



HR Policy and Regulatory Affairs Division

HRPRA Program Personnel Justification Report (FY 2022)

Cultivating a world-class workforce that promotes CBP's mission through effective policy development and regulatory and statutory compliance and oversight



U.S. Customs and
Border Protection

Preface

This report, *HRPRA Program Personnel Justification Report (FY 2022)*, is written for senior leadership in the Office of Human Resources Management. The reason for this report is to highlight program assessment findings – grounded in both qualitative and quantitative data and program resource evidence – to ensure HR Policy and Regulatory Affairs Division’s (HRPRA) personnel capacity and capability meet CBP’s current and future workforce demands and challenges through human resource policies, guidance, directives, and other communications. The valuable information obtained serves as the foundation to address internal functional and operational challenges by identifying viable solutions and recommendations.

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IN BRIEF

The men and women who serve in both frontline and non-frontline positions, along America's borders and interiors, as well as overseas, represent a long legacy of patriots going back to 1789¹. These patriots – the uniformed ranks, forensic scientists, international trade specialists, public affairs officers and cadres of other specialists and employees – work together to protect the American people...safeguard America's borders...and enhance the nation's economic prosperity. To ensure that the men and women within our ranks continue to serve and protect America with consummate integrity, dedication, and professionalism, we – the HRPRA team – will guide and support CBP's leadership, managers, supervisors, and employees by promulgating and promoting human resources policies and programs that support our mission, operations, and employees.

This critical role that we play drives organizational excellence through reinforcing “integrity and professionalism throughout CBP by ensuring consistent HR policy implementation and compliance, and by guiding optimal agency practices and responses” (Office of Human Resources Management).

To ensure our success in this critical role, we must achieve the following desired strategic outcomes:

- 1) *Enable Agency leaders to make informed decisions concerning workplace HR-related requests and challenges* through analyzing the effectiveness of existing HR policies, and modify and develop new HR policies, directives, handbooks, delegations of authorities, and related legislative or regulatory changes.
- 2) *Strengthen policy implementation guidance across the agency* through reliable consultations, informational products, resource toolkits, communications, and training opportunities.
- 3) *Enhance HRM's ability to provide focused policy advisory and regulatory services for each of our CBP partners* by providing clear, high-quality evaluations of effectiveness and governing compliance mandated by the Office of Personnel Management (OPM), Department of Homeland Security (DHS), and Customs and Border Protection (CBP) rules, laws, regulations, and other authoritative sources.
- 4) *Strengthen CBP's performance management culture across all frontline and non-frontline personnel* that encompasses a systematic approach to employee and organizational performance improvement through an ongoing process of establishing strategic performance objectives; measuring performance; making meaningful distinctions in

¹ Learn more about CBP's history at <https://www.cbp.gov/about/history>

performance; collecting, analyzing, reviewing, and reporting performance data; and using that data to drive performance and improvement.

Despite our critical role, we are facing significant challenges that are of concern to our operational effectiveness.

- We are currently operating at about 70% personnel capacity with 19 full-time federal employees: 1 director, 2 branch chiefs, and 16 staff members. To ensure operational readiness and the capability to address continuous internal and external HR policy queries, and the rapid transformation through the workforce, we need full personnel capacity with key cross-functional knowledge in HR, as well as with the right mix of technical and soft skills– e.g., people with strong communication and consultative skills; ability to understand operations; ability to think strategically; and skills in problem solving and analysis by identifying operational/institutional linkages and issues and develop solutions to address them.
- Since FY 2018, we have experienced significant increase in workload, which is being supported by a smaller staff. In fact, across all three branches, activities have increased on average by 53%.
- Despite our current level of operations, more than half of our service activities are impaired, partly as mentioned by the lack of staff, but also by the required queries and responses to various taskers (often with short turnaround times) and staff actions – i.e., we are assigned more than 70% of all HRPPD taskers. Moreover, critical time required to provide effective HR consultation, policy development, and performance management and awards program oversight was adversely impacted by these demands.
- With the everchanging demands and complexity of work in managing both the performance management and awards programs, we do not have enough full-time employees to manage both portfolios.
- Our need to further evolve from transactional focus to a strategic partnership relationship by helping CBP stakeholders support operational requirements to achieve mission success.

For us to enable the agency's leaders to make informed decisions concerning workplace HR-related requests and challenges, strengthen policy implementation guidance across the agency, enhance HRM's ability to provide focused policy advisory services for each of our CBP partners, and strengthen CBP's performance management system and awards program, we must achieve the following:

- a) We must be fully staffed with individuals with key cross-functional knowledge in HR, as well as the right mix of technical and soft competencies – e.g., people with strong

communication and consultative skills; ability to understand operations; ability to think strategically; and skills in problem solving and analysis by identifying operational and institutional linkages and issues and develop solutions to address them.

- b) We must increase personnel capacity to effectively support CBP's performance management system and awards program to handle changing strategic and operational demands, everchanging complexity of level of work, and the annual reporting requirements that come each fiscal cycle.
- c) We need to afford more time to our HR analysts to focus more on policy management requirements by properly reviewing, assessing, and updating existing human resource policies.
- d) Work to align CBP human resources policies with the Hiring Center's standard of operating procedures for various mission requirements, such as frontline hiring.
- e) Provide policy guidance and oversight for compensation programs to include reforms and technical amendments.
- f) Reorientate from an operational focus on transactions to a strategic focus on mission requirements and organizational outcomes.
- g) Hire talent with not only HR experience, but also core skills in planning, project management, and data analysis.

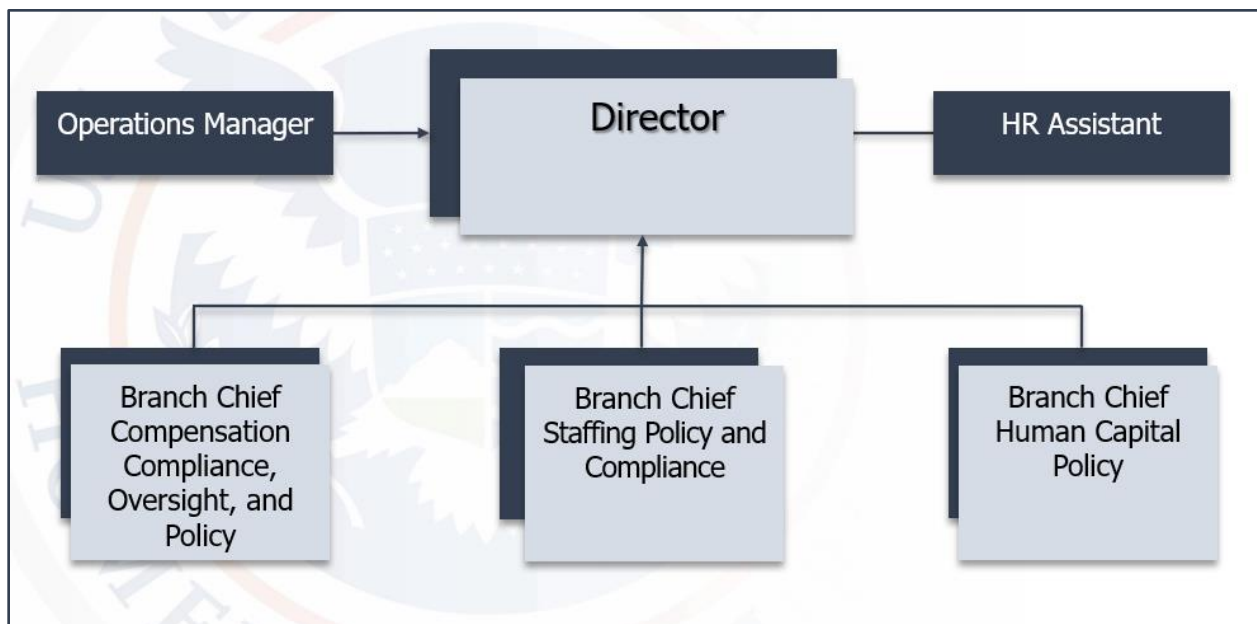
SECTION I: PROGRAM INFORMATION

We lead and facilitate the development, implementation, and oversight of CBP-wide human resources policies and procedures necessary to support the effectiveness, operational consistency, and statutory/regulatory compliance of HRM programs and functions. Moreover, we provide policy oversight, recommendations, and consultation regarding a broad range of HR-related policies and programs including performance management, awards, compliance, labor relations support, retirement, compensation, staffing and recruitment.

Additionally, we serve as advisors and strategic partners to leadership and program offices in designing solutions to address their organizational needs and support mission accomplishment and employees.

And we address statutory, regulatory, and case law decisions and trends that dictate changes in policy or program direction and participates in various CBP-wide high-level initiatives that include internal and external stakeholder collaboration.

HRPRA ORGANIZATIONAL STRUCTURE



HUMAN CAPITAL POLICY BRANCH

The Human Capital Policy Branch is responsible for development, implementation, and oversight of CBP-wide human resources policies across a broad range of areas, including, but not limited to performance management, awards, employee relations, and leave.

STAFFING POLICY AND COMPLIANCE BRANCH

The Staffing Policy and Compliance Branch is responsible for the development, revision, and oversight of CBP-wide staffing and hiring policies. They also perform and coordinate compliance functions including CBP Delegated Examining and Merit Promotion oversight audits.

COMPENSATION COMPLIANCE, OVERSIGHT, AND POLICY BRANCH

The Compensation Compliance, Oversight and Policy Branch is responsible for the development, revision, and oversight of compensation-related policies and ensuring compensation, position classification and position management, and special retirement coverage practices comply with applicable policies, laws, and regulations.

SECTION II: WHERE WE ARE NOW

HRPRA'S CRITICAL ROLE

Despite operating at 70% personnel capacity with 19 full-time federal employees: 1 director, 2 branch chiefs, and 16 staff members, we play a critical role in guiding CBP executives, supervisors, team leaders, and HR and employee relations staff through the full range of HR policy-related functional areas, such as performance management and awards, compensation, staffing, and leave.

Further, we are the lead business office that ensures that CBP leaders and HR support staff arrive at the best possible resolution to address various workplace requests and challenges, while at the same time helping to create a mission-centric environment that allows CBP employees reach their peak potential.

This critical role that we play drives organizational excellence through reinforcing “integrity and professionalism throughout CBP by ensuring consistent HR policy implementation and compliance, and by guiding optimal agency practices and responses” (Office of Human Resources Management).

Our critical role is supported by four operational drivers: 1) HR Policy Analytics, 2) HR Policy Delivery and Transparency, 3) Special Regulatory Reviews and Evaluations, and 4) Performance Management and Awards.

1. HR Policy Analytics

Our priority is to analyze the effectiveness of existing HR policies, and potential of modified and new HR policies, directives, handbooks, and delegation of authorities, which will give CBP leadership across the enterprise the ability to make better informed decisions concerning workplace requests and challenges. This is done by developing effective human capital management policies and other communication products to support CBP leadership in managing a productive and diverse workforce focused on results, while ensuring performance activities are aligned with CBP's mission, goals, and objectives.

Additionally, to provide effective policy analytics, we regularly review and determine whether policies and other communication products create unnecessary barriers to addressing workforce management performance and well-being.

Lastly, we strive to mature our HR policymaking, management business processes, and advisory responsibilities to maximize the effectiveness of existing and new HR policies.

2. HR Policy Delivery and Transparency

We continuously provide HR consultations and advisory services, informational communication products, resource toolkits and fact sheets, and virtual training to strengthen policy implementation guidance across CBP. However, to meet the everchanging policy needs of CBP's workforce, we also strive to:

- Streamline HR policy development and evaluation processes.
- Ensure executives, supervisors, team leaders, and mission support HR and employee relations staff are appropriately trained in providing effective HR information and guidance.
- Provide clear guidance on HR policies, directives, handbooks, and delegation of authorities.
- Improve their development and execution of plans.
- Strengthen communication and training for CBP leaders and HR practitioners.

3. Special Regulatory Reviews and Evaluations

While we work hard to analyze the effectiveness of existing, modified, and new HR policies, and continuously provide HR consultations and advisory services, along with communication products and training, we also provide clear, high-quality evaluations in compliance and regulatory mandates from OPM, DHS, and CBP rules, regulations, and other authoritative sources. We do this by establishing a CBP-wide HR policy development framework to support leaders and support offices with focused policy advisory services, as well providing clear guidance on HR policies, directives, handbooks, and delegation of authorities.

4. Performance Management and Awards

The current Pass/Fail performance management appraisal system does not comply with 5 CFR 430.206(b)(3) because there is no direct nexus between the written performance expectations, their actual assignments, and responsibilities. In fact, the current Pass/Fail appraisal system does not lend to employee development and growth, two-way communication, feedback, and clarifying expectations, which is essential to CBP's greatest assets: our employees.

Additionally, data analysis and audits conducted by DHS and OPM resulted in findings of non-compliance with regulations – e.g., ensuring performance plans are based on work assignments/responsibilities, describing distinctions in performance and recognition, etc.

To address the challenges with the current Pass/Fail performance management appraisal system and effectively support CBP's performance management system and awards program,

we need to increase personnel capacity to effectively support both portfolios. What is more, by increasing personnel capacity we will also be able to handle the ever-changing requirements associated with CBP's workforce's performance management ecosystem.

HRPRA'S CURRENT CHALLENGES

Despite our recognized role in providing analytics, communications, and evaluations for CBP leadership and HR support offices, we're facing significant challenges that are of concern to our operational effectiveness.

- A. **Operating on less than full capacity.** We are currently operating at about 70% personnel capacity with 19 full-time federal employees: 1 director, 2 branch chiefs, and 16 staff members. To ensure operational readiness and the capability to address continuous internal and external HR policy queries, and the rapid transformation through the workforce, we need to increase to full personnel capacity with key cross-functional knowledge in HR, as well as the right mix of technical and soft skills.
- B. **Increased workload activity.** We have experienced a significant increase of workload, especially with mitigation efforts related to COVID-19. And both operational and situational requirements have strained our capacity. In fact, across all three branches within HRPRA, activities have increased on average by 53%.
- C. **Partial delivery of critical operations and support.** Despite our current level of operations, more than half of our service activities are impaired, partly as mentioned by the lack of staff, but also by the required queries and responses to various taskers and staff actions. In fact, we are assigned approximately 70% of all HRPPD taskers².
- D. **Lack of dedicated support to CBP's performance management system.** With the everchanging demands and complexity of work in managing both the performance management and awards programs, we do not have enough full-time employees to manage both portfolios.
- E. **No better time than to evolve from transactional support to a HR strategic mindset.** We understand the need to evolve from a transactions and compliance focus to a strategic partnership relationship by helping CBP stakeholders support operational requirements to achieve mission success.

² Based on HRPPD Taskers located at [Business Operations Branch - HRPPD Taskers - All Items \(sharepoint.com\)](#)

A. Operating on less than full workforce capacity

Skilled and knowledgeable human resource specialists are a key determinant to our success as a leader in HR policy management. Through their skills and knowledge, they not only ensure the effectiveness, operational consistency, and statutory/regulatory compliance of HRM programs and functions, they also meet the daily administrative requirements that support CBP's workforce.

Moreover, having the right set of skills and knowledge, our employees can meet the rapid transformation caused by the perpetual changes in technology, congressional and regulatory mandates, and changing workforce demands throughout the agency.

Therefore, to ensure operational readiness and address rapid transformation through the workforce, we need to be at full personnel capacity with key cross-functional knowledge in HR, as well as the right mix of technical and soft skills – e.g., people with strong communication and consultative skills; ability to understand operations; ability to think strategically; and skills in problem solving and analysis by identifying operational/institutional linkages and issues and develop solutions to address them.

As mentioned earlier, we are currently operating at about 70% personnel capacity³ with 19 full-time federal employees: 1 director, 2 branch chiefs, and 16 staff members. There are also two contractors working part-time that accounts for one position (Table 1). The approved funded vacant positions within HRPRA are: Human Capital Policy Branch (2), Staffing Policy and Compliance Branch (4), and Compensation Compliance, Oversight and Policy Branch (1).

Director's Office / Branch	Current-on-Board				Approved Vacant Positions (IPN Funded)	Additional Resources Needed (Delta) <i>Wish list (Vacancies) "No IPN"</i>				Total
	Federal	Detail	Contractor	Total		Federal	Detail	Contractor	Delta #	
DO	3	0	0	3	0	+0	+0	+0	+0	3
HCP	6	0	0	6	2	+4	+0	+0	+4	12
SPC	5	0	0	5	4	+1	+0	+0	+1	10
CCOP	5	0	1*	6	3	+0	+0	+1	+1	10
TOTAL	19	0	1	20	9	+5	+0	+1	+6	35

Table 1 Current Workforce Mix and Future Talent Requirements

³ Workforce Capacity refers to HRPRA's ability to ensure sufficient staffing levels are enough to accomplish its work activities and processes, as well as successfully deliver HR Policy-related products to CBP senior leadership and other pertinent stakeholders, including the ability to meet varying demand levels. Further, to marshal resources - i.e., talent, skills, time, funding, etc. - toward successful completion of a desired outcome (*Note: Source: PPBA Lexicon... <https://cbpgov.sharepoint.com/sites/ES/cao/PDD/PPBA/Lists/PPBA/Lexicon/AllItems.aspx>).

B. Increased workload operations

There's no doubt that the challenges and additional operational requirements incurred by COVID-19 have strained our current capacity and capabilities within the team, which is operating at a 70% personnel rate. Despite our regular operational requirements, we have been tasked to support other various initiatives associated with COVID-19 mitigation efforts: CBP's Reintegration efforts, Future of Work Group, CBP's Operations Support Information and Incident Coordination Center, and Hiatus planning.

CBP's Reintegration

We have been supporting HRM in collaborating and organizing CBP's Reintegration Work Group. The group consists of membership across CBP. Our support is helping the group coordinate a consolidated reintegration consistent with the national guidelines for reopening the country in response to the COVID-19 pandemic. This includes incorporating national guidelines and recommendations from various federal agencies (OMB, OPM, GSA, etc.), satisfying collective bargaining obligations, and providing advanced notice to the workforce and updates to workplace safety.

In support of the Reintegration Work Group, we have contributed substantially to support the group's mandated requirements. For instance, we've provided communications and briefings for 50 to 80 participants across the enterprise. In preparation for these meetings, we would attend pre-meetings with HRM's Deputy Assistance Commissioner and his team to draft the agenda. Then, attend after action meetings to determine what deliverables were needed based upon the meeting as well as drafting meeting notes that went to the group.

We also supported the Reintegration Work Group by providing HR consultation and guidance. For instance, we would review and edit the Supervisor and Employee Reintegration packages when there were major shifts in regulations and compliance.

All in all, part of our team has devoted more than 75% of their time to support the Reintegration Work Group, while fulfilling their regular work activities to support policy and communication needs for CBP leadership, mission support staff, and employees.

Future of Work Group

In addition to supporting the Reintegration Work Group, we are also serving as a contributing and advisory member to the DHS Future of Work working group. In support of this group, we are attending meetings with the DHS Deputy Chief Human Capital Officer (OCHCO), benchmarking and analyzing reports and literature, developing plans and communication products, facilitating meetings, and brainstorming discussions, designing surveys, and providing executive briefings.

We also developed the "Future of Work Report" which included the recommendations for short- and long-term actions for frontline, mission support and enterprise-wide initiatives. The report included a detailed analysis of workplace flexibilities of telework, hybrid workforce and remote work. Additionally, the report provided current trends for the future of work, the current

environment, our approach and methodology for developing our recommendations, along with all the data supporting our recommendations and how to implement them.

CBP's Operations Support Information and Incident Coordination Center

We have also been supporting CBP's Web Emergency Operations Center (WebEOC)⁴ by manning the WebEOC during on- and off-duty hours to answer any HR related field questions from both frontline and non-frontline personnel. Other support includes attending all WebEOC stand-up meetings to ensure there's a HR staff member present.

Hiatus planning

Lastly, we're supporting the HRM in developing and coordinating the distribution of guidance to individual employees regarding their status during a potential FY 2022 funding hiatus, and for drafting employee notifications. Also, we are providing HR consultation in notifying labor unions representing CBP's bargaining unit employees that a funding hiatus has been implemented and sharing CBP's guidance with the labor unions as necessary.

Uptick in regular work activities

While we continue to support mitigation efforts for COVID-19, we are also experiencing an increase in regular workload activities. At the beginning of FY 2020, we started tracking our functional activities and services⁵.

At the end of the previous fiscal year, we successfully completed 128 workload activities. As of today, the total workload activities have surpassed the previous fiscal year's total workload activities by over 74% (Figure 1).

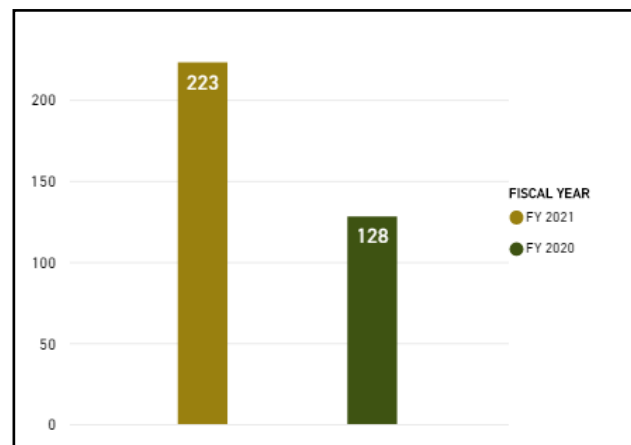


Figure 1 Total Activities by Fiscal Year 2020-2021

⁴ WebEOC) is a centralized reporting tool to help automate CBP processes and address the emerging threats our agency faces.

⁵ HRPRA's functional activities and services are: Advisory Assistance, Audits, Audit/Compliance Review, Awards Management, Communications, Data Call & Reporting, Evaluations & Assessments, Federal and Departmental Policies and Procedures Knowledge, Management Analysis, Planning & Prioritization, Policy Lifecycle, Process Management, Program Management, Qualification Modification, Staff Actions (e.g., HRM Taskers), Training & Education, Web-based Technologies

Furthermore, across all three branches within HRPRA, activities have increased on average by 78%: Human Capital Policy (46%), Compensation Compliance, Oversight and Policy (84%), and Staffing Policy and Compliance (105%) (Figure 2).

Additionally, our policy and guidance development activities have increased as well during this fiscal year. Total count of delegation of authorities, directives/policies, and handbooks/SOPs have increased by more than 195%, from 21 in FY 2020 to 62 in FY 2021 (Figure 3).

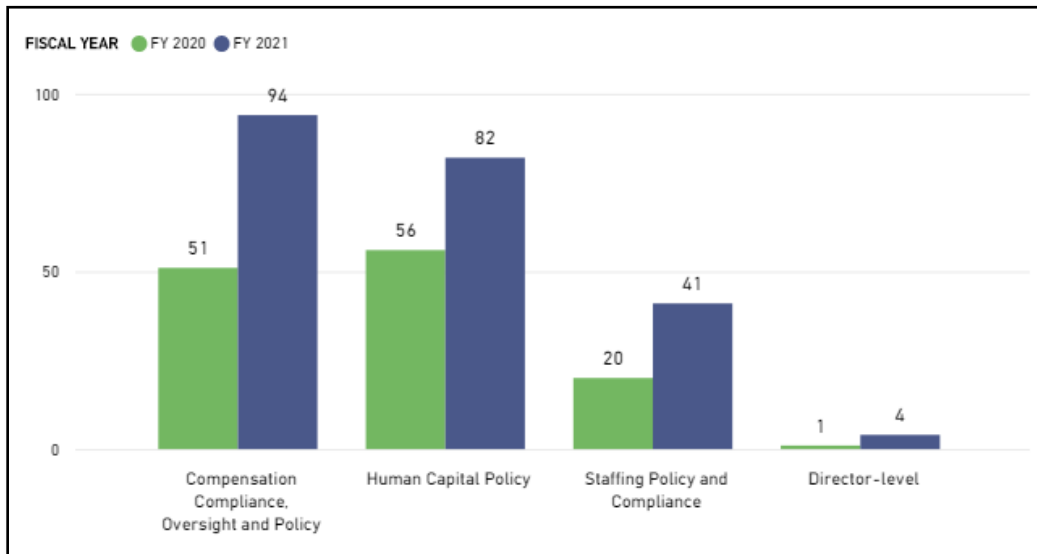


Figure 1 Branch Workload Activities by Fiscal Year

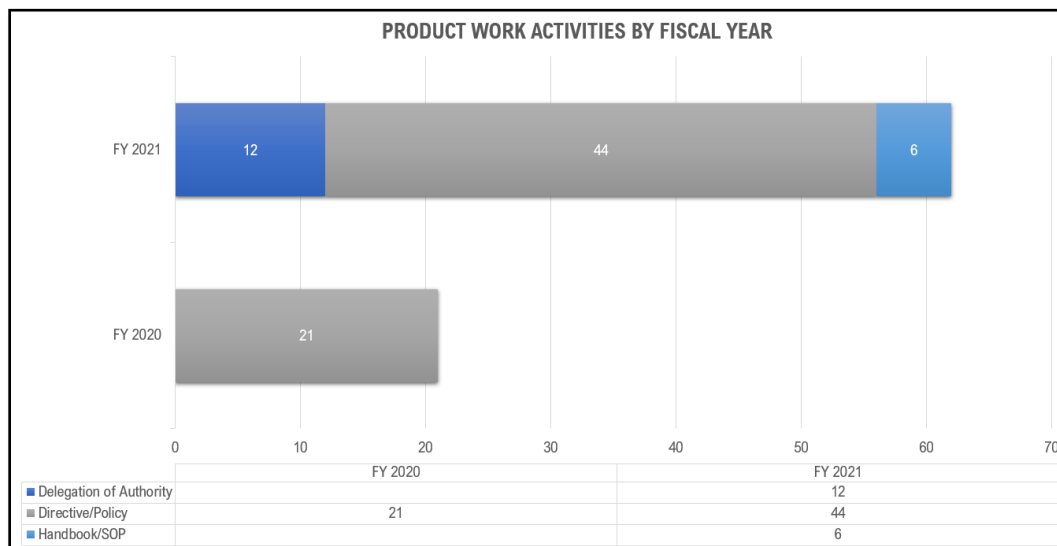


Figure 2 Product Activities: Fiscal Years 2021 & 2020

Finally, as of date, our webinars to the CBP workforce have surpassed the previous fiscal year by 24% (Figure 4). The webinars presented so far have covered topics such as “Supervisors: CBP’s Awards Program Overview Webinar”, “Paid Parental Leave for Supervisors”, “Goal writing and goal workshop”, “HRBE PM Overview Webinar,” and “How to Conduct a Mid-Cycle Review for Supervisors.”

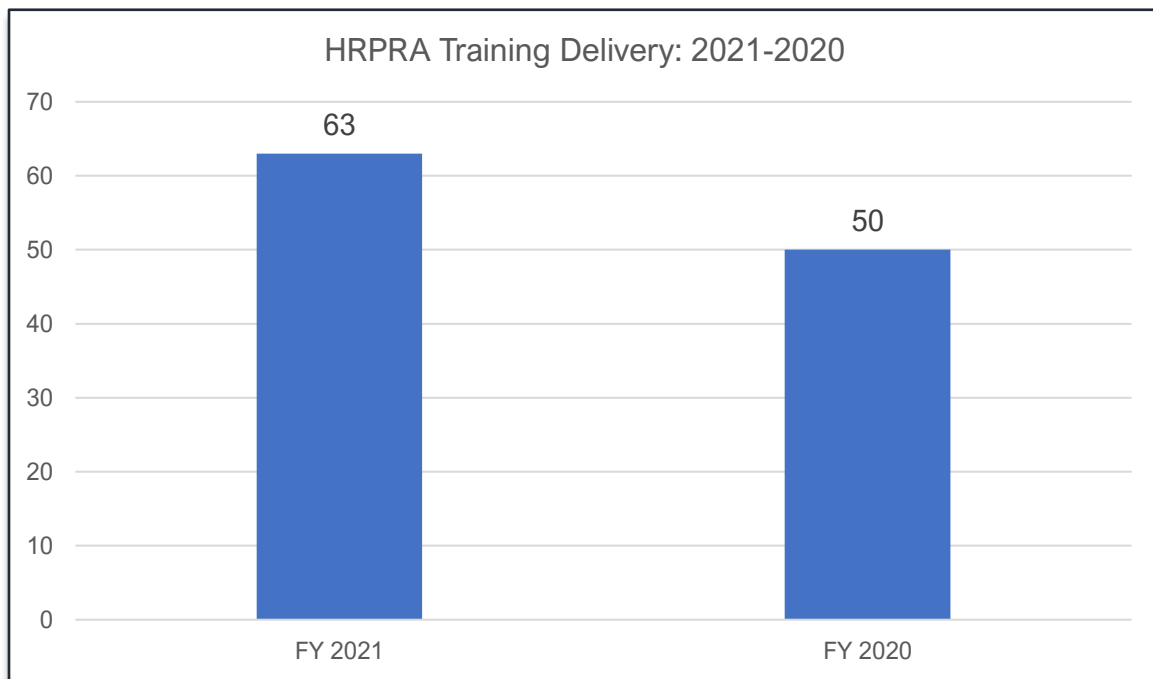


Figure 3 HRPRA Training Delivery Webinars

C. Partial delivery of critical operations and support

Within our core mission, we are delivering value-added services and support to enable CBP leaders and HR staff to make informed decisions concerning workplace HR-related requests and challenges. In fact, the top five deliverables for this current fiscal year are: directives, guidance, HR consultations, policy development, and compensation support (Figure 5).

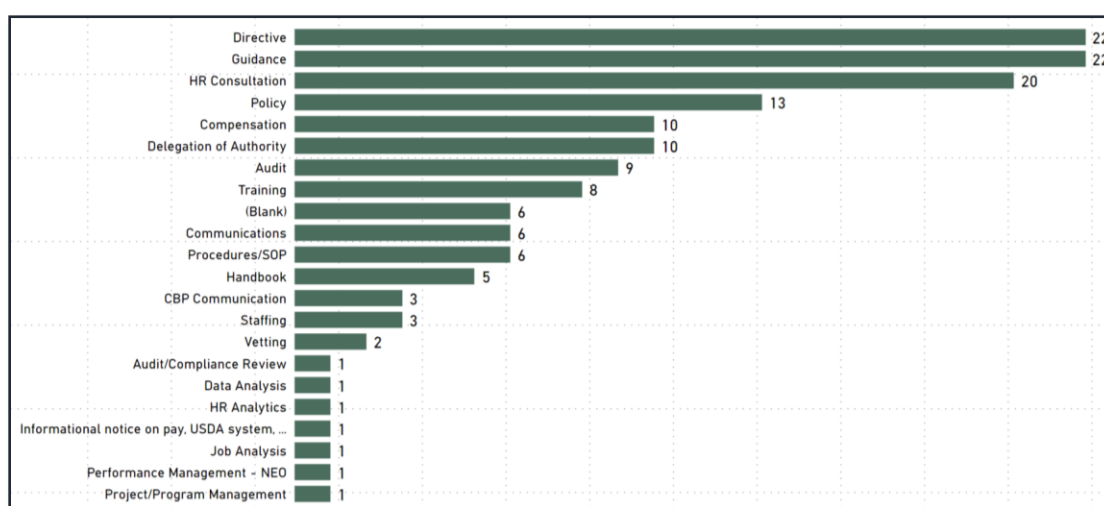


Figure 4 HRPRA Product Assets for FY 2021

Despite our current level of operations, more than half of our service activities are impaired by decreased capabilities and capacity. For example, the following operational activities require additional resources (i.e., staffing, technology) to improve effectiveness and operational support for HRPRA's stakeholders (Table 2).

Table 2 Activities That Need Attention

Function	Current Description
Communications	Disseminating emails, memos, correspondence, FAQs, and 'Quick Sheets' for dissemination to employees, supervisors, or program offices to notify CBP employees of changes in laws, regulations or policy, of training opportunities, or of other requirements – i.e., performance management or awards requirements.
Customer Surveys	Designing customer (partner) surveys to determine what they deem as the most valued services / resources that HRPRA provides.
Data Analytics (Policy Effectiveness)	Establishing metrics and performing data analysis to evaluate HR policies to ensure policy effectiveness.

Policy Management and Compliance	Refining HRPRA's policy management lifecycle through policy development and formulation, implementation, and oversight and performance.
Training Development	Preparing and updating training resources; coordinating with peers to ensure effective delivery of training sessions. Reviewing feedback and surveys and making appropriate alterations to material. Creating the class in Acadis and the class platform (Adobe, TEAMS, training room) and creating and coordinating the communication of the class with SP&C for appropriate delivery. Also working with OTD in the development of training.
Training Delivery	Training delivery is the presentation of discussions, demonstrations, and exercises or activities that will help the learners gain the required knowledge and skills for performing a task or learning a subject.
Awards	Performing all activities and output related to awards management for the awards program and policy; providing consultation and information to CBP Leadership, awards coordinators and program offices.
Performance Management	Performing all activities and output as related to the management of CBPs performance management system to include the administration and management of employee's performance to include appraisal administration, developing a new system for CBP.
Leave Administration	Performing all activities and output related to leave, work schedules, telework, Executive Leadership Development Program (ELDP), etc.

HRPRA capabilities compared to deliverable gaps

When we look at each of our branches individually, they're experiencing operational challenges as well (Table 3). In the Human Capital Branch, they're doing a good job in developing, implementing, and communicating HR policies, but do not have enough staff to properly review, assess, and update/enhance existing policies.

The Staffing Policy and Compliance Branch is meeting one of its primary functions in reviewing and auditing personnel records and case files for compliance with Merit Promotion statutes, regulations, and procedures. However, they do not have the manpower to fully align CBP HR policies with the Hiring Center's standard of operating procedures for various mission requirements, such as frontline hiring.

The Compensation Compliance, Oversight and Policy Branch provides daily HR consultations for CBP leaders and employees but are not fully resourced to readily provide policy guidance and oversight for compensation programs to include reforms and technical amendments.

Table 3 Current HRRPA Capabilities (Functions) Compared to Deliverable Gaps

Human Capital Branch	
Delivering Now	Partially Or Not Fully Delivering Now
- Human Capital policy development, implementation, and communications - Advisory and consultative services, including related research and coordination - Performance management and awards program management and administration - Training delivery	- HR legislative and regulatory affairs strategic planning, coordination, and tracking - Strategic policy needs assessment and planning - Communications and training to support agency-wide understanding and effective utilization of and compliance with policies - Performance management and awards program enhancements - Review, assess, and updating/enhancement of existing policies - Increased collaboration with internal and external stakeholders - Training and development of team members to support future strategic direction, including technical knowledge, data analysis, communications, etc. - Strategic forward-looking policy initiatives - Program audits to ensure effectiveness of “policy to practice” approach, identifying gaps, and establishing MAPs to address deficiencies
The Staffing Policy and Compliance Branch	
Delivering Now	Partially Or Not Fully Delivering Now
- CBP Delegated Examining and Merit Promotion Compliance/Oversight - Liaise with DHS and CBP Hiring Center to Request/Obtain/Sustain Needed Direct-Hire Authorities (DHAs)	- Quarterly/Ongoing CBP Delegated Examining and Merit Promotion Oversight Assistance to CBP Hiring Center - SPC Education and Strategic Communication - Achieve Full Alignment Between CPB Policies and Hiring Center SOPs - Contribute to CBP Hiring Center Workgroups - Review/Update All CBP Staffing/Hiring Policies on a Recurring Basis - Engage Other Agencies/Components to Conduct Benchmarking and Identify Best Practices

Compensation Compliance, Oversight and Policy Branch	
Delivering Now	Partially Or Not Fully Delivering Now
• Compensation Policy Development and Implementation • Consultation and Advisory Services • Compensation Training and Guidance • Engagement with Stakeholders	• Compensation Technical Amendments/Reforms • Regulatory Requirements and Change • Compliance Reviews/Audits • Increase Development of Training and Awareness • Expand Oversight and Outreach

D. Lack of dedicated support to CBP's performance management system

Furthermore, with the everchanging demands and complexity of work in managing both the performance management and awards programs, our Human Capital Policy Branch does not have enough full-time employees to manage both portfolios. This is a critical gap considering how performance management supports not only the alignment of frontline and non-frontline employees' functional competencies to the organization's priorities, but also how it enables employee engagement, along with the awards program.

CBP's performance management and awards program is intended to enable the entire workforce⁶ by cascading agency overarching goals to individual employee plans and accomplishments. Then at the end of each performance rating cycle, reward employees' performance and accomplishments in an unbiased equitable review.

As the lead business office for CBP's performance management and awards program, our Human Capital Policy Branch's only current full-time employee leads and facilitates the development, implementation, and oversight of the entire performance management and award program for CBP's 63,000 plus employees. Additionally, this one employee provides regulatory and operational guidance to senior executives, directors, and 1st/2nd supervisors to ensure the program links organizational strategy and priorities to individual position functions.

It is clear when considering the strategic and operational demands, everchanging complexity of level of work, and the annual reporting requirements that come each fiscal cycle, it takes more than one full-time employee to efficiently manage both the performance management and awards programs.

In fact, when benchmarking our performance management and awards program to other DHS component policy offices, we have learned that they allocate more than one full-time employee to oversee their performance management and awards programs (Table 4). For instance, the Transportation Security Administration (TSA) allocates five full-time employees (1 supervisor / 4

⁶ Most current quarter number is 63,356, Source: OPM Fedscope, accessed on July 12, 2021, at [link](#).

employees) to their performance management program, whereas CBP only allocates 2 (1 supervisor / 1 employee). The Federal Emergency Management Agency allocates four employees, and the U.S. Citizenship and Immigration Services dedicates three for their respective performance management programs.

However, all allocated positions in the surveyed components co-manage both performance management and awards programs, instead of one: TSA (staff does not manage the awards program).

Table 4 Benchmark comparison of DHS components' policy offices

AGENCY	How many employees manage the PM Program?	Does the PM Team also manage the Awards Program?	Number of Employees in Agency ⁷
U.S. Customs and Border Protection	• 1 Supervisor • 1 Employee	Yes	63,356
U.S. Secret Service	• 1 Supervisor • 3 Employees	Only rating-based performance awards	7,526
Federal Emergency Management Agency	• 4 Employees	Yes	21,020
U.S. Citizenship and Immigration Services	• 3 Employees	Yes	19,225
U.S. Immigration and Customs Enforcement	• 3 Employees	Yes	20,747
U.S. Coast Guard	• 1 Employee	Yes	8,797 ⁸
Transportation Security Administration	• 1 Supervisor • 4 Employees	No	60,567

⁷ Most current Quarter number / Source: OPM FedScope at: <https://www.fedscope.opm.gov>.

⁸ Does not include military supervisors.

F. No better time than to evolve from transactional support to a HR strategic mindset

To better serve CBP by ensuring consistent HR policy implementation and effectiveness, while being responsive to the needs of CBP leadership, managers, supervisors, and HR mission support staff, we must be able to:

“Reorient HR staff from an operational focus on transactions and compliance to a strategic focus on mission requirements and organizational outcomes”

U.S. Merit Systems Protection Board

- Reorientate the current HR staff from an operational focus on transactions and compliance to a strategic focus on mission requirements and organizational outcomes; and
- Hire talent with not only HR experience, but also core skills in data and analysis.

Strategic partnerships and customer service

Collectively, our team has a wide breadth and depth of HR knowledge and experience covering areas such as awards, compensation, leave, performance management, and staffing. Likewise, we provide HR consultation to CBP leadership, managers, supervisors, and HR mission support staff on a multiple of topics – i.e., hazardous/environmental pay, supervisor differential, legislative and regulatory affairs, merit promotion, selective service, discipline, employee relations, etc. And each of our employees play a critical role to advise management and HR mission support staff on various precepts in Title 5-Government Organization and Employees (Office of the Law Revision Counsel), along with OPM/DHS/CBP applicable regulations and bargaining unit agreements.

However, we understand the need to evolve from a transactions and compliance focus to a strategic partnership relationship by helping CBP stakeholders support operational requirements to achieve mission success. To do this, we need to expand functional capabilities in project management and workforce strategic planning. This transition will better afford current staff members, and new hires, to focus more on strategic outcomes than compliance and process. In effect, this will help us place emphasis on partnerships and customer service.

Furthermore, our staff members need to be more proficient in leveraging CBP’s internal web-based platforms to enhance collaboration, information sharing, and transparency. By collectively leveraging CBP’s internal web-based platforms, we can provided target information and resources to meet key audience’s policy needs.

Acquisition of data and analysis skills

We understand the need of data and analysis. The current technological evolution and changes have essentially made folders and shared drives incompatible to what is needed in knowledge management today – useful data.

Stated aptly in an OPM report, “One of the most important tools for managing the workforce is data” (U.S. Office of Personnel Management, 2018).

Team performance and accountability depends on data. Moreover, HR policy effectiveness and impact on operations depend on data. Program efficiencies depend on data. Employee recognition depends on data. In fact, without relevant data...effectiveness, gaps, outputs, and outcomes can be difficult to address.

Our mission is to lead and facilitate the development, formulation, implementation, and oversight of assigned CBP human resources policies and procedures necessary to support the effectiveness, operational consistency, statutory and regulatory compliance of HRM programs and functions. And data is the key to evaluating the effectiveness of our policies.

To improve policy effectiveness and operational impact, raise accountability and transparency, optimize program efficiencies, and better recognize employees’ work, we need to hire talent with not only HR experience, but also core skills in data and analysis.

APPENDICES

Appendix A: HRPRA Workload Performance Monitoring Study

Appendix B: HRPRA Workforce Functions, Numbers, and Job Series

Appendix C: HRPRA Capabilities (Functions) Compared to Deliverable Gaps

Appendix D: Workforce Mix and Future Talent Requirements

Appendix E: Importance / Performance (IP) Program Activity Analysis

Appendix F: Appendix F-Program Assessment Methodology

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