy at all levels of the Agency. Our focus should be on developing leaders with each work assignment and serving in a role as steward, whereas the management team shares power with subordinates so that they will be in a position to assume future management responsibilities. As a first step toward succession planning in the leadership area, CSB has sent employees who are recognized as having management potential to the Center for Creative Leadership, Harvard, Aspen Institute, Brookings, and OPM's Federal Executive Institute. It is our intention to continue training high potential employees for leadership roles as funding and opportunities exist.

An additional tool to support the development of future supervisors and managers is to establish a formal mentoring program. Mentors serve as role models and provide employees insight and guidance on advancing into supervisory and managerial ranks. They impart knowledge, provide contacts, give support, and issue feedback to the employee they are mentoring. They do not serve as an advocate or sponsor for the employee.

- **Management Succession** – the Workforce Flexibility Act of 2004 (PL 108-411, Sec 201) changed the regulations related to training to require that agencies establish a comprehensive management succession program that provides training to employees in order to develop managers for the Agency. The goal of management succession planning is linking position needs, e.g. future supervisory, managerial, or leadership vacancies, with the potential of persons. It is a systematic approach to building a leadership pipeline to drive the success of the Agency. By linking position needs with employee potential, the CSB will develop potential successors in ways that best fit their strengths and the Agency's needs. Through IDP's and other developmental-related programs, the CSB can start identifying employees who are potentially highly qualified for promotion to anticipated management and leadership positions. Strengths and weaknesses of these employees can be identified and addressed now. In order to be successful, management succession planning needs support from the Chairman and the Executive Leadership Team, and current leaders, managers, and supervisors need to be held accountable for management succession.
- **Documented Knowledge Management Program** – as our employees retire or separate, it is imperative to provide resources, programs, and tools to capture and share knowledge throughout the organization. Cross-training is one of the means CSB uses so that the knowledge needed to accomplish work can be obtained in more than one location; thereby eliminating the loss of knowledge that could be created by an individual leaving the organization. Documented procedures have been developed in some Offices and are being developed in others.

While the CSB is making some progress in this area, it is imperative that we continue to move forward with more and better ways to document and transfer knowledge, particularly in those areas where the CSB can anticipate a high volume of turnover. CSB is in the process of implementing a documented knowledge management system using the TRIM software program. The Board will continually update information related to investigations and all Agency operating procedures through the use of this software. Other possibilities include shadowing, brown-bag lunches to share knowledge through story-telling or other methods, or reviewing software tools for their use in helping to document information, before people actually retire. The CSB will also investigate the concept of hiring part-time Retiree's to return as project team consultants or to participate in knowledge sharing sessions, should the need for specific information that has been lost due to retirements or separations become an issue.



## ***Incentives to Attract and Retain Talent***

- **Recruitment Incentive** – the CSB may pay a recruitment incentive to a newly appointed employee to fill a position(s) that would otherwise be difficult to fill. In return, the employee must sign a service agreement with the Agency. The CSB have very often used this flexibility to obtain quality applicants.
- **Relocation Incentive** – the CSB may pay a relocation bonus to an existing employee who must relocate to fill a position that would otherwise be difficult to fill. In return, the employee must sign a service agreement.
- **Retention Incentive** – the CSB can make continuing payments to individual employees and/or group or category of employees if these employees have unusually high or unique qualifications for which the CSB has a special need which makes it essential to retain the employee. The CSB must also determine that the employee is likely to leave the Federal government (for any reason) in the absence of the retention incentive. The Board has successfully made use of this flexibility.
- **Superior Qualifications Appointments** – the CSB can set the pay for new appointments or reappointments above step 1 of the grade based on superior qualifications of the candidate or a special need of the Agency. The Board has often used this flexibility.
- **Student Loan Repayment** – the Agency may repay federally insured student loans as a recruitment or retention incentive for candidates or current employees. The CSB may pay up to \$6,000 per employee in any calendar year or a total of \$40,000. This flexibility especially helps with the recruitment and retention of recent graduates. The Board has successfully made use of this flexibility.
- **Referral Bonuses** – the CSB can use the incentive awards authority to provide incentives or recognition to employees who bring new talent into the Agency. This is often effective because research has shown that employee referrals often lead to the selection of candidates who are successful on the job. This type of program also gets employees actively engaged in marketing the Agency.
- **Telecommuting** – the CSB’s telecommuting program allows employees to telecommute three days each pay period. The positive response rate for the 2008 survey question regarding how satisfied employees are with telework opportunities was only 46.7 percent. The CSB is aware that telecommuting alternatives are a strong recruitment and retention incentive and intend to continue offering it to our employees and explore the possibility broadening the program.
- **Flexible Work Schedules** – the CSB does not have an Alternative Work Schedule policy other than to allow variable beginning and ending times for each eight hour day. The positive response rate to the 2008 survey question related to alternative work schedules was 32.9 percent, while the governmentwide rate was 46.9 percent. This flexibility is widely offered by agencies throughout the Federal government and is well-received by employees as it provides various options for employees to balance their work and personal lives. CSB will explore the possibility of offering this flexibility to our employees.
- **Tuition Reimbursement** – the CSB may pay training and education expenses from appropriated funds or other available funds. The costs for training or education can be paid directly to a vendor in advance. The CSB may also advance or reimburse an employee all or part of the costs of approved training and education. The Board is currently exploring the development of a policy to make better use of this flexibility.
- **Additional Flexibilities** – there are a number of additional flexibilities available to agencies to help recruit and retain employees. Further flexibilities are available at <https://www.opm.gov/account/omsoc/hr-flex/>.



Incentives should be used where applicable. Employees are not entitled to any specific kind of incentives. Decisions regarding their application should be based on organization mission needs. Those who do receive recruitment and or retention incentives should be supported by how the selectee/employee meets mission needs. Retention incentives should be given because of the need to retain specific capabilities related to the mission. The Board's performance management system should be closely aligned with retention incentives as they should be more common for high performers.

## Evaluation/Accountability System

As referenced earlier in the Workforce Planning Overview section, this Workforce Plan is Appendix A to the Agency's Human Capital Plan, which is a companion document to our Human Capital Accountability System. Appendix B of the Human Capital Plan is the Human Capital Solutions Implementation Plan. The matrix in Appendix B tracks our action plan – the solution activities, solution measures, measurement approaches, timeframe, and responsible parties for the activities that have been identified in support of our human capital goals. These activities are linked to the [Key Workforce Challenges](#) for the CSB that have been identified in this Workforce Plan. Under the guidelines of our Human Capital Accountability System, the CSB will use this matrix to support the 6<sup>th</sup> step in our workforce planning model of Monitor, Evaluate, and Revise. The results of this reporting will set the direction for updating this Workforce Plan.

## Attachment 1 – OPM Federal Human Capital Survey Positive Responses for CSB 2006, 2007, and 2008

Survey questions are grouped by OPM’s HCAAF System Indices. Question numbers in parenthesis indicate the question number for the 40 question Annual Employee Survey (AES) administered in 2007. The first 40 questions listed here are on both the Federal Human Capital Survey (FHCS) and the AES. Questions shaded in yellow denote those that have the strongest impact on employee satisfaction and intent to leave. \*Response rates in this column that are shaded in light green (Benefits and Miscellaneous) show the difference between CSB 2006 and FMC 2008, since these questions were not asked in the Agency-administered 2007 survey.

### Positive Responses from OPM’s FHCS and the AES

Question	2006 CSB Survey Responses (%)	2007 CSB Survey Responses (%)	2008 CSB Survey Responses (%)	2008 Government-Wide Results (%)	Difference Between 2008 Government-Wide and 2008 CSB Results (%)	Difference Between CSB 2006 & CSB 2007 Results (%)*	Difference Between CSB 2007 and CSB 2008 Results (%)
<b>Leadership &amp; Knowledge Management Index (Extent employees hold their leadership in high regard.)</b>							
7. (5) I have trust and confidence in my supervisor.	65.7	74.3	71.3	64.2	7.1	8.6	-3.0
9. (6) Overall, how good a job do you feel is being done by your immediate supervisor/team leader?	68.8	74.3	66.9	66.2	0.7	5.5	-7.4
17. (30) My workload is reasonable.	61.5	71.4	49.8	60.0	-10.2	9.9	-21.6
36. (23) Managers/supervisors/team leaders work well with employees of different backgrounds.	62.2	65.7	59.7	65.2	-5.5	3.5	-6.0
37. (25) I have a high level of respect for my organization's senior leaders.	62.3	57.1	44.5	51.8	-7.3	-5.2	-12.6
38. (26) In my organization, leaders generate high levels of motivation and commitment in the workforce.	48.8	48.6	33.3	39.9	-6.6	-0.2	-15.3
40. (31) Managers communicate the goals and priorities of the organization.	61.2	74.3	50.7	59.7	-9.0	13.1	-23.6
41. (27) Managers review and evaluate the organization's progress toward meeting its goals and objectives.	50.5	65.7	55.2	57.5	-2.3	15.2	-10.5
42. (28) Employees are protected from health and safety hazards on the job.	93.4	91.4	95.5	76.2	19.3	-2.0	4.1
43. (32) My organization has prepared	38.3	62.9	69.4	74.1	-4.7	24.6	6.5

Question	2006 CSB Survey Responses (%)	2007 CSB Survey Responses (%)	2008 CSB Survey Responses (%)	2008 Government-Wide Results (%)	Difference Between 2008 Government-Wide and 2008 CSB Results (%)	Difference Between CSB 2006 & CSB 2007 Results (%)*	Difference Between CSB 2007 and CSB 2008 Results (%)
employees for potential security threats.							
56. (33) How satisfied are you with the information you receive from management on what's going on in your organization?	46.4	60.0	51.6	48.1	3.5	13.6	-8.4
58. (37) How satisfied are you with the policies and practices of your senior leaders?	47.8	60.0	49.1	42	7.1	12.2	-10.9
<b>Results-Oriented Performance Culture Index</b> <b>(Extent employees believe their culture promotes improvement in processes, products and services, and organizational outcomes.)</b>							
1. (1) The people I work with cooperate to get the job done.	75.7	91.4	82.1	83.9	-1.8	15.7	-9.3
12. (24) My supervisor supports my need to balance work and family issues.	68.1	74.3	78.6	75.3	3.3	6.2	4.3
19. (9) I know how my work relates to the agency's goals and priorities.	81.3	88.6	86.1	83.9	2.2	7.3	-2.5
21. (11) Physical conditions (for example, noise level, temperature, lighting, cleanliness in the workplace) allow employees to perform their jobs well.	86.6	82.9	84.2	67.2	17.0	-3.7	1.3
22. (15) Promotions in my work unit are based on merit.	39.1	60.0	51.7	35.2	16.5	20.9	-8.3
23. (16) In my work unit, steps are taken to deal with a poor performer who cannot or will not improve.	39.9	45.7	40.4	29.6	10.8	5.8	-5.3
24. (29) Employees have a feeling of personal empowerment with respect to work processes.	47.5	60.0	63.5	43.8	19.7	12.5	3.5
26. (17) Creativity and innovation are rewarded.	47.5	65.7	55.1	40.0	15.1	18.2	-10.6
27. (20) Pay raises depend on how well employees perform their jobs.	28.2	54.3	52.1	25.6	26.5	26.1	-2.2
29. (19) In my work unit, differences in performance are recognized in a meaningful way.	45.6	57.1	48.1	31.4	16.7	11.5	-9.0
30. (21) My performance appraisal is a fair reflection of my performance.	64.9	74.3	78.8	63.2	15.6	9.4	4.5

Question	2006 CSB Survey Responses (%)	2007 CSB Survey Responses (%)	2008 CSB Survey Responses (%)	2008 Government-Wide Results (%)	Difference Between 2008 Government-Wide and 2008 CSB Results (%)	Difference Between CSB 2006 & CSB 2007 Results (%)*	Difference Between CSB 2007 and CSB 2008 Results (%)
31. (22) Discussions with my supervisor/team leader about my performance are worthwhile.	61.8	65.7	67.6	56.2	11.4	3.9	1.9
32. (18) In my most recent performance appraisal, I understood what I had to do to be rated at different performance levels (e.g. Fully Successful, Outstanding).	n/a	71.4	78.4	64.3	14.1	n/a	7.0
57. (36) How satisfied are you with the recognition you receive for doing a good job?	50.6	71.4	63.3	50.3	13.0	20.8	-8.1
<b>Talent Management Index</b> (Extent employees think the organization has the talent necessary to achieve organizational goals.)							
2. (2) I am given a real opportunity to improve my skills in my organization.	64.9	80.0	75.1	64.0	11.1	15.1	-4.9
11. (7) The workforce has the job-relevant knowledge and skills necessary to accomplish organizational goals.	71.7	74.3	63.5	73.8	-10.3	2.6	-10.8
14. (8) My work unit is able to recruit people with the right skills.	49.6	54.3	44.3	44.9	-0.6	4.7	-10.0
18. (13) My talents are used well in the workplace.	66.2	74.3	62.2	62.3	-0.1	8.1	-12.1
49. (12) Supervisors/team leaders in my work unit support employee development.	70.7	80.0	79.1	64.5	14.6	9.3	-0.9
51. (14) My training needs are assessed.	43.6	65.7	70.6	53.4	17.2	22.1	4.9
60. (38) How satisfied are you with the training you receive for your present job?	42.5	62.9	73.9	55	18.9	20.4	11.0
<b>Job Satisfaction Index</b> (Extent employees are satisfied with their jobs and various aspects thereof.)							
5. (3) My work gives me a feeling of personal accomplishment.	61.8	94.3	77.0	73.4	3.6	32.5	-17.3
6. (4) I like the kind of work I do.	75.9	94.3	85.3	83.8	1.5	18.4	-9.0
20. (10) The work I do is important.	75.4	97.1	89.5	90.8	-1.3	21.7	-7.6
55. (34) How satisfied are you with your involvement in decisions that affect your work?	53.6	54.3	59.7	53.4	6.3	0.7	5.4

Question	2006 CSB Survey Responses (%)	2007 CSB Survey Responses (%)	2008 CSB Survey Responses (%)	2008 Government-Wide Results (%)	Difference Between 2008 Government-Wide and 2008 CSB Results (%)	Difference Between CSB 2006 & CSB 2007 Results (%)*	Difference Between CSB 2007 and CSB 2008 Results (%)
59. (35) How satisfied are you with your opportunity to get a better job in your organization?	36.0	48.6	48.0	39.0	9.0	12.6	-0.6
61. (39) Considering everything, how satisfied are you with your job?	58.1	74.3	71.9	68.5	3.4	16.2	-2.4
62. (40) Considering everything, how satisfied are you with your pay?	47.7	68.6	52.2	60.4	-8.2	20.9	-16.4
<b>Benefits</b>							
64. How satisfied are you with retirement benefits?	75.0	n/a	59.4	60.9	-1.5	-15.6	n/a
65. How satisfied are you with health insurance benefits?	61.9	n/a	78.3	62.0	16.3	16.4	n/a
66. How satisfied are you with life insurance benefits?	68.8	n/a	71.1	60.2	10.9	2.3	n/a
67. How satisfied are you with long term care insurance benefits?	39.0	n/a	40.1	32.0	8.1	1.1	n/a
68. How satisfied are you with the flexible spending account (FSA) program?	41.1	n/a	69.7	34.8	34.9	28.6	n/a
69. How satisfied are you with paid vacation time?	82.9	n/a	76.5	87.7	-11.2	-6.4	n/a
70. How satisfied are you with paid leave for illness (for example, personal), including family care situations (for example, childbirth/adoption or eldercare)?	79.2	n/a	88.7	84.3	4.4	9.5	n/a
71. How satisfied are you with child care subsidies?	0.0	n/a	10.0	9.1	0.9	10.0	n/a
72. How satisfied are you with work/life programs (for example, health and wellness, employee assistance, eldercare, and support groups)?	17.5	n/a	24.1	28.5	-4.4	6.6	n/a
73. How satisfied are you with telework/telecommuting?	38.7	n/a	46.7	22.6	24.1	8.0	n/a
74. How satisfied are you with alternative work schedules?	23.8	n/a	32.9	46.9	-14.0	9.1	n/a

Question	2006 CSB Survey Responses (%)	2007 CSB Survey Responses (%)	2008 CSB Survey Responses (%)	2008 Government-Wide Results (%)	Difference Between 2008 Government-Wide and 2008 CSB Results (%)	Difference Between CSB 2006 & CSB 2007 Results (%)*	Difference Between CSB 2007 and CSB 2008 Results (%)
<b>Miscellaneous</b>							
3. I have enough information to do my job well.	68.2	n/a	89.5	73.4	16.1	21.3	n/a
4. I feel encouraged to come up with new and better ways of doing things.	58.7	n/a	77.8	60.7	17.1	19.1	n/a
8. I recommend my organization as a good place to work.	58.1	n/a	49.0	65.5	-16.5	-9.1	n/a
10. How would you rate the overall quality of work done by your work group?	81.4	n/a	85.3	83.4	1.9	3.9	n/a
13. Supervisors/team leaders in my work unit provide employees with the opportunities to demonstrate their leadership skills.	61.5	n/a	74.6	60.6	14.0	13.1	n/a
15. The skill level in my work unit has improved in the past year.	75.6	n/a	55.7	52.7	3.0	-19.9	n/a
16. I have sufficient resources (for example, people, materials, budget) to get my job done.	68.0	n/a	44.7	51.2	-6.5	-23.3	n/a
25. Employees are rewarded for providing high quality products and services to customers.	46.6	n/a	63.2	46.1	17.1	16.6	n/a
28. Awards in my work unit depend on how well employees perform their jobs.	56.9	n/a	71.3	41.4	29.9	14.4	n/a
33. I am held accountable for achieving results.	81.7	n/a	89.8	81.8	8.0	8.1	n/a
34. Supervisors/team leaders in my work unit are committed to a workforce representative of all segments of society.	66.1	n/a	67.0	56.8	10.2	0.9	n/a
35. Policies and programs promote diversity in the workplace (for example, recruiting minorities and women, training in awareness of diversity issues, mentoring).	66.1	n/a	55.9	59.7	-3.8	-10.2	n/a
39. My organization's leaders maintain high standards of honesty and integrity.	58.2	n/a	52.4	49.5	2.9	-5.8	n/a
44. Complaints, disputes or grievances are resolved fairly in my work unit.	42.3	n/a	47.7	39.4	8.3	5.4	n/a

Question	2006 CSB Survey Responses (%)	2007 CSB Survey Responses (%)	2008 CSB Survey Responses (%)	2008 Government-Wide Results (%)	Difference Between 2008 Government-Wide and 2008 CSB Results (%)	Difference Between CSB 2006 & CSB 2007 Results (%)*	Difference Between CSB 2007 and CSB 2008 Results (%)
45. Arbitrary action, personal favoritism and coercion for partisan political purposes are not tolerated.	56.6	n/a	55.0	47.7	7.3	-1.6	n/a
46. Prohibited Personnel Practices (for example, illegally discriminating for or against any employee/applicant, obstructing a person's right to compete for employment, knowingly violating veterans' preference requirements) are not tolerated.	71.1	n/a	72.8	60.1	12.7	1.7	n/a
47. I can disclose a suspected violation of any law, rule or regulation without fear of reprisal.	57.6	n/a	58.1	50.5	7.6	0.5	n/a
48. Supervisors/team leaders provide employees with constructive suggestions to improve their job performance.	62.0	n/a	55.6	58.3	-2.7	-6.4	n/a
50. Employees have electronic access to learning and training programs readily available at their desk.	44.3	n/a	66.7	78.6	-11.9	22.4	n/a
52. Managers promote communication among different work units (for example, about projects, goals, needed resources).	46.4	n/a	48.5	54.5	-6.0	2.1	n/a
53. Employees in my work unit share job knowledge with each other.	74.3	n/a	78.9	75.4	3.5	4.6	n/a
54. Employees use information technology (for example, intranet, shared networks) to perform work.	88.7	n/a	96.3	87.3	9.0	7.6	n/a
63. Considering everything, how satisfied are you with your organization?	54.5	n/a	63.9	57.5	6.4	9.4	n/a



## Attachment 2 – Mission Critical Occupations, Critical Tasks, Competency Requirements and Gaps

Mission Critical Occupation	Critical Tasks (as identified in CSB current PD's)	Competency Requirements (as identified through OPM's validation process and CSB's current PD's)	Gaps*
<b>Senior Management</b>	<ul style="list-style-type: none"> <li>▪ Oversee specific organization</li> <li>▪ Provide leadership and guidance to staff</li> <li>▪ Administer and oversee budget</li> <li>▪ Decision making</li> <li>▪ Inspire, motivate, coach, mentor staff</li> <li>▪ Empower employees with authority and responsibility to make decisions</li> <li>▪ Implement program plans to meet objectives</li> <li>▪ Establish an environment that encourages innovation</li> <li>▪ Displays sensitivity to cultural diversity, race, gender and other individual differences in the workforce</li> <li>▪ Promote teamwork</li> <li>▪ Treat employees with fairness and equity</li> </ul>	<ul style="list-style-type: none"> <li>▪ Executive Core Qualifications</li> <li>▪ Leadership</li> <li>▪ Problem Solving</li> <li>▪ Oral Communication</li> <li>▪ Written Communication</li> <li>▪ Decisiveness</li> <li>▪ Flexibility</li> <li>▪ Interpersonal Skills</li> <li>▪ Human Resources Management</li> <li>▪ Managing Diverse Workforce</li> <li>▪ Team Building</li> <li>▪ Conflict Management</li> <li>▪ Client Orientation</li> <li>▪ Influencing/Negotiating</li> <li>▪ Planning and Evaluating</li> <li>▪ Internal Controls/Integrity</li> <li>▪ Vision</li> <li>▪ External Awareness</li> <li>▪ Creative Thinking</li> <li>▪ Strategic Thinking</li> </ul>	<ul style="list-style-type: none"> <li>▪ Leadership Focus</li> <li>▪ Communication</li> <li>▪ Teamwork</li> </ul>
<b>Chemical Incident Investigator</b>	<p>The work in these positions covers multiple functional areas: analyzing process safety practices, training and performance, procedures, human factors, mechanical integrity, root cause determination chemical process engineering, equipment design, process instrumentation and distributive control systems, and safe operating limits.</p> <ul style="list-style-type: none"> <li>▪ As Investigator-in-Charge (IIC), organizes and manages investigation of major incidents involving the accidental release of hazardous chemicals.</li> <li>▪ As functional specialist/lead, manages assigned functional area.</li> <li>▪ Identifies significant safety issues, investigative procedures, evidence to be preserved, priorities and areas to be investigated, interviews to be conducted and any special tests and/or studies to be conducted.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Integrity/Honesty</li> <li>▪ Reading</li> <li>▪ Writing</li> <li>▪ Interpersonal Skills</li> <li>▪ Oral Communication</li> <li>▪ Teamwork</li> <li>▪ Self-Management</li> <li>▪ Attention to Detail</li> <li>▪ Reasoning</li> <li>▪ Self-Esteem</li> <li>▪ Problem Solving</li> <li>▪ Decision Making</li> <li>▪ Flexibility</li> <li>▪ Information Management</li> <li>▪ Influencing/Negotiating</li> <li>▪ Stress Tolerance</li> </ul>	<ul style="list-style-type: none"> <li>▪ Expository writing</li> <li>▪ Bench strength limitations</li> </ul> <p>◆ See below</p>

<b>Mission Critical Occupation</b>	<b>Critical Tasks (as identified in CSB current PD's)</b>	<b>Competency Requirements (as identified through OPM's validation process and CSB's current PD's)</b>	<b>Gaps*</b>
	<ul style="list-style-type: none"> <li>▪ Collects and records factual incident data, collects physical evidence, and arranges for testing and/or examination of physical evidence, machinery and/or equipment.</li> <li>▪ Analyzes evidence gathered. For his/her functional responsibility: writes outlines and factual and analytical reports and exhibits, and prepares tables, charts, graphs, etc.</li> <li>▪ Develops recommendations aimed at preventing recurrence of the incidents.</li> <li>▪ Prepares final written investigation reports for Board approval.</li> <li>▪ Orally presents final written reports before the full Board for acceptance, rejection, modification, or further study. Reports include facts, conditions, circumstances surrounding the incident, root and contributing cause(s), conclusions and proposed recommendations.</li> <li>▪ Develop materials, presents information, and participates in public hearings.</li> <li>▪ Participates in the planning, development and conduct of safety studies relating to investigation issues.</li> <li>▪ Researches, reviews, analyzes, and studies regulations by EPA, OSHA, and other federal agencies for their effectiveness in improving investigation activities. Monitors and analyzes new developments, trends and developments affecting industrial chemical safety.</li> <li>▪ Conducts outreach including promoting adoption of safety recommendations, representing the Board at meetings of national and international public and private organizations, and presents investigation report findings and recommendations to trade associations, industry groups, and academia.</li> <li>▪ Maintains liaison with other federal and state regulatory agencies, industry, labor, manufacturers, national and professional organizations, associations, the public, etc. that have a role in enforcement of industrial chemical safety regulations, standards.</li> <li>▪ Manages contracted services for specialized technical services for investigative work including defining work</li> </ul>	<ul style="list-style-type: none"> <li>▪ Research</li> <li>▪ Memory</li> <li>▪ Learning</li> <li>▪ Creative Thinking</li> <li>▪ Perceptual Speed</li> <li>▪ Arithmetic</li> <li>▪ Mechanical Engineering</li> <li>▪ External Awareness</li> <li>▪ Mathematical Reasoning</li> <li>▪ Planning and Evaluating</li> <li>▪ Public Safety and Security</li> <li>▪ Psychology</li> <li>▪ Safety Engineering</li> <li>▪ Chemical Engineering</li> <li>▪ General Engineering</li> <li>▪ Risk Management</li> <li>▪ Physics</li> <li>▪ Technical Competence</li> <li>▪ Knowledge of principles, concepts, theories, and practices of chemical process safety management in the investigation of hazardous chemical process incidents including site security, evidence and data collection, witness interview, and follow-up activities.</li> <li>▪ Knowledge of investigative techniques associated with each of the functional areas (analyzing process safety practices, training and performance, procedures, human factors, mechanical integrity, root cause determination chemical process engineering, equipment design, process instrumentation and distributive control systems, and safe operating limits). Investigators have varying levels of knowledge in these functional areas, depending upon their assigned roles.</li> <li>▪ Knowledge of chemical production operations, industrial chemical safety programs, and process safety management programs in the private sector.</li> <li>▪ Knowledge of federal laws and regulations, codes and standards as they apply to chemical process safety and incident investigations.</li> <li>▪ Knowledge of the characteristics of different types of</li> </ul>	

<b>Mission Critical Occupation</b>	<b>Critical Tasks (as identified in CSB current PD's)</b>	<b>Competency Requirements (as identified through OPM's validation process and CSB's current PD's)</b>	<b>Gaps*</b>
	scopes and deliverables, contract solicitation, review, and award, and COTR functions.	hazardous materials, potential danger, behavior in incidents, types of reactions – flammability, volatility, etc.	
<b>Chemical Safety Recommendations Specialist</b>	<ul style="list-style-type: none"> <li>▪ Participates in team meetings and provides critical input related to the development of safety recommendations. Writes appropriate portions of investigation report, on an as needed basis as determined by the Office of Investigations, assuring appropriate regulatory policy and management systems issues are addressed.</li> <li>▪ Reviews report drafts for appropriateness and sufficiency of recommendations with special emphasis on previously issued safety recommendations that are pertinent to the investigation. Identifies problems and provides guidance on improving the recommendations on an advisory basis.</li> <li>▪ Promotes the adoption of safety recommendations, representing the Board at meetings of national and international public and private organizations. Maintains liaison with other federal regulatory agencies, industry, labor, manufacturers, national and professional organizations, associations, the public, etc. that have a role in enforcement of industrial chemical safety regulations, standards, etc.</li> <li>▪ Develops proposed policies and procedures for the Board's safety recommendation program. Develops and write applicable protocols, guidance, applicable portions of the Board's Orders, portions of Board Member's speeches, and/or Board responses to Notices of Proposed Rulemakings, and replies to safety inquiries.</li> <li>▪ Manages and designs methods to identify and promote safety recommendations and initiatives which show the greatest potential for safety improvement.</li> <li>▪ Monitors and analyzes new developments, trends and developments affecting industrial chemical safety and keeps current with industry practices and future trends.</li> <li>▪ Directs and/or participates in work teams conducting studies of safety hazards, impact of recommendations and other topics consistent with the Agency's mission.</li> <li>▪ Manages outside contractors in the conduct of research studies, surveys and similar activities.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Integrity/Honesty</li> <li>▪ Reading</li> <li>▪ Writing</li> <li>▪ Interpersonal Skills</li> <li>▪ Oral Communication</li> <li>▪ Teamwork</li> <li>▪ Self-Management</li> <li>▪ Attention to Detail</li> <li>▪ Reasoning</li> <li>▪ Self-Esteem</li> <li>▪ Problem Solving</li> <li>▪ Decision Making</li> <li>▪ Flexibility</li> <li>▪ Information Management</li> <li>▪ Influencing/Negotiating</li> <li>▪ Stress Tolerance</li> <li>▪ Research</li> <li>▪ Memory</li> <li>▪ Learning</li> <li>▪ Creative Thinking</li> <li>▪ Perceptual Speed</li> <li>▪ Arithmetic</li> <li>▪ External Awareness</li> <li>▪ Planning and Evaluating</li> <li>▪ Technical Competence</li> <li>▪ Knowledge of the advanced principles, concepts, theories, applied and practices of industrial safety practices, programs and production operations.</li> <li>▪ Knowledge of federal laws and regulations and industry standards related to industrial or chemical safety.</li> </ul>	

<b>Mission Critical Occupation</b>	<b>Critical Tasks (as identified in CSB current PD's)</b>	<b>Competency Requirements (as identified through OPM's validation process and CSB's current PD's)</b>	<b>Gaps*</b>
<b>General Counsel Attorneys</b>	<ul style="list-style-type: none"> <li>▪ Provides legal advice to Board members and Agency staff on complex issues including, but not limited to, exercise of authority; interpretation and development of legislation and regulations; legal support involving decisions and rulings to facilitate incident investigations; and design and implementation of legal strategies to minimize or remove the potential for legal challenges of Board and Agency Actions.</li> <li>▪ Performs legal analyses of enabling statutes, legislative history, Executive Orders and other legal documents relevant to Board and Agency authorities and responsibilities.</li> <li>▪ Has primary responsibility for administration of the Freedom of Information and Privacy Acts for the Board and the Agency.</li> <li>▪ Serves as principal legal advisor to Agency teams investigating industrial chemical incidents.</li> <li>▪ Prepares or reviews for legal sufficiency Agency regulations or amendments thereto or regulations for proposal to other agencies with authorities in industrial chemical safety.</li> <li>▪ Prepares legal advice to all Agency programs including information technology, procurement and acquisition, human resources, finance and records management.</li> <li>▪ Represents the Board in judicial and administrative proceedings.</li> <li>▪ Negotiates or reviews proposed Memoranda of Understanding with other federal agencies, drafting language for the MOU upon request.</li> </ul>	<ul style="list-style-type: none"> <li>▪ Reading</li> <li>▪ Writing</li> <li>▪ Legal, Government and Jurisprudence</li> <li>▪ Integrity/Honesty</li> <li>▪ Reasoning</li> <li>▪ Problem Solving</li> <li>▪ Decision Making</li> <li>▪ Oral Communication</li> <li>▪ Self Management</li> <li>▪ Attention to Detail</li> <li>▪ Interpersonal Skills</li> <li>▪ Planning and Evaluating</li> <li>▪ Memory</li> <li>▪ Self Esteem</li> <li>▪ Learning</li> <li>▪ Creative Thinking</li> <li>▪ Flexibility</li> <li>▪ Stress Tolerance</li> <li>▪ Teamwork</li> <li>▪ Information Management</li> <li>▪ Influencing/Negotiating</li> <li>▪ Organizational Awareness</li> <li>▪ Technical Competence</li> <li>▪ Knowledge of CSB's statute and legislative history and specific program authorities and obligations.</li> <li>▪ Knowledge of the legal environment and key current legal issues in industrial chemical safety and of legal requirements for incident investigations.</li> <li>▪ Knowledge of the Freedom of Information (FOIA) and Privacy Acts.</li> </ul>	

\*It is important to note that gaps in competencies in any of the mission critical occupations do not imply that everyone in that particular occupation is missing those competencies. It simply means that these gaps exist within the occupational field overall.

◆ There are recurring specific skills sets that are required for investigations conducted at CSB. Some of these skills sets are manageable enough that an Investigator could actually become an Agency expert in them, in addition to their regular duties. Others are so wide-ranging that in order for an Investigator to acquire and keep up the skills sets, the CSB could only require that an “updated working knowledge” be maintained. Each Investigator has varying levels of knowledge in some or all of these areas, depending upon their assigned roles. Currently, when an investigation requires a team member to have knowledge in one of these areas, one of the assigned Investigators hurriedly gets up to

speed on the subject to ensure the most recent information is included or used in the conduct of the investigation. In many cases, particularly those requiring more extensive skills sets, the CSB hire a contractor. The Agency would benefit greatly by routinely developing specific staff members for the various skills sets, thereby creating some degree of a “staff authority” in these skills sets that could then be called upon as required by the various incidents. Staff members could be assigned a specific area and would then acquire and maintain state-of-the-art expertise, or an updated working knowledge in their assigned skills set. These recurring skills sets include, but are not limited to:

**Manageable Skills Sets**

Human Factors/organizational analysis  
DCS control systems  
Safety instrumented systems  
Process hazard analysis  
OSHA and EPA regulatory scheme (PSM, RMP, HAZcom, etc.)

**Wide-Ranging Skills Sets**

Process modeling  
Reactive chemical hazards  
Incident data analysis  
Pressure relief systems  
Facility siting  
Explosion analysis

## Attachment 3 – OPM Competency Definitions

### **Professional and Administrative:**

***Arithmetic:*** Performs computations such as addition, subtraction, multiplication, and division correctly using whole numbers, fractions, decimals, and percentages.

***Attention to Detail:*** Is thorough when performing work and conscientious about attending to detail.

***Chemical Engineering:*** Knowledge of the concepts, principles, and theories related to the chemical composition or physical characteristics of materials for the design, construction, operation, and improvement of processes or systems.

***Creative Thinking:*** Uses imagination to develop new insights into situations and applies innovative solutions to problems; designs new methods where established methods and procedures are inapplicable or are unavailable.

***Decision Making:*** Makes sound, well informed, and objective decisions; perceives the impact and implications of decisions; commits to action, even in uncertain situations, to accomplish organizational goals; causes change.

***Economics and Accounting:*** Knowledge of economic and accounting principles and practices, tax law and practices, the financial markets, banking, and the analysis and reporting of financial data.

***External Awareness:*** Identifies and understands economic, political, and social trends that affect the organization.

***Flexibility:*** Is open to change and new information; adapts behavior or work methods in response to new information, changing conditions, or unexpected obstacles; effectively deals with ambiguity.

***General Engineering:*** Knowledge of the concepts, principles, and theories of engineering and their practical applications.

***Influencing/Negotiating:*** Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals.

***Information Management:*** Identifies a need for and knows where or how to gather information; organizes and maintains information or information management systems.

***Integrity/Honesty:*** Contributes to maintaining the integrity of the organization; displays high standards of ethical conduct and understands the impact of violating these standards on an organization, self, and others; is trustworthy.

***Interpersonal Skills:*** Shows understanding, courtesy, tact, empathy, concern; develops and maintains relationships; may deal with people who are difficult, hostile, distressed; relates well to people from varied backgrounds and situations; is sensitive to individual differences.

***Learning:*** Uses efficient learning techniques to acquire and apply new knowledge and skills; uses training, feedback, or other opportunities for self-learning and development.

***Legal, Government, and Jurisprudence:*** Knowledge of laws, legal codes, court procedures, precedents, legal practices and documents, government regulations, executive orders, Agency rules, government organization and functions, and the democratic political process.

***Mathematical Reasoning:*** Solves practical problems by choosing appropriately from a variety of mathematical and statistical techniques.

***Mechanical Engineering:*** Knowledge of the concepts, principles, theories, and methods related to planning, designing, developing, testing, or evaluating thermodynamic, mechanical, electro-mechanical, pneumatic, hydraulic, or structural equipment, systems, models, tools, or specialized mechanical devices.

***Memory:*** Recalls information that has been presented previously.

***Oral Communication:*** Expresses information to individuals or groups effectively, taking into account the audience and nature of the information; makes clear and convincing oral presentations; listens to others, attends to nonverbal cues, and responds appropriately.

***Organizational Awareness:*** Knows the organization's mission and functions, and how its social, political, and technological systems work and operates effectively within them; this includes the programs, policies, procedures, rules, and regulations of the organization.

***Perceptual Speed:*** Quickly and accurately sees detail in words, numbers, pictures, and graphs.

***Physics:*** Knowledge of the concepts, principles, theories, and methods to investigate and apply the relations between space, time, matter, and energy in the areas of gravity, atomic principles, mechanics, heat, light, sound, electricity, magnetism, and related natural phenomena.

***Planning and Evaluating:*** Organizes work, sets priorities, determines resource requirements; determines short- or long-term goals and strategies to achieve them; coordinates with other organizations or parts of the organization; monitors progress, evaluates outcomes.

***Problem Solving:*** Identifies problems; determines accuracy and relevance of information; uses sound judgment to generate and evaluate alternatives, and makes recommendations.

***Psychology:*** Knowledge of the concepts, principles, and theories of human behavior and performance in various contexts, mental processes, or the assessment and treatment of behavioral and affective disorders.

**Public Safety and Security:** Knowledge of intelligence operations, public safety and security operations, occupational health and safety; investigation and inspection techniques, or rules, regulations, precautions, and prevention techniques for the protection of people, data, and property.

**Reading:** Understands and interprets written material including technical materials, rules, regulations, instructions, reports, charts, graphs, or tables; applies what is learned from written material to specific situations.

**Reasoning:** Identifies rules, principles, or relationships that explain facts, data or other information; analyzes information and makes correct inferences or accurate conclusions.

**Research:** Knowledge of the scientific principles, methods, and processes used to conduct a systematic and objective inquiry; including study design, collection, analysis, and interpretation of data, and the reporting of results.

**Risk Management:** Knowledge of the principles, methods, and tools used for risk assessment and mitigation, including assessment of failures and their consequences.

**Safety Engineering:** Knowledge of the concepts, principles, and theories and methods to identify, control, mitigate, and eliminate safety hazards in the design and use of facilities, equipment, operations, and work processes.

**Self-Esteem:** Believes in own self-worth; maintains a positive view of self and displays a professional image.

**Self-Management:** Sets well-defined and realistic personal goals; displays a high level of initiative, effort, and commitment towards completing assignments in a timely manner; works with minimal supervision; is motivated to achieve; demonstrates responsible behavior.

**Stress Tolerance:** Deals calmly and effectively with high stress situations (for example, tight deadlines, hostile individuals, emergency situations, dangerous situations).

**Teamwork:** Encourages and facilitates cooperation, pride, trust, and group identify; fosters commitment and team spirit; works with others to achieve goals.

**Technical Competence:** Uses knowledge that is acquired through formal training or extensive on-the-job experience to perform one's job; works with, understands, and evaluates technical information related to the job; advises others on technical issues.

**Technology Application:** Uses machines, tools, or equipment effectively; uses computers and computer applications to analyze and communicate information in the appropriate format.

**Writing:** Recognizes or uses correct English grammar, punctuation, and spelling; communicates information in a succinct and organized manner; produces written information, which may include technical material that is appropriate for the intended audience.



## **Managerial:**

***Oral Communication:*** Expresses ideas and facts to individuals or groups effectively; makes clear and convincing oral presentations; listens to others; facilitates an open exchange of ideas.

***Leadership:*** Inspires, motivates, guides others toward goals; coaches, mentors, challenges staff; adapts leadership styles to various situations; models high standards of honesty, integrity, trust, openness, and respect for individuals by applying these values daily.

***Problem Solving:*** Identifies and analyzes problems; uses sound reasoning to arrive at conclusions; finds alternative solutions to complex problems; distinguishes between relevant and irrelevant information to make logical judgments.

***Written Communication:*** Expresses facts and ideas in writing in a succinct and organized manner.

***Flexibility:*** Is open to change and new information; adapts behavior and work methods in response to new information, changing conditions, or unexpected obstacles; effectively deals with pressure and ambiguity.

***Decisiveness:*** Makes sound and well-informed decisions; perceives the impact and implications of decisions; commits to action, even in uncertain situations, in order to accomplish organizational goals; causes change.

***Interpersonal Skills:*** Considers and responds appropriately to the needs, feelings, and capabilities of others; adjusts approaches to suit different people and situations.

***Human Resources Management:*** Empowers staff by sharing power and authority; develops lower levels of leadership, pushing authority down and out throughout the org.; shares rewards with staff; ensures staff are properly selected, used, appraised, and developed, and are treated fairly.

***Self Direction:*** Demonstrates belief in own abilities and ideas; is self-motivated and results-oriented; recognizes own strengths and weaknesses; seeks feedback from others and opportunities for self-learning and development.

***Team Building:*** Manages group processes; encourages and facilitates cooperation, pride, trust, and group identity; fosters commitment and team spirit; works with others to achieve goals.

***Conflict Management:*** Manages and resolves conflicts, confrontations, and disagreements in a positive and constructive manner to minimize negative personal impact.

***Technical Competence:*** Understands and appropriately applies procedures, requirements, regulations, and policies related to specialized expertise (for example, engineering, physical science, law, or accounting); maintains credibility with others on technical matters.

***Client Orientation:*** Anticipates and meets the needs of clients; achieves quality end-products; is committed to improving services.

***Influencing/Negotiating:*** Persuades others; develops networks and coalitions; gains cooperation from others to obtain information and accomplish goals; negotiates to find mutually acceptable solutions; builds consensus through give and take.

***Planning and Evaluating:*** Determines objectives and strategies; coordinates with other parts of the organization to accomplish goals; monitors and evaluates the progress and outcomes of operational plans; anticipates potential threats or opportunities.

***Managing a Diverse Workforce:*** Is sensitive to cultural diversity, race, gender, and other individual differences in the workforce; manages workforce diversity.

***Creative Thinking:*** Develops new insights into situations and applies innovative solutions to make organizational improvements; designs and implements new or cutting-edge programs/processes.

***Internal Controls/Integrity:*** Assures that effective internal controls are developed and maintained to ensure the integrity of the organization.

***Vision:*** Envisions a long-term view and initiates organizational change for the future; builds the vision with others; spots opportunities to move the organization toward the vision.

## Executive Core Qualifications:

### *ECQ 1: Leading Change:*

Definition: This core qualification involves the ability to bring about strategic change, both within and outside the organization, to meet organizational goals. Inherent to this ECQ is the ability to establish an organizational vision and to implement it in a continuously changing environment.

#### **Competencies**

<b>Creativity and Innovation</b>	Develops new insights into situations; questions conventional approaches; encourages new ideas and innovations; designs and implements new or cutting edge programs/processes.
<b>External Awareness</b>	Understands and keeps up-to-date on local, national, and international policies and trends that affect the organization and shape stakeholders' views; is aware of the organization's impact on the external environment.
<b>Flexibility</b>	Is open to change and new information; rapidly adapts to new information, changing conditions, or unexpected obstacles.
<b>Resilience</b>	Deals effectively with pressure; remains optimistic and persistent, even under adversity. Recovers quickly from setbacks.
<b>Strategic Thinking</b>	Formulates objectives and priorities, and implements plans consistent with the long-term interests of the organization in a global environment. Capitalizes on opportunities and manages risks.
<b>Vision</b>	Takes a long-term view and builds a shared vision with others; acts as a catalyst for organizational change. Influences others to translate vision into action.

### *ECQ 2: Leading People*

Definition: This core qualification involves the ability to lead people toward meeting the organization's vision, mission, and goals. Inherent to this ECQ is the ability to provide an inclusive workplace that fosters the development of others, facilitates cooperation and teamwork, and supports constructive resolution of conflicts.

#### **Competencies**

<b>Conflict Management</b>	Encourages creative tension and differences of opinions. Anticipates and takes steps to prevent counter-productive confrontations. Manages and resolves conflicts and disagreements in a constructive manner.
<b>Leveraging Diversity</b>	Fosters an inclusive workplace where diversity and individual differences are valued and leveraged to achieve the vision and mission of the organization.

<b>Developing Others</b>	Develops the ability of others to perform and contribute to the organization by providing ongoing feedback and by providing opportunities to learn through formal and informal methods.
<b>Team Building</b>	Inspires and fosters team commitment, spirit, pride, and trust. Facilitates cooperation and motivates team members to accomplish group goals.

### *ECQ 3: Results Driven*

Definition: This core qualification involves the ability to meet organizational goals and customer expectations. Inherent to this ECQ is the ability to make decisions that produce high-quality results by applying technical knowledge, analyzing problems, and calculating risks.

#### **Competencies**

<b>Accountability</b>	Holds self and others accountable for measurable high-quality, timely, and cost-effective results. Determines objectives, sets priorities, and delegates work. Accepts responsibility for mistakes. Complies with established control systems and rules.
<b>Customer Service</b>	Anticipates and meets the needs of both internal and external customers. Delivers high-quality products and services; is committed to continuous improvement.
<b>Decisiveness</b>	Makes well-informed, effective, and timely decisions, even when data are limited or solutions produce unpleasant consequences; perceives the impact and implications of decisions.
<b>Entrepreneurship</b>	Positions the organization for future success by identifying new opportunities; builds the organization by developing or improving products or services. Takes calculated risks to accomplish organizational objectives.
<b>Problem Solving</b>	Identifies and analyzes problems; weighs relevance and accuracy of information; generates and evaluates alternative solutions; makes recommendations.
<b>Technical Credibility</b>	Understands and appropriately applies principles, procedures, requirements, regulations, and policies related to specialized expertise.

### *ECQ 4: Business Acumen*

Definition: This core qualification involves the ability to manage human, financial, and information resources strategically.

#### **Competencies**

<b>Financial Management</b>	Understands the organization's financial processes. Prepares, justifies, and administers the program budget. Oversees procurement and contracting to
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	achieve desired results. Monitors expenditures and uses cost-benefit thinking to set priorities.
<b>Human Capital Management</b>	Builds and manages workforce based on organizational goals, budget considerations, and staffing needs. Ensures that employees are appropriately recruited, selected, appraised, and rewarded; takes action to address performance problems. Manages a multi-sector workforce and a variety of work situations.
<b>Technology Management</b>	Keeps up-to-date on technological developments. Makes effective use of technology to achieve results. Ensures access to and security of technology systems.

### *ECQ 5: Building Coalitions*

Definition: This core qualification involves the ability to build coalitions internally and with other Federal agencies, State and local governments, nonprofit and private sector organizations, foreign governments, or international organizations to achieve common goals.

#### **Competencies**

<b>Partnering</b>	Develops networks and builds alliances; collaborates across boundaries to build strategic relationships and achieve common goals.
<b>Political Savvy</b>	Identifies the internal and external politics that impact the work of the organization. Perceives organizational and political reality and acts accordingly.
<b>Influencing/ Negotiating</b>	Persuades others; builds consensus through give and take; gains cooperation from others to obtain information and accomplish goals.

### *Fundamental Competencies:*

Competencies are the personal and professional attributes that are critical to successful performance in the SES. The fundamental competencies are the attributes that serve as the foundation for each of the Executive Core Qualifications. Experience and training that strengthen and demonstrate the competencies will enhance a candidate's overall qualifications for the SES.

Definition: These competencies are the foundation for success in each of the Executive Core Qualifications.

#### **Competencies**

<b>Interpersonal</b>	Treats others with courtesy, sensitivity, and respect. Considers and
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<b>Skills</b>	responds appropriately to the needs and feelings of different people in different situations.
<b>Oral Communication</b>	Makes clear and convincing oral presentations. Listens effectively; clarifies information as needed.
<b>Integrity/Honesty</b>	Behaves in an honest, fair, and ethical manner. Shows consistency in words and actions. Models high standards of ethics.
<b>Written Communication</b>	Writes in a clear, concise, organized, and convincing manner for the intended audience.
<b>Continual Learning</b>	Assesses and recognizes own strengths and weaknesses; pursues self-development.
<b>Public Service Motivation</b>	Shows a commitment to serve the public. Ensures that actions meet public needs; aligns organizational objectives and practices with public interests.

**HUMAN CAPITAL  
ACCOUNTABILITY  
PLAN**



**U.S. Chemical Safety and  
Hazard Investigation Board**

**2011 – 2015**

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## Introduction

The Chemical Safety and Hazard Investigation Board's (CSB/Board) Human Capital Accountability Plan (HCAP) is a plan for tracking and measuring the effectiveness of the CSB's human capital and human resources programs to ensure that the CSB meets its commitment to planning future human capital and human resources needs. It provides an operational approach for the CSB's Human Capital Accountability System Board Order. Strategic human capital management focuses on results aligned with mission and strategy, not processes. As such, it is imperative that the CSB track and measure its human capital activities to ensure that they are consistently aligned and results driven.

The HCAP contributes to the CSB's mission success by monitoring and evaluating the progress and results of its human capital management policies, programs, and activities as presented in the CSB Human Capital Plan (HCP); by analyzing compliance with merit system principles and other laws and regulations; and by identifying and monitoring necessary improvements.

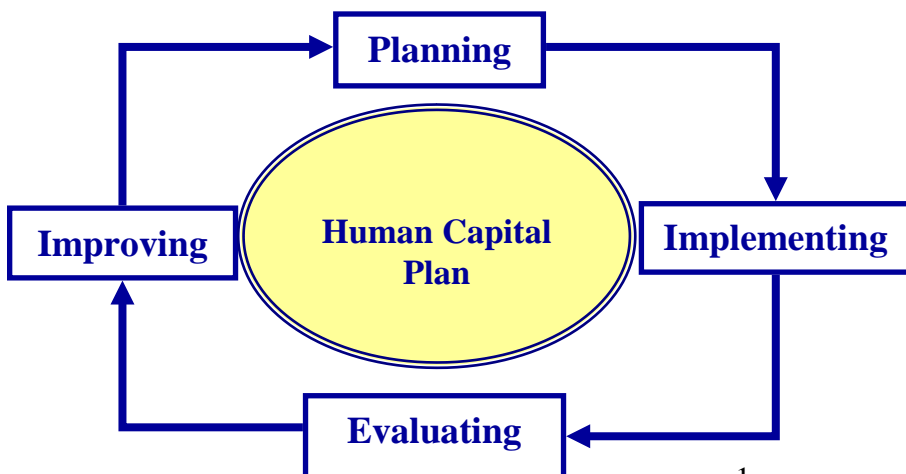
**The CSB's mission is to investigate chemical accidents and hazards at fixed industrial facilities, to issue safety recommendations, and to provide information on preventing accidents to Congress, government, industry, labor, and the American public.**

The HCAP is aligned with CSB's HCP, which is aligned with CSB's Strategic goals. Through the HCAP, the Board is able to report and communicate on its human capital goals identified in the HCP. In this sense, the HCAP will operationalize the Human Capital Accountability System Directive. Moreover, it is intended that the HCAP will:

- Guide human capital decisions using data-driven information and results-oriented planning techniques;
- Support the development of human capital goals and objectives, in conjunction with Board strategic planning and budgeting; and
- Contribute to effective human capital management practices that are in accordance with merit systems principles, as well as Federal laws, rules and regulations.

### HCAP Phases

The four phases of the HCAP are as follows:



1. **Planning** – Develop, document and resource accountability.
2. **Implementing** – Conduct accountability activities.
3. **Evaluating** – Analyze and report accountability results.
4. **Improving** – Implement improvements and corrective actions.

This cycle of phases supports the alignment of human capital goals and outcomes with the CSB's strategic and mission objectives. It also allows for the evaluation of results of human capital and human resources policies, programs, and practices. The continuous process of monitoring and adjusting goals, measures, budgets, and initiatives helps ensure a systemic approach to accountability.

## **Operation of HCAS**

The Office of Personnel Management (OPM) has established the Human Capital Assessment and Accountability Framework (HCAAF) ([www.opm.gov/hcaaf\\_resource\\_center/](http://www.opm.gov/hcaaf_resource_center/)). This framework establishes and defines five human capital systems that together provide a model for human capital accountability as follows:

### *Planning and Goal Setting:*

**Strategic Alignment** – A system led by senior management that promotes the alignment of human capital management strategies with Agency mission, goals, and objectives through analysis, planning, investment, measurement, and management of human capital programs.

### *Implementing:*

**Leadership and Knowledge Management** – A system that ensures continuity of leadership by identifying and addressing potential gaps in effective leadership and implements and maintains programs that capture organizational knowledge and promote learning.

**Results-Oriented Performance Culture** – A system that promotes a diverse, high-performing workforce by implementing and maintaining effective performance management systems and awards programs.

**Talent Management** – A system that addresses competency gaps, particularly in mission-critical occupations, by implementing and maintaining programs to attract, acquire, promote, and retain quality talent.

### *Evaluating Results:*

**Accountability** – A system that contributes to Agency performance by monitoring and evaluating the results of its human capital management policies, programs, and activities; by analyzing compliance with merit system principles; and by identifying and monitoring necessary improvements.

## **Purpose**

The HCAP addresses each of the five human capital systems and the Human Capital Solutions Implementation Plan contained in the HCP. This Plan is directly linked to our HCP, and as such is also a multi-year plan. This allows us to prepare for resource demands of the described activities in the HCP and change course as needed as a result of our human capital accountability activities. This also allows us to link our human capital and human resources actions to our

mission. This plan will be reviewed annually and may be modified at any time in response to new information or changed circumstances.

## **Human Capital Accountability Audits**

The CSB's human capital and human resources management programs, practices, and procedures will be reviewed annually using a systematic methodology – an independent human capital accountability audit. The accountability audit will cover human capital and human resources activity agencywide. This audit will consist of the following activities:

- a. **Review Team:** The accountability audit review team lead will be designated by the Human Resources Director. The Human Resources Director will also designate a functional expert and one or more supervisors/managers to participate on the team. The use of outside support for conducting the accountability audit is at the discretion of the CSB. Every possible step will be taken to provide for objective review, while recognizing that this is complicated by the small size and limited resources of the CSB.
- b. **Pre-Review Activities:** The review team will collect, review, and analyze human resources information from:
  1. The Annual Employee Survey or similar annual employee satisfaction surveys.
  2. Employee data queries from the Federal Personnel and Payroll System (FPPS) will be generated for the review period and longitudinally, as needed, for comparative analyses and for selecting sample transactional cases for review.
  3. Results from previous audits, program evaluations, etc.
- c. **Review Activities:** The review will cover the areas of Leadership and Knowledge Management, Results-Oriented Performance Culture, and Talent Management at a minimum. Each year's review may vary in depth and scope and include:
  1. **Records Reviews.** The team will conduct reviews of human resources records, e.g. merit staffing files, other recruitment files, Official Personnel Folders, and Employee Performance Files, to determine statutory, regulatory, and procedural compliance. OPM developed check sheets will be used to document these reviews.
  2. **Interviews.** As applicable, the team will conduct interviews with management, human resources representatives, and employees to gather information on the status and effectiveness of current human resources programs. Groups will be comprised of employees, supervisors, and managers. Interviews will consist of questions related to issues identified in the review of personnel data, survey data, and questions on program perceptions, best practices, workforce planning, and budget implications.
  3. **Human Capital Solutions Implementation Plan.** The team will review Appendix B of the HCP, the Human Capital Solutions Implementation Plan, to determine that progress is being made as planned, re-evaluate resources, and identify new required activities.
  4. **HCAAF Self Assessment.** This self-assessment will include assessment against effectiveness metrics in each of the HCAAF systems. The review will be

documented on the HCAAF Self-Assessment worksheets included in Section 3 of the Appendix.

5. Additional Review Activities. Standard accountability review activities and information sources are located in Section 1 of the Appendix.
  
- d. Review Schedule: At the beginning of each fiscal year, the Human Resources Director will establish a start date and project plan for review activities for the approval of the Chairman. Review activities will be completed at the end of the fiscal year. The project plan will contain any specific human capital areas of interest for the year.
  
- e. Reporting: Following the accountability review, the review team lead will complete a report of findings and brief the Chairman. The report should contain the following items:
  1. Executive Summary
  2. Relevant Background of CSB Human Resources Function
  3. Methodology – human capital accountability audit activities completed
  4. Findings for each HCAAF System
  5. Best Practices – strategies to improve human capital management that can be shared or implemented throughout the Agency.
  6. Required Actions – corrections to a personnel action that is not in compliance with, and violates Federal law, statute or regulation, or one or more merit system principles and/or prohibited personnel practices as codified in 5 United States Code, section 2301. It also includes actions that are not in compliance with Agency directives and instructions.
  7. Recommended Actions – actions that address an improvement opportunity or an operational weakness and/or deficiency. Recommendations may include new or revised policies or procedures, or implementation of new strategies to improve the efficiency and effectiveness of operations.

As indicated in the CSB Human Capital Accountability Board Order, the report will then be submitted to the Chairman. When there are required or recommended actions, the Human Resources Director will develop an action plan and submit it to the Chairman within 30 calendar days of receipt of the report. The Human Resources Director will maintain records that document what action(s) were taken to address issues that were identified in the review.

## **Annual Accountability Report to OPM**

As required by regulation and the CSB Human Capital Accountability Board Order, the CSB will submit an annual accountability report to OPM. This report will be prepared during the first quarter of the fiscal year in preparation for the end of the calendar year reporting date. The report will be developed based on input from senior leadership, the accountability review report(s) including the HCAAF Self Assessment, and other relevant human capital and human resources activities. Instructions for completing the annual Human Capital Management Report are provided in Section 4 of the Appendix. These instructions are for FY 2009, and they may vary based upon OPM's current guidance. CSB will ensure that the most recent guidance is used.

## Appendix

### Section 1: Accountability Review Activities

#### Accountability Review Activities

The following are identified activities and sources of information that may be useful when conducting the human capital accountability review activities described in the Human Capital Accountability Plan. None of the activities or sources identified is intended to be all inclusive or necessarily required for each accountability review.

Accountability Review Activities and Information Sources	
<b>Strategic Alignment System</b>	
<p><i>Information Sources:</i></p> <ul style="list-style-type: none"> <li>▪ Agency strategic planning documents</li> <li>▪ Annual performance plans</li> <li>▪ Human Capital Plan</li> <li>▪ Workforce Plan</li> <li>▪ Human Capital Accountability and Assessment Framework (HCAAF)</li> </ul>	<p><i>Accountability Review Activities:</i></p> <ul style="list-style-type: none"> <li>▪ Conduct interviews/focus groups with leaders and employees.</li> <li>▪ Assess human capital and human resources initiatives against the key elements and performance indicators for each of the critical success factors identified in the HCAAF Practitioner’s Guide (<a href="http://www.opm.gov/hcaaf_resource_center/index.asp">http://www.opm.gov/hcaaf_resource_center/index.asp</a>).</li> </ul>
<b>Leadership and Knowledge Management System</b>	
<p><i>Information Sources:</i></p> <ul style="list-style-type: none"> <li>▪ Agency strategic planning documents</li> <li>▪ Human Capital Plan</li> <li>▪ Workforce Plan</li> <li>▪ HCAAF</li> <li>▪ Information on leadership and executive development programs</li> <li>▪ Training plans and policies</li> <li>▪ Training needs assessments</li> <li>▪ Knowledge management initiatives</li> <li>▪ Findings from previous reviews/audits</li> </ul>	<p><i>Accountability Review Activities:</i></p> <ul style="list-style-type: none"> <li>▪ Conduct interviews/focus groups with senior managers, supervisor, and employees.</li> <li>▪ Review compliance with 5 U.S.C. Chapter 41, 5 CFR 410, and 5 CFR 412.</li> <li>▪ Review annual training needs assessment and related training records.</li> <li>▪ Review responses from FHCS or Agency employee survey results.</li> <li>▪ Review employee/leadership development and training policies, plans, and initiatives.</li> <li>▪ Review knowledge management policies, procedures, and initiatives.</li> <li>▪ Assess human capital and human resources initiatives against the key elements and performance indicators for each of the critical success factors identified in the HCAAF Practitioner’s Guide (<a href="http://www.opm.gov/hcaaf_resource_center/index.asp">http://www.opm.gov/hcaaf_resource_center/index.asp</a>).</li> </ul>

## Accountability Review Activities and Information Sources

	<ul style="list-style-type: none"> <li>▪ Complete Leadership and Succession Planning Program checklist.</li> <li>▪ Complete Knowledge Management and Continuous Learning Programs checklist.</li> </ul>
<b>Results Oriented Performance Culture System</b>	
<p><i>Information Sources:</i></p> <ul style="list-style-type: none"> <li>▪ Agency strategic planning documents</li> <li>▪ Human Capital Plan</li> <li>▪ HCAAF</li> <li>▪ Performance management and recognition system policy and procedures</li> <li>▪ Awards policies and procedures.</li> <li>▪ Other organizational plans/goals</li> <li>▪ Diversity initiatives</li> <li>▪ FPPS Employee Data Reports</li> <li>▪ Findings from previous reviews/audits</li> </ul>	<p><i>Accountability Review Activities:</i></p> <ul style="list-style-type: none"> <li>▪ Conduct interviews/focus groups with leaders and employees.</li> <li>▪ Conduct an assessment of the overall performance appraisal program (possibly using OPM's Performance Appraisal Assessment Tool).</li> <li>▪ Review responses from FHCS or Agency employee survey results.</li> <li>▪ Review a sampling of performance plans for linkage to mission, goals, and outcomes.</li> <li>▪ Review a sampling of performance plans to assess timeliness of ratings.</li> <li>▪ Review a sampling of performance plans to assess compliance with 5 U.S.C. Chapter 43, 5 CFR Part 430, and organizational policies.</li> <li>▪ Conduct an overall assessment of the performance awards program.</li> <li>▪ Review a sampling of awards actions and awards justifications for compliance with 5 U.S.C. Chapter 45, 5 CFR 451, Guide to Processing Personnel Actions; Guide to Personnel Record Keeping; and organizational policies.</li> <li>▪ Assess human capital and human resources initiatives against the key elements and performance indicators for each of the critical success factors identified in the HCAAF Practitioner's Guide (<a href="http://www.opm.gov/hcaaf_resource_center/index.asp">http://www.opm.gov/hcaaf_resource_center/index.asp</a>).</li> <li>▪ Complete Performance Appraisal System Review checklist;</li> <li>▪ Complete Performance Plan Review checklist;</li> <li>▪ Complete Awards Program Review checklist;</li> <li>▪ Complete Awards Individual Case Review checklist;</li> </ul>
<b>Talent Management System</b>	
<p><i>Information Sources:</i></p> <ul style="list-style-type: none"> <li>▪ Human Capital Plan</li> <li>▪ Workforce Plan</li> <li>▪ HCAAF</li> <li>▪ Organizational chart</li> </ul>	<p><i>Accountability Review Activities:</i></p> <ul style="list-style-type: none"> <li>▪ Conduct individual and group interviews with leaders, employees, and human resources staff.</li> <li>▪ Review adherence to 45-day hiring model.</li> <li>▪ Review delegated examining case files and actions.</li> </ul>

## Accountability Review Activities and Information Sources

<ul style="list-style-type: none"> <li>▪ Staffing plan</li> <li>▪ Merit Promotion Plan</li> <li>▪ Diversity initiatives</li> <li>▪ Delegated Examining Audit Program Guidance</li> <li>▪ Hiring plans and recruitment sources</li> <li>▪ Recruitment and retention policies, practices, and strategies.</li> <li>▪ FPPS Employee Data Reports</li> <li>▪ Findings from previous reviews/audits</li> </ul>	<ul style="list-style-type: none"> <li>▪ Review Merit staffing case files and actions.</li> <li>▪ Review competitive service appointments: conversions, transfers, reinstatements, direct hire, outstanding scholar, Veterans Employment Opportunity Act (VEOA).</li> <li>▪ Review time limited appointments: temporary, term, seasonal, and disabled veterans.</li> <li>▪ Review excepted appointments: Veterans Recruitment Act (VRA), student, and attorney.</li> <li>▪ Review recruitment, retention, and relocation incentives actions.</li> <li>▪ Review student loan repayment actions.</li> <li>▪ Review Student Educational Employment Program actions.</li> <li>▪ Review work-life flexibilities.</li> <li>▪ Review responses from FHCS or Agency employee results survey.</li> <li>▪ Assess human capital and human resources initiatives against the key elements and performance indicators for each of the critical success factors identified in the HCAAF Practitioner’s Guide (<a href="http://www.opm.gov/hcaaf_resource_center/index.asp">http://www.opm.gov/hcaaf_resource_center/index.asp</a>).</li> <li>▪ Complete Talent Management-related checklists.</li> </ul>
<b>Accountability System</b>	
<p><i>Information Sources:</i></p> <ul style="list-style-type: none"> <li>▪ Agency strategic planning documents</li> <li>▪ Human Capital Plan</li> <li>▪ Human Capital Accountability Plan</li> <li>▪ HCAAF</li> <li>▪ Internal or external assessments of human capital/human resources processes and practices</li> <li>▪ Internal or external reports or surveys pertaining to human resources activities</li> </ul>	<p><i>Accountability Review Activities:</i></p> <ul style="list-style-type: none"> <li>▪ Conduct interviews/focus groups with leaders and employees.</li> <li>▪ Review organizational accountability activities (i.e., tracking of organizational goals and metrics, assessments, surveys, etc.) conducted.</li> <li>▪ Assess human capital and human resources initiatives against the key elements and performance indicators for each of the critical success factors identified in the HCAAF Practitioner’s Guide (<a href="http://www.opm.gov/hcaaf_resource_center/index.asp">http://www.opm.gov/hcaaf_resource_center/index.asp</a>).</li> </ul>

### Transactional Records Review:

Records reviews include auditing individual personnel actions to determine legal and regulatory compliance. Records reviews are also used to identify systemic programmatic or procedural deficiencies that may undermine the CSB’s human resources programs or processes. Examples of records of individual actions include:

- Official Personnel Folders
- Merit promotion and other recruitment files
- Employee Performance Files
- Training records
- Disciplinary and performance based action case files

## **Individual and Group Interviews**

Individual and group interviews can provide information on various human capital management issues. The information gained through interviews and focus groups can support or amplify findings derived from other data and documents, as well as provide information on the impact of human resources programs and practices on the Agency. Sample interview questions are included in Section 2 of the Appendix. These sample questions should be augmented to collect information on current objectives.

Interviews may include the following:

- Two groups of 3-5 non-supervisory employees
- One to two groups of 3-5 supervisors
- One group of 3-5 managers
- Chairman or designee
- Human Resources Director
- Human Resources Representatives
- Delegated Examining staff and selecting officials (if applicable)
- Training Officer
- EEO representative



## Appendix

### Section 2: Group Interview Questions – Supervisor and Employees

#### Supervisor/Manager Group Interview Questions

##### Strategic Alignment

1. How are you using the CSB's Human Capital Plan to accomplish your mission? To what extent does it help you achieve human capital results? (M/S)
2. How do you provide feedback on the results and whether any changes are needed? (M)
3. How does the CSB benchmark best practices and share them? (M/HR)
4. How is the human resources staff involved in the human capital planning and decision-making process? (M/HR)
5. To what extent is the human resources function staffed and capable of assisting you? (M/HR)
6. What information/data do you receive from human resources and how do you use it in making human capital decisions? (M/HR)
7. How does the CSB determine overall workforce requirements, i.e., number, competencies, structure, etc., for the short- and long-term? (M/HR)
8. How is workforce planning communicated through the CSB and how did you participate in the workforce planning? (M/HR)
9. To what extent does the CSB's organizational structure, i.e., management layers, supervisor/employee ratios, deployment - where employees are located, etc., support accomplishing your mission? (M/HR)
10. If the CSB has experienced restructuring, how was the change supported, what barriers, i.e., administrative, physical, cultural, had to be dealt with, and was the result effective? (M/S/HR)
11. What succession planning mechanisms/initiatives for the workforce in general are used by the CSB? (M/S)

##### Leadership & Knowledge Management

12. How well does your leadership training program prepare current and future managers and supervisors? (M/S/HR)
13. How do you preserve and share knowledge within the Agency and organization? (M/S/HR)
14. How does the CSB ensure that employees are receiving the training they need to maintain essential competencies? As a manager/supervisor, what role do you play? (M/S/HR)
15. What mechanisms does the CSB have in place to track and evaluate the success of your leadership, knowledge management, and workforce training programs and what input do you provide? What are the consequences for not achieving the desired results? (M/S/HR)

## **Performance Culture**

16. How is the link between your work and the CSB strategic goals established and integrated in your performance evaluation? (M/HR/S)
17. Within the performance system, how are distinctions made in the levels of performance and communicated to you? (M/HR/S)
18. How are developmental needs and/or poor performance addressed within the performance process? (M/S/HR)
19. To what extent are awards linked to strategic goals? (M/HR)
20. Are top performers recognized? Which awards are most motivating and why? (M/HR/S)
21. What mechanisms does the CSB have in place to track and evaluate the success of your performance appraisal and awards programs and what input do you provide? What are the consequences for not achieving the desired results? (M/S/HR)

## **Talent**

22. How is the CSB identifying current and future competencies/skills needs? What additional competencies are needed by the workforce? (M/S/HR)
23. To what extent are your recruitment strategies driven by an Agency plan based on workforce analysis that includes assessment of competency/skills gaps, diversity, etc? (M/S/HR)
24. How do you ensure that you have a broad pool of quality candidates? (M/HR/EEO)
25. What hiring strategies have been most effective in getting the talent you need? How effective are recruitment efforts? (S/HR)
26. What does the CSB do to make it an employer of choice, e.g., work-life programs/benefits? (S/M/HR)
27. How are you meeting your public policy responsibilities to ensure there is a workforce representative of America, including veterans? (M/S/HR/EEO)
28. How are you making your hiring process as user friendly and timely as possible? (S/HR)
29. What mechanisms does the CSB have in place to track and evaluate the success of recruitment and retention strategies and what input do you provide? What are the consequences for not achieving the desired results? (M/S/HR/EEO)

## **Accountability**

30. Does the CSB have an accountability system in place to ensure people are managed efficiently and effectively and in accordance with merit system principles and other guidance? How do you view your role/responsibilities in such an accountability system? (M/S/HR)
31. What do you know about the merit system principles and prohibited personnel practices? (M/S/HR/EEO)

### **KEY:**

**M=Key Leaders/Managers**

**S=Supervisors**

**HR=Human Resources**

**EEP =EEO Manager/Representative**

## **Employee Group Interview Questions**

### **Strategic Alignment**

1. How familiar are you with the CSB's Strategic goals? Human Capital Plan?
2. If your organization has experienced restructuring, how was the change supported and communicated, what barriers, i.e., administrative, physical, cultural had to be dealt with, and was the result effective?
3. What succession planning mechanisms/initiatives for the workforce in general are used by the organization?

### **Leadership & Knowledge Management**

4. How knowledgeable is your supervisor on human resources related issues?
5. To what extent do employees hold managers in high regard?
6. How is knowledge preserved and shared within your organization and Agency, i.e., shared drives, meetings, etc?
7. How does your organization ensure that employees are receiving the training and development they need to maintain essential competencies/skills? Are you familiar with training and development programs available throughout the CSB?

### **Performance Culture**

8. How is the link between your work and the CSB strategic goals established, integrated, and communicated in your performance evaluation?
9. Within the performance system, how are distinctions made in the levels of performance and communicated to you?
10. How are developmental needs and/or poor performance addressed within the performance process?
11. Are top performers recognized? Which awards are most motivating and why?

### **Talent**

12. To what extent are employees used in the recruitment and hiring process (i.e., recruitment trips, participation on rating panels, serve as subject matter experts to develop rating instruments)?
13. Have you or do you know of anyone who has received a compensation flexibility such as recruitment, retention, or relocation incentive; student loan repayment; superior qualifications appointment, etc.? If so, do you believe the use of these flexibilities enabled the CSB to hire and/or retain high quality individuals?
14. What does the CSB do to enhance the quality of work-life? (e.g., work-life programs/benefits, alternate work schedule, child care, etc.)
15. How satisfied are you with your job?

## **Accountability**

16. What kind of service does your Human Resources Office provide? Do they provide good customer service? Are human resources services timely? What do they do well? What should they improve? What would you like to see different?
17. What kind of human resources support does your supervisor provide? What would you like to see different?
18. Have you been asked to provide feedback or any type of assessment of the human resources services you receive? In what way? Did this information result in any changes or improvements?
19. Have you participated in an employee or climate survey? Did this information result in any changes or improvements?
20. Are you familiar with the merit system principles and prohibited personnel practices? How have you been made aware of them?
21. Are managers, supervisors, employees and human resources staff held accountable for their human resources decisions? Are these decisions in adherence to the merit system principles and law and regulations as you know it?

## Appendix

### Section 3: HCAFF Self-Assessment

#### Chemical Safety and Hazard Investigation Board Human Capital Assessment and Accountability Framework (HCAAF) Self-Assessment

##### COVERAGE BY HCAAF SYSTEMS

The HCAAF establishes and defines five human capital systems that together provide a single, consistent definition of human capital management for the Federal Government. The HCAAF fuses human capital management to the merit system principles and other civil service laws, rules, and regulations. Each system consists of components that allow human capital practitioners to assess how well the system is strategically managing its human capital with merit system principles. Additional information can be found on OPM's HCAAF Resource Center Web link at [http://www.opm.gov/hcaaf\\_resource\\_center/](http://www.opm.gov/hcaaf_resource_center/).

For each system, there is a standard, critical success factors, government-wide required metrics of effectiveness, and additional metrics selected for CSB. The required metrics of effectiveness cover the areas of organization perspective, employee perspective, and merit system compliance.

In order to support the CSB's human capital accountability efforts, we will complete the following HCAAF self-assessment on an annual basis. This self-assessment will include a review of each of the human capital systems and will link to the Agency's Human Capital Goals and Supporting Solution Activities identified in our Human Capital Plan as indicated on the following worksheets.

**Review Year:** \_\_\_\_\_

**Date of Completion of Self Assessment:** \_\_\_\_\_

**Title and Signature of Responsible Official:** \_\_\_\_\_

## Strategic Alignment System

**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.

**Critical Success Factors:**

- **Human Capital Planning** – the Agency designs a coherent framework of human capital policies, programs, and practices to achieve human capital requirements to directly support the Agency’s strategic plan.
- **Workforce Planning** – the organization identifies the human capital required to meet organizational goals, conducts analyses to identify competency gaps, develops strategies to address human capital needs and close competency gaps, and ensures the organization is appropriately structured.
- **Human Capital Best Practices and Knowledge Sharing** – to leverage its efforts, the Agency works with others to share best practices and learn about new developments.
- **Human Resources as Strategic Partner** – human resources professionals act as consultants with managers to develop, implement, and assess human capital policies and practices to achieve the organization’s shared vision. Senior leaders, managers, human resources professionals, and key stakeholders contribute to the human capital vision and the Agency’s broader strategic planning process.

**Human Capital Goals and Supporting Solution Activities from the Human Capital Plan:**

*Human capital strategy is aligned with Agency mission, goals, and organizational objectives and integrated into our strategic plans, performance plans, and budgets.*

- Facilitate strategic human capital planning in support of on-going strategic and business planning.
- Maintain and implement an Agency-wide integrated workforce planning process.

*The CSB will regularly update the Human Capital Plan to support our mission and strategic goals.*

- Update/Revise HCP to support our business goals and strategies on an annual basis.
- Progress is reported through the Human Capital Solutions Implementation Plan to identify necessary human capital activities.

Metric	Purpose	Measurement Approach/Calculation	Frequency	Responsible Party
Documented evidence of a current Human Capital Plan that includes human capital goals, objectives and strategies; a workforce plan; and performance measures and milestones.*	To ensure that Agency is meeting human capital planning regulatory requirements in support of mission accomplishment through comprehensive human capital planning.	Documented Human Capital Plan including Workforce Plan and planned approach for review and update.	Annually	Chairman
<b>Assessment Results/Findings:</b>				

\*Required Government-wide metric – 5 CFR 250

## Leadership and Knowledge Management System

**System Standard:** Agency leaders and managers effectively manage people, ensure continuity of leadership, sustain a learning environment that drives continuous improvement in performance, and provide a means to share critical knowledge across the organization. Knowledge management must be supported by an appropriate investment in training and technology.

**Critical Success Factors:**

- **Leadership Succession Management** – the organization identifies leadership competencies and establishes objectives and strategies to ensure there is a continuous pipeline of available leadership within the organization.
- **Change Management** – The Agency has in place leaders who understand what it takes to effectively bring about changes that achieve significant and sustained improvements in performance.
- **Integrity and Inspiring Employee Commitment** – Leaders maintain high standards of honesty and ethics that serve as a model for the whole workforce. Leaders promote teamwork and communicate the organization’s shared vision to all levels of the organization and seek feedback from employees. Employees respond by maintaining high standards of honesty and ethics.
- **Continuous Learning** – Leaders foster a learning culture that provides opportunities for continuous development and encourages employees to participate. Leaders invest in education, training, and other developmental opportunities to help themselves and their employees build mission-critical competencies.
- **Knowledge Management.** – The organization systematically provides resources, programs, and tools for knowledge sharing across the organization in support of its mission accomplishment.

**Human Capital Goals and Supporting Solution Activities from the Human Capital Plan:**

*The CSB will develop integrated succession management and leadership development programs that build needed leadership competencies.*

- Develop an integrated, strategic training and development program to acquire and maintain needed Agency leadership competencies.
- Develop and implement a Management Succession Plan.

*The CSB will ensure effective management of our employees by instituting a leadership focus for all managers.*

- Include Leadership-focused elements in all managers’ performance appraisals.
- Develop the “Leadership” competency requirement for CSB managers through appropriate training.

*The CSB will increase level of communication throughout the Agency.*

- Initiate standardized and consistent avenues of communication throughout the Agency.

*The CSB will systematically provide resources, programs, and tools for knowledge sharing across the organization in support of mission accomplishment.*

- Capture knowledge and lessons learned (from failures and successes) in a more effective, systematic way.
- Explore strategies for enhancing organizational knowledge sharing and knowledge transfer.

Metric	Purpose	Measurement Approach/Calculation	Frequency	Responsible Party
Organization Metric*: Competency Gaps Closed for Management and Leadership	To determine how the Agency should target our recruitment, retention, and development efforts to bring the competencies of our managers and leaders into alignment with	Assessment of Management Competency Gaps Use of OPM FCAT-M or following methodology:  1. Use SME to identify desired level of performance on each core competency for present and	Pre and post assessment dependent on timing of programs	Senior Management Officials  Human Resources Director

Metric	Purpose	Measurement Approach/Calculation	Frequency	Responsible Party
	the Agency's current and future needs	<p>future.</p> <ol style="list-style-type: none"> <li>2. Evaluate each leader or manager's current level of performance (vacancies receive lowest possible score);</li> <li>3. Identify each leader or manager who has at least one competency gap between the actual and ideal;</li> <li>4. Count the number of leaders with at least one gap, divide by the number assessed and multiply by 100. This percentage is the competency gap.</li> </ol> <p><i>The above calculation method is from OPM's original HCAAF-Systems, Standards and Metrics (SSM) guidance. A new calculation method has been prescribed by OPM; however it may not be feasible for an Agency the size of CSB.</i></p> <p><a href="http://www.opm.gov/hcaaf_resource_center/assets/hcaaf_ssm.pdf">http://www.opm.gov/hcaaf_resource_center/assets/hcaaf_ssm.pdf</a></p>		
<b>Assessment Results/Findings:</b>				



<i>Employee Perspective Metric*</i> : Questions from Annual Employee Survey about Satisfaction with Leadership.	To determine the extent which employees hold their leadership in high regard, both overall and on specific facets of leadership	Using FHCS/Annual Employee Survey Results: Number of favorable responses divided by number of total valid responses multiplied by 100.	Annually	Human Resources Director
<b>Assessment Results/Findings:</b>				
<i>Merit System Compliance Metric*</i> : Merit-Based Execution of the Leadership and Knowledge Management System	To determine that decisions, policies, processes, and practices executed under the Leadership and Knowledge Management system comply with the merit system principles and related laws, rules, and regulations	Compliance with applicable laws and regulations: Percent of training and employee development actions demonstrating severe** transactional or programmatic problems or errors (based on a statistically valid sample of training and employee development actions within a one-year period).	Annually as part of Accountability Review activities	Human Resources Director  Accountability Review Team
<b>Assessment Results/Findings:</b>				
Bench Strength	To ensure that enough internal organizational capacity exists to mitigate leadership attrition and maintain progress toward mission attainment	Number of employees in leadership pipeline who demonstrate required level of performance on leadership competencies and number of critical leadership positions.	Annually as part of Workforce Plan review	Senior Management Officials  Human Resources Director
<b>Assessment Results/Findings:</b>				
Culture of Workforce Improvement	To determine the extent to which employees believe their leaders have developed a culture that values personal growth	Using FHCS/Annual Employee Results: Number of favorable responses divided by number of total valid responses multiplied by 100.	Annually	Human Resources Director

\*Required Governmentwide metric – 5 CFR 250

\*\*Severe problems and errors are those that result in an improper or illegal personnel action (e.g., PPP violations, illegal appointment) or systemic practices or program deficiencies that significantly undermine or invalidate a human capital program or process.

## Results Oriented Performance Culture System

**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.

**Critical Success Factors:**

- **Communication** – the Agency has a process for sharing information and ideas about the organization with all employees. This vital process includes eliciting employee feedback and involvement so that all employees play an appropriate role in planning and executing the mission.
- **Performance Appraisal** – the Agency has a process under which performance is reviewed and evaluated.
- **Awards** – the organization takes actions to recognize and reward individual or team achievement that contributes to meeting organizational goals or improving the efficiency, effectiveness, and economy of the Government.
- **Pay for Performance** – the Agency uses pay-for-performance systems, where authorized by law and regulation, to link salary levels and adjustments to an individual’s overall performance and contribution to the Agency’s mission. Employees receive base salary adjustments within their assigned bands.
- **Diversity Management** – the Agency maintains an environment characterized by inclusiveness of individual differences and responsiveness to the needs of diverse groups of employees.
- **Labor/Management Relations** – the organization promotes cooperation among employees, unions (if applicable), and managers. This cooperation enhances effectiveness and efficiency, cuts down the number of employee-related disputes, and improves working conditions, all of which contribute to improved performance and results.

**Human Capital Goals and Supporting Solution Activities:**

*CSB has a diverse, results-oriented, high performing workforce.*

- Promote an environment that is fair and unbiased and that values opportunity, inclusiveness, and mission accomplishment.
- Managers and Supervisors will strive for continual cooperation throughout the workforce.
- Develop a culturally diverse workforce that maximizes effective utilization of human capital.

*The Performance Management System will effectively differentiate between high and low performance and link performance to organizational goals and desired results.*

- Continually improve implementation of the General Schedule performance management system to ensure all appraisals are aligned with the Agency’s strategic objectives.
- Implement performance management system training throughout the Agency to ensure all appraisals are aligned with organizational goals, include credible measures, and demonstrate consistency in program execution.
- Review awards program to ensure appropriate rewards and recognition are provided for, and that it is adequately linked to performance that contributes to the achievement of Agency strategic goals.
- Integrate performance review with budget decisions to ensure that budget projections are tied to performance results and performance is more readily measurable.

Metric	Purpose	Measurement Approach/Calculation	Frequency	Responsible Party
Organization Metric*: SES Performance/ Organizational Performance Relationship	To determine the extent to which SES appraisals and awards are appropriately based on achievement of organizational results	1. Demonstrate that all SES performance plans effectively link to Agency mission, goals and outcomes, as documented in OPM’s SES Certification Process. 2. Calculate total	Annually	Chairman

Metric	Purpose	Measurement Approach/Calculation	Frequency	Responsible Party
		compensation, including monetary awards (e.g., bonuses), for each senior executive. 3. Compute the correlation between individual senior executives' performance appraisal ratings and their total compensation.		
<b>Assessment Results/Findings:</b>				
<i>Organization Metric*:</i> Workforce Performance Appraisals Aligned to Mission, Goals and Outcomes	To determine whether all employees have performance appraisal plans that effectively link to the Agency's mission, goals, and outcomes	<ol style="list-style-type: none"> <li>1. Calculate the weighted average Performance Assessment Accountability Tool (PAAT) score for the Agency.</li> <li>2. Multiply the PAAT score for each performance appraisal system in the Agency by the number of employees covered by that system.</li> <li>3. Total the number of employees covered by all performance appraisal systems in the Agency.</li> <li>4. Add all values from Step 1 and divide by the total in Step 2.</li> </ol> <p><b>Alternately:</b>            Percent of employees who have performance appraisal plans and are covered by awards programs, all of which effectively link to Agency mission, goals and outcomes; hold employees accountable for results appropriate for their level of responsibility; differentiate between various levels of performance; and provide consequences based on performance.</p> <p><i>The first method described above is from OPM's current HCAAF-SSM guidance. The alternate method is from OPM's original HCAAF-SSM guidance and may be more feasible for an Agency the size of CSB.</i></p>	Annually	Senior Management Officials  Human Resources Director
<b>Assessment Results/Findings:</b>				

Metric	Purpose	Measurement Approach/Calculation	Frequency	Responsible Party
<i>Employee Perspective Metric*</i> : Questions from Annual Employee Survey about Performance Culture	To determine the extent to which employees believe their organizational culture promotes improvement in processes, products and services, and organizational outcomes	Using FHCS/Annual Employee Results: Number of favorable responses divided by number of total valid responses multiplied by 100.	Annually	Human Resources Director
<b>Assessment Results/Findings:</b>				
<i>Merit System Metric*</i> : Merit-Based Execution of the Results-Oriented Performance Culture system	To determine that decisions, policies, processes, and practices executed under the Results-Oriented Performance Culture standard comply with the merit system principles and related laws, rules, and regulations	Compliance with applicable laws and regulations: Percent of performance and awards actions demonstrating severe** transactional or programmatic problems or errors (based on a statistically valid sample of performance and awards actions within a one-year period).	Annually as part of Accountability Review activities	Human Resources Director  Accountability Review Team
<b>Assessment Results/Findings:</b>				
Awards - Relationship of the distribution of performance ratings to awards	To track the extent to which Agency monetary awards reflect employee performance	Review of data report of award amounts and performance ratings.	Annually as part of Accountability Review activities	Senior Management Officials  Accountability Review Team
<b>Assessment Results/Findings:</b>				
Respect for Diversity	To determine the extent to which employees believe that their organization is respectful of and welcoming to the great diversity that makes up the Federal workforce	Using FHCS/Annual Employee Survey Results: Number of favorable responses divided by number of total valid responses multiplied by 100.	Annually	Human Resources Director
<b>Assessment Results/Findings:</b>				

Metric	Purpose	Measurement Approach/Calculation	Frequency	Responsible Party

\*Required Governmentwide metric – 5 CFR 250

\*\*Severe problems and errors are those that result in an improper or illegal personnel action (e.g., PPP violations, illegal appointment) or systemic practices or program deficiencies that significantly undermine or invalidate a human capital program or process.

## Talent Management System

**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.

**Critical Success Factors:**

- **Recruitment** – the workforce plan drives the aggressive and strategic recruitment of diverse and qualified candidates for the Agency’s workforce.
- **Retention** – leaders, managers, and supervisors create and sustain effective working relationships with employees. The workforce is characterized by a motivated and skilled workforce; attractive and flexible working arrangements; and compensation packages and other programs used to hire and retain employees who possess mission-critical skills, knowledge, and competencies.

**Human Capital Goal and Supporting Solution Activities:**

*The CSB will recruit, hire, and retain employees with the necessary skills for mission accomplishment.*

- Develop and implement a comprehensive training policy ensuring that needed competencies are cultivated.
- Issue a Board Order authorizing educational reimbursement for tuition type costs in support of advancing employee degrees.
- Consider training staff members in recurring skills sets to create staff authorities in various frequently occurring specialized knowledge areas.
- Develop in-house training using online delivery methods as much as possible.
- Incorporate staff resource needs into budget and planning documents.
- Consider developing a formalized “onboarding” process to integrate new employees into the CSB workforce culture.
- Establish a formal exit interview process to monitor retention efforts.
- Review and reconcile areas within the Agency that may contribute to discontent in the workforce, and therefore possible resignations.
- Streamline and simplify the recruitment and hiring process using the strategies and metrics in OPM’s End-to-End Hiring Initiative.
- Initiate a review of occupational series for Chemical Incident Investigator positions to ensure we attract and hire candidates with appropriate mission-critical skills sets.

*The CSB will explore work/life flexibilities and programs to improve employee satisfaction/morale and to make the Agency a more attractive place to work.*

- Assess work schedule policy and the telework program to advance efficiency of operations.
- Continue and expand use of Student Loan Repayment Program where possible.
- Continue and expand use of Pathways (formerly Federal Intern Program) where possible.

Metric	Purpose	Measurement Approach/Calculation	Frequency	Responsible Party
Organizational Metric*: Competency Gaps Closed for Mission Critical Occupations	To determine how the Agency should target its recruitment, retention, and development efforts to bring the competencies of its workforce into alignment with the	1. Use SME to identify desired level of performance on each core competency for present and future. 2. Evaluate each MCO employee’s current level of performance (vacancies receive lowest possible score);	Annually	Senior Management Officials  Human Resources Director

Metric	Purpose	Measurement Approach/Calculation	Frequency	Responsible Party
	Agency's current and future needs	<p>3. Identify each employee or manager who has at least one competency gap between the actual and ideal;</p> <p>4. Count the number with at least one gap, divide by the number assessed and multiply by 100. This percentage is the competency gap.</p> <p><i>The above calculation method is from OPM's original HCAAF-Systems, Standards and Metrics (SSM) guidance. A new calculation method has been prescribed by OPM; however it may not be feasible for an Agency the size of CSB.</i></p> <p><a href="http://www.opm.gov/hcaaf_resource_center/assets/hcaaf_ssm.pdf">http://www.opm.gov/hcaaf_resource_center/assets/hcaaf_ssm.pdf</a></p>		
<b>Assessment Results/Findings:</b>				
<i>Employee Perspective Metric*</i> : Questions from Annual Employee Survey about Organizational Capacity	To determine the extent to which employees think the organization has talent necessary to achieve organizational goals	Using FHCS/Annual Employee Survey Results: Number of favorable responses divided by number of total valid responses multiplied by 100.	Annually	Human Resources Director
<b>Assessment Results/Findings:</b>				
<i>Employee Perspective Metric*</i> : Questions from Annual Employee Survey about Employee Satisfaction	To determine the extent to which employees are satisfied with their jobs and various aspects thereof	Using FHCS/Annual Employee Survey Results: Number of favorable responses divided by number of total valid responses multiplied by 100.	Annually	Human Resources Director
<b>Assessment Results/Findings:</b>				
<i>Merit System Compliance Metric*</i> : Merit-Based Execution of the Talent Management system	To determine that decisions, policies, processes, and practices executed under the Talent Management system comply with the merit	Compliance with applicable laws and regulations: Percent of severe** transactional or programmatic problems or errors (based on a statistically valid sample of staffing and compensation	Annually as part of Accountability Review activities	Human Resources Director  Accountability Review Team

Metric	Purpose	Measurement Approach/Calculation	Frequency	Responsible Party
	system principles and related laws, rules, and regulations	actions within a one-year period).		
<b>Assessment Results/Findings:</b>				
Turnover of Employees in Mission Critical Occupations	To track turnover of Federal employees in mission critical occupations by reason for leaving	Percent of turnover and analysis of reasons	Annually as part of Workforce Plan review	Human Resources Director
<b>Assessment Results/Findings:</b>				
Time to Hire - Average time from date vacancy closes to date offer is extended (expressed in working days)	To determine the efficiency of a critical phase of the Federal hiring process	Application of 45 Day Hiring Model	Report on quarterly basis	Human Resources Director
<b>Assessment Results/Findings:</b>				
Management Satisfaction with Hiring Process	To determine if hiring managers believe the recruitment and selection process achieves recruitment and retention goals	OPM CHCO Manager Survey data (End-to-End Hiring Initiative)	Annually	Human Resources Director
<b>Assessment Results/Findings:</b>				

\*Required Governmentwide metric – 5 CFR 250

\*\*Severe problems and errors are those that result in an improper or illegal personnel action (e.g., PPP violations, illegal appointment) or systemic practices or program deficiencies that significantly undermine or invalidate a human capital program or process.



## Accountability System

**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 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 and Supporting Solution Activities:**

*Agency leadership demonstrates its commitment to human capital accountability through actions and allocation of resources.*

- Update HCP and Workforce Plan on regular basis and in response to changing human capital environment.

*The CSB will document our human capital management processes, measures, and results; evaluate our accountability; and report findings to Agency decision makers and stake holders.*

- Improve CSB’s human capital accountability by developing Human Capital Accountability System.
- Analyze results of the FHCS/AES.

Metric	Purpose	Measurement Approach/Calculation	Frequency	Responsible Party
Documented evidence of a Human Capital Accountability System that provides for annual assessment of Agency human capital management progress and results including compliance with relevant laws, rules, and regulations.*	To ensure that the Agency is meeting human capital accountability regulatory requirements in support of strategic human capital management and merit systems compliance	Documented Human Capital Accountability System and planned approach for review and update	Annually	Human Resources Director
<b>Assessment Results/Findings:</b>				

\*Required Governmentwide metric – 5 CFR 250

## Appendix

### Section 4: Annual Human Capital Management Report

The information and instructions in this Section are for FY 2009. CSB will ensure that they are using the most recent reporting instructions from OPM.

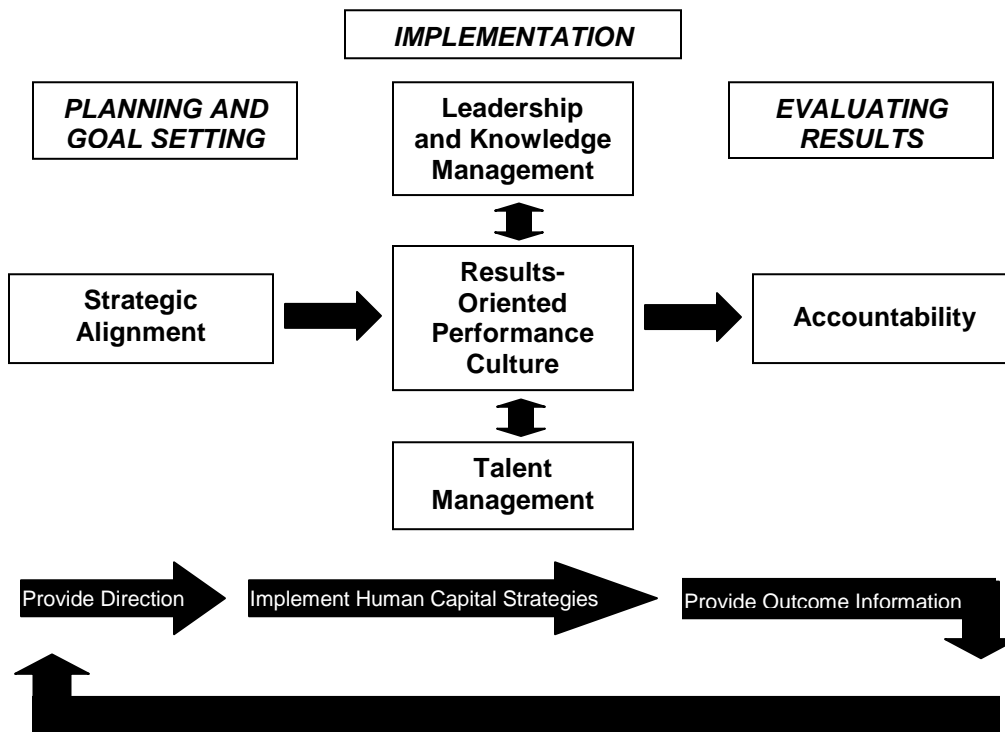
#### A. INTRODUCTION:

Federal agencies are required under 5 CFR part 250 to submit an annual Human Capital Management Report (HCMR) to the U.S. Office of Personnel Management (OPM). The HCMR helps both OPM and the reporting agency assess how well the agency's human capital (HC) programs and operations contribute to organizational performance and mission accomplishment.

There are three major phases in the HC life cycle: planning and goal setting; implementation; and evaluation (see the Human Capital Assessment and Accountability Framework (HCAAF) diagram below). A final step in the life cycle is to use information generated from the agency's accountability system, which measures both program results (outputs and outcomes) and compliance with laws and merit system principles, to inform future HC planning and actions. The reporting template for the 2009 HCMR is based on the HC life cycle.

## HCAAF Diagram

### Relationship among HCAAF Systems



By rigorously assessing the results of its HC initiatives, an agency can learn which strategies most directly support a high performing workforce and which need to be adjusted. In this way, the HCMR can help inform an agency's senior leaders and management team on the success of their current workforce strategies and help them identify needed strategies for the future.

**Note: For FY 2009, the HCMR should also include an assessment of any strategies, HC initiatives, and results related to the American Recovery and Reinvestment Act.**

## **B. INSTRUCTIONS FOR COMPLETING THE 2009 HCMR**

The 2009 HCMR will be divided into the following four sections:

### **Section I: Provide the following information**

- Name of agency.
- Fiscal year covered by the HCMR.
- The name, address, telephone number, e-mail address, and signature of a point of contact for the report.
- The name and signature of the Chief Human Capital Officer (CHCO) or senior agency official who has reviewed and approved the HCMR.
- Date report was signed.

### **Section II: Executive Summary**

- Provide a high-level summary of the HCMR. Make sure to highlight the agency's HC goals, implementation strategies, and results achieved *including those associated with the American Recovery and Reinvestment Act*.
- Provide an overview of the various accountability activities undertaken to assess whether HC goals and objectives were met.
- Indicate how results were used to adjust or improve HC goals and objectives.
- Describe any internal or external factors, such as changing mission needs, budget constraints, or Congressional requirements that affected the ability of the agency to achieve its HC goals.

### **Section III: Goals, Actions, Results, Accountability, Adjustments**

An agency's HCMR must clearly answer the following questions (*Note: agencies have the flexibility to format the HCMR to meet their needs*):

#### **GOALS:**

- What were the agency's HC goals for the fiscal year?
- Why were these goals selected? (E.g., identify the link between the goal and the agency's mission as described in key documents such as its strategic plan, strategic human capital plan, etc.)
- What performance measures and milestones did the agency identify to measure its progress toward these goals?

#### **ACTIONS:**

- What steps or activities did the agency undertake during the fiscal year to help achieve its HC goals?

#### **RESULTS:**

- How did the agency determine whether or not its HC goals were met? (identify the relevant performance measures, such as survey results, study findings, results of Human Capital Management Evaluation, systems, standards, and metrics (SSM) measures.)
- What were the actual performance results as evidenced by applicable performance measure? *Note: Performance measures ideally assess the achievement of goals, not activities. Report on agency specific measures that assess goal attainment.*
- Did the agency meet its milestones during the year? If not, explain why.
- If any goals were not met during the fiscal year, what factors contributed to that result? (E.g., budget constraints, changing mission needs, Congressional requirements). *Note: If results*

*cannot be measured during the fiscal year, please indicate when results are expected and include future targets if appropriate.*

- How did the agency's HC programs, policies, and operations across all HCAAF systems help or hinder the agency in achieving its strategic goals? This question should be addressed collectively, not by each HCAAF system individually.

#### ACCOUNTABILITY AND EVALUATION:

- How was the agency's accountability system used to evaluate HC programs and operations?
- What compliance measures were identified to ensure the agency was following merit system principles, laws, and regulations?
- Briefly summarize major findings identified through the agency's independent audit program.

#### ADJUSTMENTS:

- How was the information generated from the accountability system used to inform future HC goal-setting and planning?
- How were results (outputs and outcomes) used to assess the effectiveness of the agency's accountability system?
- What actions did your agency undertake to correct deficiencies or violations identified through your accountability system, program evaluations, employee surveys, independent audits, or other similar sources?
  - What modifications were made to agency policies, programs, practices, operations, or strategies?
  - Did the corrective actions address the problems as intended?

### **Section IV: HCAAF: Systems, Standards, and Metrics**

The metrics required in 5 CFR 250 are designed to assist agencies and OPM in measuring key outcomes of strategic HC management. Agencies must submit with the HCMR the required data for each SSM. To the extent that agencies have not discussed SSM results in the body of the HCMR, agencies should include with their SSMs a summary of the results. This summary should interpret what the SSMs are telling the agency about their strategic HC management.

OPM will provide additional guidance, tools and training to support agency analysis and use of their SSMs.

#### **Submit completed reports to:**

U.S. Office of Personnel Management  
Deputy Associate Director  
Center for Merit System Accountability  
Human Capital Leadership and Merit System Accountability  
1900 E Street, NW, Room 6484  
Washington, D.C. 20415-1000

Reports may also be e-mailed to [timothy.heath@opm.gov](mailto:timothy.heath@opm.gov).

If you have any questions, please contact Tim Heath at (404) 331-3451, ext. 227, or send an e-mail to [timothy.heath@opm.gov](mailto:timothy.heath@opm.gov)

## Appendix B – Human Capital Solutions Implementation Plan

# UPDATED For FY 2010 Human Capital Management Report Chemical Safety and Hazard Investigation Board

### Strategic Alignment

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

### Human Capital Goals:

- **Human capital strategy is aligned with CSB mission, goals, and organizational objectives and integrated into our strategic plans, performance plans, and budgets.**
- **We will regularly update the Human Capital Plan to support our mission and strategic goals.**

Workforce Challenge	Solution Activities	Solution Measures	Measurement Approach	Timeframe	Actions/Results
	Facilitate strategic human capital planning in support of on-going strategic and business planning.	Human capital planning is supported and led by CSB Senior Management.  Strategic Planning activities and Agency budget include human capital activities and investments.	Agency Annual Performance Plan  Review of Agency planning and budget documents demonstrates inclusion of this information.	Ongoing	HCP was not formally approved during FY 10/Q2 by the Board because of the appointment of a new Chairman. The HCP is now scheduled to be approved by FY 11/Q2. In the meantime the agency informally utilizes the pending HCP for its Annual Performance Plan, strategic/action plan and budget requests.
	Maintain and implement an agency-wide integrated workforce planning process.	Agency's Workforce Plan meets both regulatory requirements and the business needs of the Agency.  All organizational units provide input to the human capital strategic planning process.	Human Capital Solutions Implementation Plan adequately reflects appropriate activities and Agency is able to move forward with identified initiatives	Ongoing	WFP completed as part of HCP. All Agency managers participated in its development and all are working toward solutions as cited in the Plan. Activities are monitored and tracked in this document (the SIP).

Workforce Challenge	Solution Activities	Solution Measures	Measurement Approach	Timeframe	Actions/Results
	Update/Revise HCP on an annual basis to support our business goals and strategies.	HCP is formally updated every 5 years. Intermittent reviews will take place on an annual basis.	HCP is reviewed on annual basis as part of Human Capital Accountability Program.	Annually	HCP was developed during FY 10 and will be approved by Board by FY 11/Q2.
	Progress is reported through this Human Capital Solutions Implementation Plan (SIP) to identify necessary human capital activities.	Human Capital Solutions Implementation Plan is updated by appropriate parties and used to report progress annually.	Review and analysis of the Human Capital Solution Implementation Plan progress.	Annually	The SIP was developed as part of HCP.

## HUMAN CAPITAL SOLUTIONS IMPLEMENTATION PLAN

### Leadership and Knowledge Management

**System Standard:** Agency leaders and managers effectively manage people, ensure continuity of leadership, sustain a learning environment that drives continuous improvement in performance, and provide a means to share critical knowledge across the organization. Knowledge management must be supported by an appropriate investment in training and technology.

#### Human Capital Goals:

- **We will develop integrated succession management and leadership development programs that build needed leadership competencies.**
- **We will ensure effective management of our employees by instituting a leadership focus for all managers at CSB.**
- **We will increase the level of communication throughout the CSB.**
- **We will systematically provide resources, programs, and tools for knowledge sharing across the organization in support of mission accomplishment.**

Workforce Challenge	Solution Activities	Solution Measures	Measurement Approach	Timeframe	Actions/Results
Leadership Development Leadership Succession	Develop an integrated strategic training and development program to acquire and maintain needed CSB leadership competencies.	Program objectives are met by Agency.  Leadership Development Program is designed and implemented.  Determine extent to which management/ leadership competency gaps are being closed.	Implemented strategy in place to close leadership competency gaps.  Performance Plans and Individual Development Plans document status of development efforts.  Assessment of competency gaps.	Complete assessment FY 12/Q4  Established Leadership Development Program in place FY 14/ Q4	The leadership team discussed these issues during the action plan meetings and determined we did not have the resources at this time to complete these tasks. The leadership team will discuss again during the strategic planning session in the spring of 2011.
Leadership Development Leadership Succession	Develop and implement a Succession Management Plan	Succession Management Plan is developed and utilized.	CSB is able to fill vacant management positions from a readily defined pool.  New management officials possess leadership competencies.	FY 12/Q4  Ongoing	Succession planning was discussed with the leadership team and the development of a formal succession plan was put on hold for other priorities. Succession planning without a formal plan and process in place is considered as part of every Agency staffing discussion.  All new and high potential management officials are sent to classes at OPM, Brookings Institute and Center for Creative Leadership.
Leadership Development	Include Leadership-focused elements in all managers' performance appraisals.	Performance appraisal elements and ratings reflect leadership-focus.	Leadership-focus is rated and improvement is shown.	FY 10/Q1	This is complete. The performance appraisals for the investigation supervisors and leadership team include leadership performance elements. The agency refined the leadership elements during FY11 to implement the hiring reform initiative language.



Workforce Challenge	Solution Activities	Solution Measures	Measurement Approach	Timeframe	Actions/Results
Leadership Development	Develop the “Leadership” competency requirement for CSB managers through appropriate training.	Assess managers’ skill levels using the Federal Competency Assessment Tool – Management (FCAT-M) or another agreed upon method.	Management skill level assessed and developed.	Assessment in FY 11/Q4	FCAT-M was not available during FY 10. When it is available from OPM Managers will take the FCAT-M. Gap assessment will begin in after the FCAT-M is complete.
		Leadership-related questions measured in the Federal Employee Viewpoint Survey (FEVS)/Annual Employee Survey (AES) report improvement.	FEVS/AES results (Q53, Q55, Q56, Q57, Q61.)	Annually Q1	Results for the 2010 FEVS/AES: Q53 – 21.7% positive Q55 – 25.6% positive Q56 – 17.8% positive Q 57 – 30.7% positive Q61- 45.0% positive  The % of neither agree or disagree was high this year because of the number of employees that were employed by the agency less than a year. The new Board Chair and Managing Director are focused on improving all employee survey results.
Communication	Initiate standardized and consistent avenues of communication throughout the Agency.	Managers and employees are informed as measured in the FEVS/AES.  Communication is effective as measured in the FEVS/AES.  All Hands meetings with Board are regularly scheduled.  Regularly scheduled “Operations” meetings, to include the Investigation Supervisors, Recommendations Manager and Director of Congressional, Public, and Board Affairs.	FEVS/AES results (Q56, Q58, Q59, Q64.)	ongoing	Results for the 2010 FEVS/AES: Q58 – 12.9% positive Q59 – 27.2% positive Q64 – 34.9% positive  The Managing Director (MD) will hold all hands meetings every quarter to help improve communication. The action plan will be discussed and reviewed at these meetings.  The operations meetings began in November 2009.  The FY 11 manager’s performance standards require weekly team meetings.  Invite all employees to attend the weekly leadership meetings to receive updates on agency activities.  MD will send monthly agency activity reports to the entire agency.

<b>Workforce Challenge</b>	<b>Solution Activities</b>	<b>Solution Measures</b>	<b>Measurement Approach</b>	<b>Timeframe</b>	<b>Actions/Results</b>
Knowledge Management	Capture knowledge and lessons learned (from failures and successes) in an effective, systematic way.	Critical work processes are captured and documented.	Work units have documented work instructions/standard operating procedures.	FY 10/Q1 and ongoing	Documentation continues in the investigations/ recommendations departments.
Knowledge Management	Explore strategies for enhancing organizational knowledge sharing and knowledge transfer.	A consistent knowledge management approach is developed and applied across the Agency.	A standard agency-wide approach to knowledge management and information sharing is developed and implemented.	FY 13/Q2	Discussions have occurred about this challenge with the leadership team and the knowledge manager. The knowledge manager is developing plans and conducting research on these issues.

## HUMAN CAPITAL SOLUTIONS IMPLEMENTATION PLAN

### 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

- **CSB has a diverse, results-oriented, high performing workforce.**
- **The Performance Management System will effectively differentiate between high and low performance and link performance to organizational goals and desired results.**

Workforce Challenge	Solution Activities	Solution Measures	Measurement Approach	Timeframe	Actions/Results
Leadership Development  CII Recruitment and Retention	Promote an environment that is fair and unbiased and values opportunity, inclusiveness, and mission accomplishment.	Barriers that deter CSB employees from realizing their full potential are identified and when possible, eliminated  Employee input is valued and considered.	FEVS/AES results (Q20, Q44, Q55, Q63, Q64, Q67, Q68, Q69, Q70, Q71)	FY 10/Q1 and ongoing	Results for the 2010 FEVS/AES: Q20 – 48.3% positive Q44 – 59% positive Q55 – 25.6% positive Q63 – 50% positive Q64- 34.9% positive Q67 – 56.1% positive Q68 – 58.5% positive Q69 – 69.4% positive Q70 – 69.5 % positive Q71 – 55.1% positive
Leadership Development  CII Recruitment and Retention	Managers and Supervisors will strive for continual cooperation throughout the workforce.	Employees are empowered within their role and function toward overall CSB mission accomplishment.  Cooperation amongst employees is fostered at all levels of the organization.	FEVS/AES results (Q20, Q36, Q42, Q48)	FY 10/Q1 and ongoing	Results for the 2010 FEVS/AES: Q20 – 48.3% positive Q36 – 42.1% positive Q42– 87.5% positive Q48 – 67.0% positive
Overall Performance Culture	Promote a culturally diverse workforce that maximizes effective utilization of human capital.	Workforce demographic studies report progress toward diversity.	Workforce demographics (FEORP Report, etc.)	FY 12/Q1	To increase diversity at the agency vacancy announcements are sent or posted with Historically Black Colleges, Society of Black Engineers, Latpro and others
		FEVS/AES reports satisfaction with Agency efforts to support diversity.	FEVS/AES results (Q34, Q45, Q55)	Annually Q1	Results for the 2010 FEVS/AES: Q34 - 48.1% positive Q45 – 71.5% positive Q55 – 25.6% positive
Performance Appraisals and Awards  CII Recruitment and Retention	Continually improve implementation of the General Schedule performance management system to ensure all appraisals are aligned with the Agency's	Appraisal system is reviewed and all appraisals are linked to strategic objectives and annual performance goals.	Use the PAAT assessment tool to identify any continued weaknesses in the appraisal system.  Current employee	FY 12/Q4	The managers performance standards for FY 11 were revised to link to the agencies action and strategic plan. The agency will utilize the PAAT as an assessment tool to identify any continued weakness in the appraisal system.

Workforce Challenge	Solution Activities	Solution Measures	Measurement Approach	Timeframe	Actions/Results
	strategic objectives.		performance ratings data.  % of employees achieving each rating level used in relation to organizational and individual performance.		100 % of managers reached the outstanding organizational performance goal.  85% of employees received outstanding as their overall individual performance rating during FY 10.  15% of employees received fully successful as their overall individual performance rating during FY 10.
		Agency management adequately deals with poor performance.	FEVS/AES results (Q23).	FY 11/Q1	Results for the 2010 FEVS/AES: Q23 – 52.5% positive
Performance Appraisals and Awards  CII Recruitment and Retention	Implement performance management system training throughout the Agency to ensure all appraisals are aligned with organizational goals, include credible measures, and demonstrate consistency in program execution.	Training program is planned and implemented, once OPM's PAAT has been applied.	Training program is implemented and performance appraisals reflect alignment with strategic objectives and annual performance goals.	FY 13/Q4	The managers performance standards for FY 11 were revised to link to the agencies action and strategic plan. The agency will determine if we need to develop a class or if there is an off the shelf class the agency can use to train the managers. The agency's plan is to request budget monies in the FY12 budget to fund this program.
Performance Appraisals and Awards  CII Recruitment and Retention	Review awards program to ensure rewards and recognition are provided for, and that it is adequately linked to performance that contributes to the achievement of Agency strategic goals.	Performance-based rewards and recognition are clearly linked to individual and organizational performance.  Awards to recognize staff contributions and employee performance are issued, funding permitted.	Review of performance appraisals and performance awards.  FEVS/AES results (Q24, Q25, Q32, Q33, Q65, Q70).	FY 11/Q4  Annually Q1	Performance awards are linked to the employees FY 10 performance reviews. The managers FY 11 performance standards were revised to link to the agencies action and strategic plan and will affect performance awards. More position performance standards will be reviewed during FY 11/12.  Results for the 2010 FEVS/AES: Q24 – 48.5% positive Q25 – 51% positive Q32 – 54.1% positive Q33 – 65.2% positive Q65 – 53.1% positive Q70 – 69.5% positive
Performance Appraisals and Awards	Integrate performance review with budget decisions to ensure that budget projections are tied to performance results and performance is more readily measurable.	Budget documents reflect performance results.  Annual funding is provided for monetary awards as appropriate and available.	Review of budget documents.	Annually	The FY 11 budget includes money for performance awards and the FY 12 budget will include a proposal of monies for performance awards. The FY 11 continuing resolution budget does not contain monies for performance awards.

## HUMAN CAPITAL SOLUTIONS IMPLEMENTATION PLAN

### 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

- **We will recruit, hire, and retain employees with the necessary skills for mission accomplishment.**
- **We will explore work/life flexibilities and programs to improve employee satisfaction/morale and to make the agency a more attractive place to work.**

Workforce Challenge	Solution Activities	Solution Measures	Measurement Approach	Timeframe	Actions/Results
Development of Expert Skills Sets  Employee Training  Chemical Incident Investigator Recruitment and Retention	Develop and implement a comprehensive training policy, ensuring that needed competencies are cultivated.	Policy is developed, implemented, and communicated.	Employee development program is competency-based and implemented Agency-wide.	FY 13/Q4	The Investigation Managers have identified competencies for investigators. The agency has identified classes with NTSB and other professional associations that our investigators regularly attend.  The investigation managers have developed a reading list for all investigators.  The recommendations manager has identified important competencies for the recommendation specialist and has identified classes that they attend.
Development of Expert Skills Sets  Employee Training  Chemical Incident Investigator Recruitment and Retention	Issue a Board Order authorizing educational reimbursement for tuition type costs in support of advancing employee degrees.	Order is issued and communicated.	Order issuance.	FY 10/Q4	The Board Order was developed during FY10. The Board order awaits approval by the Board Members and the inclusion of monies in the budget to fund this program.

<b>Workforce Challenge</b>	<b>Solution Activities</b>	<b>Solution Measures</b>	<b>Measurement Approach</b>	<b>Timeframe</b>	<b>Actions/Results</b>
Development of Expert Skills Sets  Employee Training	Consider training staff members in recurring skills sets to create staff authorities in various frequently occurring specialized knowledge areas.	Evaluation of value-added benefits to program. Decision is made and communicated. If decision is to move forward, next steps will be drawn up.	Decision made and communicated.	FY 12/Q3	<p>The investigation managers have identified competencies for investigators. The agency has identified classes with NTSB and other professional associations that our investigators regularly attend.</p> <p>The investigation managers have developed a reading list for all investigators.</p> <p>The recommendations manger has identified important competencies for the recommendation specialist and has identified classes that they will attend.</p> <p>A formal decision to train for all recurring skills sets has not yet been made.</p>
Employee Training	Develop in-house training using online delivery as much as possible.	Plan and implement a CSB-specific training program to build core competencies in-house.	Training program in place using modern learning technology whenever possible.	FY 13/Q4	The agency has purchased the licenses for ADOBE software that will enable on-line training. The agency plans to beta test on-line training programs this FY 11. Full roll-out of the program will require resources which the agency will request during FY2012.
Necessity for Safety Studies as Part of Agency Mission  Staff Capacity	Incorporate staff resource needs into budget and planning documents.	Budget documents include information related to staff resource needs.	Budget documents.	Annually	Request for additional FTE funding will be included in FY12 budget request.
CII Recruitment and Retention  Employee Training	Consider developing a formalized “onboarding” process to integrate new employees into the CSB workforce culture.	Decision is made as to whether a formalized “onboarding” process is useful. If decision is to move forward, next steps will be drawn up.	Decision made, documented and communicated.	FY 10/Q3	NBC delivers the formal on boarding process for the CSB. More CSB centered on boarding process development will take place during FY12.
CII Recruitment and Retention	Continue the formal exit interview process to monitor retention efforts.	Exit interview format is in place and made available to exiting employees.	Exit interview records.	FY 10/Q1 and ongoing	Complete – all departing employees have exit interviews with the HR Director. The agency will continue to monitor the information gained from these interviews and use it to help guide our retention strategies.

Workforce Challenge	Solution Activities	Solution Measures	Measurement Approach	Timeframe	Actions/Results
CII Recruitment and Retention  Overall Performance Culture	Review and reconcile areas within the Agency that may contribute to discontent in the workforce, and therefore possible resignations.	Review is completed and areas of discontent are reconciled as appropriate.	Exit interview findings.  FEVS/AES results.	Beginning in FY 10/Q2 and ongoing	Communication is the area that the agency is concentrating on during FY11. As a starting point, the agency has implemented regular team meetings to improve communications. Also operational meeting are held to coordination between departments.  In addition, the agency is committed to holding at least four All-Hands meetings during the calendar year.
Overall Mission Success  CII Recruitment and Retention  Staff Capacity	Streamline and simplify the recruitment and hiring process using the strategies and metrics in OPM's End-to-End (E2E) Hiring Initiative.	Applicants are selected within 15 days after selecting official receives selection certificate.	Hiring Records.	FY 13/Q4	The agency is working with our HR contractor (National Business Center) on steps to meet this goal.
		CSB meets OPM E2E Initiative metrics.	Hiring records.	FY 13/Q4	The agency is working with our HR contractor (National Business Center) on how to meet this goal.
		Use of hiring flexibilities where appropriate (e.g., STEP, Pathways (replaces Federal Career Intern Program), summer employment)	Hiring records.	As needed	The agency is using hiring flexibilities such as Pathways (formerly Federal Career Intern Program), reappointments, hire retired federal employees, summer employment and internships to recruit, hire, and retain high quality employees. In FY10, we hired four employees into the FCIP, reappointment of a retiree and one summer hire.
CII Recruitment and Retention  Staff Capacity	Initiate a review of occupational series for Chemical Incident Investigator positions to ensure we attract and hire candidates with appropriate mission-critical skills sets.	Senior management directs the scope of this assessment and meets regularly with HR Director to develop recommendations related to findings.	Classification program records and hiring records.	FY 12/Q4	No progress
Overall Talent Management  CII Recruitment and Retention	Assess work schedule policy and the telework program to advance efficiency of operations.	Assessments are complete and decisions are made and communicated.	Decisions communicated.  FEVS/AES results (Q72, Q73)	FY 11/Q3	The agency assesses our telework program on a bi-annual basis. Based on this year's assessment we added flexibilities; the ability to telework up to 3 days a pay period, telework to alleviate office space issues (up to 5 days a pay period) and allow for unlimited telework during family leave.  Results for the 2010 FEVS/AES: Q72 – 85.3% positive Q73 - 59.6% positive

Workforce Challenge	Solution Activities	Solution Measures	Measurement Approach	Timeframe	Actions/Results
Overall Talent Management  CII Recruitment and Retention	Continue and expand use of Student Loan Repayment Program where possible.	Documentation of use.	Documentation.	FY 10/Q1 and ongoing	The agency has identified five high performing employees and has made payments under our student loan program toward their loans over the past two years. The positions that received payment under the student loan program were: Chemical Incident Investigator GS-13, Chemical Incident Investigator GS-12, Government & Public Affairs Specialist GS-13, Board Affairs Specialist GS-12, and Attorney Advisor GS-14.
Overall Talent Management  CII Recruitment and Retention	Continue and expand use of Pathways Program (replacement for Fed Intern program) where possible.	Documentation of use.	Hiring Records.	FY 10/Q1 and ongoing	The agency continues to use the Federal Intern Program to recruit and hire high potential employees into the agency. Currently the agency has nine Federal Interns. (Chemical Incident Investigator GS-9, Chemical Incident Investigator GS-9, Chemical Incident Investigator GS-9, Chemical Incident Investigator GS-9, Chemical Incident Investigator GS-7, Chemical Incident Investigator GS-7, Procurement Specialist GS-7 and Recommendation Specialist GS-9. The full performance level for the Federal Interns is GS-12) During FY10 two Federal Interns completed their program and remain employees of the agency. (Chemical Incident Investigator GS-11 and Chemical Incident Investigator GS-11.)



## HUMAN CAPITAL SOLUTIONS IMPLEMENTATION PLAN

### 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

- **CSB leadership demonstrates its commitment to human capital accountability through actions and allocation of resources.**
- **We will document our human capital management processes, measures, and results; evaluate our accomplishments; and report findings to CSB decision-makers and stakeholders.**

Workforce Challenge	Solution Activities	Solution Measures	Measurement Approach	Timeframe	Actions/Results
	Update HCP and Workforce Plan on regular basis and in response to changing human capital environment.	Revise plans to determine if CSB's human capital and human resources efforts are in line with mission and strategic goals.	Review of Human Capital Accountability Report	Complete by end of FY/ Q2 on an annual basis  Revision of HCP and Workforce Plan every 5 years.	HCP Implemented. Plan will be reviewed and updated as necessary in October 2011. CSB's 2011 HCMR will include any updates or changes to our HCP and the status of all human capital solution activities.
	Improve CSB's human capital accountability system by implementing and maintaining a Human Capital Accountability System	Measure and assess all human capital management systems for mission alignment, effectiveness, efficiency, and compliance with merit system principles, laws, and regulations.	Accountability review results analyzed.  CSB's Human Capital Accountability Report submitted to OPM	End of CY every year, for preceding FY	This SIP reports progress on and status of all Agency human capital initiatives as decided upon in our HCP for 2010.
	Analyze results of the FEVS/AES.	Administer FEVS/AES annually.	FEVS/AES results.	Annually	The survey is completed annually; the most recent survey was complete in March 2010.

Workforce Challenge	Solution Activities	Solution Measures	Measurement Approach	Timeframe	Actions/Results
	Prepare Human Capital Management Report (HCMR) for OPM for each FY as required by regulation.	HCMR for FY is completed and submitted to OPM by December 15, 2010.	HCMR.	Annually	A narrative report (Part I) along with this document (Part II) and OPM's SSM Charts are submitted as CSB's FY 2010 HCMR.