# Centers for Disease Control and Prevention (CDC) Improving CDC's Executive Recruitment, Performance Management, Compensation and On Boarding Processes

## Final Report
## February 27, 2017

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Executive Summary and Recommendations

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# Executive Summary

CDC and the Academy's shared goal is to improve the process for and results of the recruitment of candidates for CDC' executive level positions while improving customer service and satisfaction.

The Academy has developed 9 recommendations in 4 categories: executive recruiting and hiring, executive pay and compensation, executive performance management and executive onboarding.

CDC's Executive and Scientific Resources Office (ESRO) has done much to provide top-quality customer service and can build upon that success to form new partnerships with customers in order to improve customer service, satisfaction, and outcomes of activities involving executive level positions.

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# Recommendations

| Category | Recommendations |
|---|---|
| Executive Recruiting and Hiring | 1.1 Establish a Strategic Partnership with CIOs and OCOO |
| | 1.2 Develop a Strategic Recruitment Process |
| | 1.3 Develop a Communications Strategy to Enhance Customer Relationships |
| | 1.4 Develop a Streamlined Title 42 Distinguished Consultants Process |
| Executive Pay and Compensation | 2.1 Standardize and Streamline Processes and Support |
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| Executive Onboarding | 3.1 Build on the Existing and Newly Issued Onboarding Program Materials |
| Executive Performance Management | 4.1 Improve ESRO's Planning for and Ownership of Performance Management Processes |
| | 4.2 Build Performance Management Training into Onboarding for New Executives |

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# I. Background and Approach

# I. Project Goals and Objectives

**Goal:** Improve the processes for and results of the recruitment of candidates for CDC's senior career level positions and improve customer service and satisfaction.

## Project Objectives

- Executive recruitment: Improve the efficiency of the candidate search and identification process. Provide a high-quality experience for candidates, and reduce the need for involvement by COS, OCOO and OD in ESRO activities.
- Pay and compensation: Streamline and improve the efficiency and timeliness of the compensation review committees.
- Onboarding: Establish an onboarding process for new career executives that maximizes their effectiveness and full participation as quickly as possible.
- Performance assessment: Ensure ESRO is proactive, timely, and accurate in planning and carrying out performance assessment of career executives.
- Prepare for and/or address the HHS specific requirements of recent Executive Orders for improving the SES and other executive positions.

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# I. Size and Complexity of CDC's Career Executive Corps

CDC's mission is to safeguard worldwide public health. To fulfill this mission, the Executive and Scientific Resources Office is tasked to recruit and hire the absolute best in worldwide top scientific talent and the executives who manage and lead their efforts. This global, but extremely scarce talent pool must supply high demand public health organizations and well-resourced private companies. CDC must compete in this hyper-competitive labor market to fulfill its mission.

\*

| Number of Senior Position level onboard between Fy2010 and Fy'2016 | | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| Pay Plan | | Year | | | | | | | |
| | | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | | 2016 |
| | | # | # | # | # | # | # | # | Average salary |
| ES | Senior Executive Service | 31 | 28 | 31 | 22 | 28 | 29 | 30 | $176,954 |
| RF | Distinguished Consultants | 68 | 77 | 78 | 85 | 92 | 85 | 73 | $207,284 |
| RS | Research/Scientific/Senior Biomedical | 15 | 13 | 14 | 13 | 13 | 12 | 11 | $178,258 |
| SL | Senior Leader | | | 2 | 5 | 7 | 8 | 8 | $167,448 |
| Total | | 114 | 118 | 125 | 125 | 140 | 134 | 122 | |

\*

| Number of New Hires Promotion/ Conversion during FY2010 through FY2016 | | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| Pay Plan | Year | | | | | | | |
| | 2009 | 2010 | 2011 | 2012 | 2013 | 2014 | 2015 | 2016 |
| ES | | 7 | 2 | 5 | 4 | 4 | 6 | 2 |
| RF | | 17 | 15 | 7 | 11 | 93 ★ | 7 | 14 |
| RS | 1 | 1 | | 2 | | 2 | 4 | 2 |
| SL | | | | 2 | 4 | 2 | 1 | |
| Total | 1 | 25 | 17 | 16 | 19 | 101 | 18 | 18 |

\*    Data provided by CDC on 1/17/17
★    33 of these are conversions from one pay plan to another

# I. ESRO

**Arias Maccius**
*Director*

**Sharon O'Brien**
*Deputy Director*

**Immediate Office**
Carol Wood
Paula Higgins-Thomas (C)

**Immigration Activity**

Chanta Wingfield

**Staffing and Recruitment Activity**

Anita Gregoire Miles

**Executive Compensation/Performance Team**

Sandra DeShields

April Robinson
Frankie Long
Mary Thigpen
Priscilla Burnett (C)
Naquanda Ragsdale Nash (C)
Patricia McMurray (C)

Melissa Bryant
**Vicki Rivera**
**Stephanie Haggins**
Tanisha Hudspeth-Oliver
LaTonya Hughes
Paula Knox
Prentiss Law
Marianela DeArmon (C)
Trevor Edwards
Theresa Yisrael
Earlise Acey (ORISE)

Palova McCord
**Melissa Brown**
**Shimeka Scott**
**Demetreus Robinson(C)**

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- 4 staff for executive actions
- As of 12/14/16

# I. ESRO

**Agency Executive Positions and HR Staff Ratios**

- CDC has 118 executive positions and 30 staff positons in ESRO for a ratio of 4 positions to 1 HR staff position.

| Organization | Executive Positons | HR Staff | Exec Positions/HR Staff Ratio |
|---|---|---|---|
| Social Security Administration | 150 | 15 | 10/1 |
| Department of the Treasury | 150 | 12 | 12.5/1 |
| National Institutes of Health | 253 | 5 | 50.6/1 |
| CDC | 118 | 4 | 29.5/1 |

# I. ESRO

**ESRO's Major Responsibilities and Functions**

15 major task areas are divided into 3 functional areas

- **Immigration Activity includes**:

  Review actions for statutory and regulatory compliance.

  Manage strategic recruitment, relocation and retention incentives to attract a quality, diverse workforce

  Manage strategic recruitment, relocation and retention incentives to facilitate attraction of a quality, diverse workforce

  Provide program guidance, administration, and oversight of immigration and visa programs (approved 4/22/2016)

- **Staffing and Recruitment Activity**

  Provide leadership and technical assistance, guidance and consultation in the administration of  appointment policies.

  Review actions for statutory and regulatory compliance

  Manage strategic recruitment, relocation and retention incentives to facilitate attraction of a quality, diverse workforce

  Manage the HHS Executive Development Program

  Advise on  development of executive succession planning activities.

- **Executive Compensation and Performance Management Team**

  Provide human resources advisory services and support to performance boards and compensation committees.

  Review actions for statutory and regulatory compliance.

  Provide performance management training for all SES and Title 42 executives.

  Provide guidance on establishing performance plans, conducting mid-year reviews and conducting final ratings.

  Develop and maintain a standard Department-wide performance management system.

  Conduct reviews of SES performance plans and appraisals and provide feedback.

  Prepare and submit SES performance system certification request to OPM and OMB.

  Process performance awards and performance-based pay adjustments.

  Provide Rank Award requirements to customers.

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# I. ESRO's Major Challenges

Learn from the successes HRO has achieved with the P2W project and adjust those successes to the more demanding requirements of providing consistent, high quality service for executive recruitment, compensation, on boarding and performance management services to CDC's executive leadership.

Improve work quality and timeliness to be responsive to the needs for successful executive recruitment.

Develop and use more streamlined digital and paper systems to provide accurate information on an "as needed" rather than an "as available" basis.

Demonstrate knowledge, confidence, and competence in providing highest quality service to a world class executive cadre.

Ensure skillful, imaginative and timely implementation of the complex requirements of the Presidential Executive Order regarding SES hiring and the new HHS implementation guidance.

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# I. General Study Approach

1. Review existing processes and procedures.

2.Interview key individuals to identify areas
needing improvement:

   ●Chief Operating Officer (COO)/OCOO; Office of the Director.

   ●CDC Executives (SES, Title 42, etc.) participating as committee members in recruitment, hiring, pay and compensation determination, performance review, etc.

   ●CDC Executives who are new to CDC and have recently "on-boarded".

   ●HRO and ESRO leadership; ESRO staff members.

   ●Others knowledgeable about executive recruitment.

3.Identify leading practices from other agencies or organizations.

4.Develop recommendations for improvement.

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# II. Cross-cutting Issues

# II. #1 Apply Appropriately Tailored Lessons Learned From 2W to ESRO

**Challenge:** The issues facing ESRO are very similar in type to those which the CSO component of HRO faced in 2014. ESRO's focus is largely procedural and tactical rather than strategic. Customer service and work products are not of a consistent quality. Effective and timely communications with higher level supervisors and with customers are equally flawed.

**Recommendation**:
The CHCO and Deputy CHCO should work with ESRO leaders and staff to transfer the applicable learning gained during P2W to address ESRO's challenges.

**Implementation:**
- Meet with Sharon Anthony, the CSO Team Chief for the P2W project , and have her share lessons learned from the three months long pilot for testing new methods of customer service and communications, as well as the lessons learned about how to build a true partnership with customers.
- With Ms. Anthony's assistance, share these lessons with the applicable ESRO staff.
- Identify 1 or 2 CIOs who are willing to work with ESRO to restructure interactions between the CIO and ESRO executive recruitment, performance management and compensation functions.
- Establish a mutually agreed upon set of steps for the executive recruitment process. These steps should include a clear definition of who is responsible in ESRO and in the CIO to be the **SINGLE** point of contact on recruitment.
- Develop a similarly agreed upon methodology and timeframes for performance management and for compensation issues.
- Make a firm commitment that ESRO staff assigned to provide services to specific CIOs learn about and understand the substantive work of the organization(s) they service.
- In partnership with the appropriate communications professional in HRO, enhance ESRO leader and staff knowledge about effective oral and written communications principles and practices.
- Partner as appropriate and seek continuing feedback. The Customer Review Board, the Management Officers' meeting, and the CIO recruitment committees all offer significant opportunities to identify what is working well and what is not. These entities can assist ESRO customers with the executive recruitment, performance management and compensation issue identification and resolution.

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# II. #2 Enhance ESRO's Leadership Role

**Challenge:** Performance issues have reduced ESRO's leadership role and scope of work.

**Recommendation**: Based on demonstrated improved performance, reclaim (as appropriate) executive recruitment, performance management, and compensation authority and responsibility.

**Implementation:**

- Invest in further developing the leadership, organizational and strategic thinking and acting capabilities of ESRO leaders and staff.
- Establish shadowing assignments for appropriate ESRO staff so they have the opportunity to learn by seeing how very successful individuals achieve their goals. Complement the actual shadowing with discussions of "what, how, why and when" activities take place and can be the most effective.
- Prepare an agreement among OCOO, HRO and ESRO on the success measures that have to be achieved for re-delegation of responsibility and authority to occur.
- Ensure that results are reflected in the performance assessment of those involved.
- Identify a change management expert – individual or firm – to work with ESRO leadership and staff as they transform their recruitment, performance management, customer service and communications activities and methods.
- Assuming the above are carried out successfully by ESRO, return to ESRO those functions that were assigned to others because ESRO's performance did not match the needs of the organizations served.

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# II. #3 Improve Internal ESRO Management and Communications

**Challenge:**  Discussions and interviews with customers and staff revealed a need for ESRO leadership to be more attentive to internal management and communications issues, and to further strengthen the management and leadership experience and capabilities of the ESRO management team.

**Recommendation**:
- Carefully review the formal and informal methods of communication between and among ESRO's leadership cadre and between and among ESRO's leaders and staff to assure that communications authority and responsibility are clearly defined and delegated, and that those responsibilities are carried out and performance of management and communications responsibilities are assess through the performance management assessment.

**Implementation:**
- Assess communications needs within the staff, assign formal responsibility for meeting those needs, and check periodically to assure that the delegated communications authority and responsibility is being carried out successfully.

- Even if communications training has already been provided, ESRO's chief should arrange to have formal training (or retraining) on successful communications channels and methods internally within ESRO and externally between ESRO and its many customers.

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# II. #4 Improve External Communication

**Challenge**: Clear, timely, relevant memorable communications are essential for developing and maintaining effective relationships and improving customer service to the CIOs.

**Recommendation**: Improve the quality, frequency and timeliness of communications with customers to ensure a strategic rather than a tactical approach to information sharing.

**Implementation**:
- Identify specific classes of customers and their communication needs e.g., CIO director, hiring official, administrative staff, management official, CHCO, OCOO, and then develop the communications methodologies that work best.
- Seek advice from communications experts within CDC on how to ensure communications accuracy and effectiveness.
- In discussions or meetings, identify the method(s) through which customers prefer to receive their communications and – to the extent possible – accommodate those preferences.
- To the extent appropriate and possible, tailor communications to the specific needs of the customer.
- Check periodically – at least twice a year– on the usefulness of the communications, or set up an automated response channel for customers to provide feedback.
- If not already done, assign an individual within ESRO, or if possible within the Communications staff, to provide a quarterly summary feedback from customers to ESRO.
- Ensure that all ESRO staff understand and adhere to the communications policies and procedures.
- Adjust as needed over time.

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# II. #5 Improve Support Systems

**Challenge**: While the ratio of staff to work to be accomplished in ESRO was recently increased, staff's ability to function effectively is hampered by the lack of up-to-date, streamlined methods, policies, procedures and systems, and by a quality review process to assure products are accurate and appropriate for the intended audience(s).

**Recommendation**: ESRO needs to examine and streamline its methods, policies and procedures, and to the extent allowed by HHS, invest in well designed IT systems to support the effective tracking of incoming and outgoing work. Moving from paper to digital systems, which allow both customer and ESRO input and tracking capability, is essential.

**Implementation**:
- If not already available, conduct a review of all manual and digital systems to assess their currency and effectiveness.
- If ineffective, identify what is needed to serve best purposes of ESRO to modernize their support systems.
- Streamline and simplify manual systems.
- Keep systems capabilities current and data entry accurate.
- Maintain a data log of term definitions and changes to those definitions over time in order to be able to assess data accuracy and currency.
- Test the executive recruitment tracking system the NAPA team developed to assist in a more efficient way to track ESRO recruitment actions for customers. Identify any adjustments that are needed.
- ESRO will be an early tester and adopter of OPM's revised automated system for performance management.
- Identify other support systems needs and prioritize them.

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# III. Executive Recruitment and Hiring

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# III. 1.1 Establish a Strategic Partnership with CIOs and the OCOO

**Challenge**:  ESRO is not viewed as a partner with CIO and OCOO hiring officials when recruiting for the best senior talent. ESRO's focus is on the process rather than the mission needs and outcomes, resulting in a more tactical approach to executive recruitment and hiring as opposed to a strategic approach.

**Recommendation**:  ESRO should serve as consultants to and partners with CIO's and OCOO in order to strengthen collaboration between servicing HR Specialists and hiring officials at all levels regarding senior career positions. Establishing a strategic partnership is designed to better understand customer needs, clarify roles and responsibilities, agree upfront on requirements and timeframes, and build an ongoing relationship.

**Implementation**:
- ESRO should, as a standard operating procedure, conduct pre-recruitment: consultation meetings with CIO hiring officials prior to beginning any recruitment action.  At least the first meeting should be in person, particularly when building or re-building ESRO's relationship with its customers.
- During these pre-consultation meetings, which should be face-to-face when possible, ESRO should get an understanding of the business necessity and need for the position(s), reach agreement up front on critical dates during the process, information to be provided by each party, determine recruitment sources to be used and identify points of contact  in ESRO and CIO throughout the process.
- ESRO should identify one point of contact and a backup for each recruitment action, and ask that the hiring organization do the same.
- ESRO should create a "road map" that outlines the general recruitment process; take this roadmap to the pre-consultation meetings and based on discussion with the hiring officials, tailor it as appropriate to meet the needs of the specific position to be filled.

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# III. 1.2 Develop a Strategic Recruitment Process

**Challenge**:  Strategic recruitment to reach well-qualified senior leaders and a diverse applicant pool should be coordinated and efficient.

**Recommendation**: ESRO should work with the CIO's to identify future hiring goals and timetables.  The results of a joint plan that outlines hiring goals and how they will be met will support succession planning, ensure that ESRO can anticipate hiring needs, allow for fully leveraging relevant hiring authorities such as Title 42,  enable effective resource planning,  and identify appropriate recruitment sources.

**Implementation**:
- Meet with CIO leaders to understand anticipated mission critical hiring needs for the upcoming hiring cycle.
- Conduct a workforce analysis to identify anticipated turnover, including retirement eligibles, pending departures and promotions, demographic and employment trends that may impact future mission capabilities.
- Identify outreach recruitment sources that can be used to create an applicant pool that is diverse and can meet the stringent qualification requirements needed by the CIO's.
- Meet with hiring officials in other federal agencies in the local Atlanta area to determine challenges and successes with local recruitment of senior executives.
- Conduct an analysis of historic timelines and trends of past recruitment actions to identify opportunities for improvement.
- Obtain and analyze information on candidates who declined executive positions, or who lost interest during the application process to identify opportunities for improvement for future recruitment actions. This may be accomplished through a brief survey.
- Ensure that job announcements are correct, clear, concise and captivating in order to attract the best candidates.
- Review the current approach for use of Title 42 to fill appropriate positions.

# III. 1.3 Develop a Communications Strategy to Enhance Customer Relationships

**Challenge**: Communication from ESRO to senior staff in CIOs and the Director's Office/OCOO and applicants is often not viewed as professional, sometimes frustrating, and often confusing. The current reporting and tracking process is inadequate to meet the needs of senior officials, and leads to delays in the hiring process.

**Recommendation**: Develop a communications strategy that builds trust with customers and enhances the reputation of ESRO. Such a strategy should include effective tracking, reporting and informational systems to communicate up-to-date, accurate information. The results of an effective communication strategy can also support an effective strategic partnership.

**Implementation**:
- Regularly review, adjust and update content, method and mode of communications to reflect the needs of the audience and current information.
- Expand the use of the Covey Trust Model and its associated behaviors that were embraced by CSO in the 2015 NAPA Study.
- Develop, maintain, and use templates for standard messages and other correspondence that is distributed to senior leaders.
- Develop and keep-up-to-date tool kits or road maps (easy to use guides) for use by Executive Search, Rating and Ranking and Interview panels and committees. Invite CIO participation in the development of the tool kits to incorporate their ideas and ensure that what they need is included.
- Continue the new practice of a person in ESRO who is dedicated to reviewing correspondence for accuracy before it is issued.
- Look for ways of using current technology to provide real-time status reports to leaders (e.g., refer to new Executive Hiring Registry in Appendix).
- Refer to P2W for a model to pilot test new procedures when implemented.
- Take advantage of best or leading practices or tools available in CIOs.
- Consult with customers to learn their views about the most efficient and effective communications methods.

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# III. 1.4 Develop a Streamlined Title 42 Distinguished Consultants Process

**Challenge**: ESRO frequently uses the Title 42, or "Distinguished Consultants" flexibility. ESRO's overall Title 42 recruiting and hiring workload is roughly twice as large as the SES workload. Maximizing the flexibility envisioned by Title 42 may increase the efficiency by which staff are hired and decrease the administrative burden CDC undertakes to bring the staff on board. The current Title 42 process arose out of – and in many ways is modeled after – the SES procedures.

**Recommendation**: ESRO should coordinate with CDC OCOO, HHS headquarters as well as other Operating Divisions, e.g. NIH, to develop a Title 42 process that maximizes the flexibility that CDC can use to recruit and hire world-class scientific talent.

**Implementation**:
- Determine which recruitment and hiring steps are not required by Section 209(f).
- Contact other relevant HHS Operating Divisions, specifically NIH, to collaborate on crafting a streamlined Title 42 process that synchs with HHS guidance.

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# IV. Executive Pay and Compensation

# IV. 2.1 Standardize and Streamline Processes and Support

**Challenge** : Each of the four pay and compensation subcommittees has different requirements because of the executive groups they support, guidance/SOPs they must adhere to, and team member preferences; two committees serve CDC employees other than those at the executive level. Over time, each subcommittee has developed its own way of working, and some face complex issues, requiring in depth ESRO support of subcommittee deliberations. In addition, several subcommittee members said they need more training on their responsibilities and committee procedures/operations. Further, CDC/HRO appears not to have an expert in strategic compensation; interviewees reported that expertise in compensation as a factor in both successful recruiting and retention of executives could be helpful.

**Recommendations**: Using procedures of the SES/SL/Title 42 Executives subcommittee, ESRO should analyze the operations and data requirements of the other subcommittees and – working with selected subcommittee members – develop and introduce streamlined, more consistent formats and procedures for the pay and compensation processes. To increase efficiency, reduce errors, and streamlines processes, ESRO should review, revise (standardize), and improve IT systems/spreadsheets/procedures used for pay and compensation committee activities.

**Implementation** :
- CDC/HRO should hire or enable consultation from a compensation expert to help CDC more strategically use pay and compensation for hiring and retention, and to help ESRO standardize and streamline pay and compensation operations.
- ESRO should identify and partner with CIOs that have existing, successful IT systems for managing pay and compensation deliberations, and use or modify these pre-existing systems to streamline their processing steps.
- HRO should identify individual(s) in HHS or other agencies who are experts in compensation strategies and compensation committee operations, and learn from them about major strategic considerations and approaches. This information should be shared with CIO directors, ESRO and HRO leaders, subcommittee chairs and members, and others, as appropriate, to improve CDC's compensation pay approach.

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# IV. 2.2 Institute Rigorous Quality Controls

**Challenge**:  Because CIOs do not consistently provide the information on time, and because the information provided is sometimes incomplete or erroneous, ESRO team members must go back to the CIOs for clarification or for additional information in order to complete the materials needed for consideration by the subcommittee. Thus, in some instances, ESRO will pass along unreviewed materials to a subcommittee to meet a CIO's or OCOO's request to expedite review. The impact of poor quality documents can be significant: poor materials affect committee members' workload, and diminishes confidence in and respect for ESRO.

**Recommendation**: ESRO should take steps to implement rigorous quality controls, regarding its work products – whether formal or informal – and in terms of requirements placed on submissions and paperwork provided by CIOs. This will require a careful balance for ESRO between being responsive to customer needs and requests, especially when matters are time-sensitive. Instituting quality controls needs to be combined with partnering with and training of CIO  administrative staff on their related functions and roles.

**Implementation**:
- Provide resources for CIO executives and management officers, such as a handbook and examples of correctly completed materials, to ensure they know how to complete materials and what the deadlines are.
- Partner with CIO designated points of contact as they develop materials, thereby providing real-time, one-on-one training as needed.
- Institute a rigorous quality control process  for compensation packages in ESRO, including only passing along those reviewed for and meeting accuracy and quality standards. Hold CIO points of contact to established timelines.
- Systematically collect and use feedback from subcommittee chairs to document what went well and what can improve, and use that information to improve procedures and operations.

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# V. Executive Onboarding

# V. 3.1 Build on the Existing Onboarding Program

**Challenge**: ESRO has developed an orientation checklist for executives who are either new to CDC or who have been internally promoted to executive positions. This is an excellent first step in an onboarding process to get the new executive acclimated to his or her job and/or CDC. What has been developed thus far is more in line with an Orientation process than a well-defined Onboarding Program. CDC needs a more robust program to help executives fully adjust to the social, cultural and professional components of the new role.

**Recommendation**: Expand on the existing program that has already been developed. A strategic, robust onboarding program should be embraced and championed by the Director, and the COO and designed to give the new leaders a foundation for long-term success. ESRO should ensure that its program is in compliance with the memo and guidance from HHS dated January 9, 2017 (New SES Onboarding Program).

**Implementation**:
- Create a vision statement, embraced and communicated by the CDC Director, that describes the objectives of the Program. Link this activity to the Director's mandate to recruit and hire the very best executive talent for CDC.
- Given that this is a transition period with the possibility of new leadership at CDC, consider designing an institutionalized team process when/if new leadership comes on board. Provide an opportunity for the entire executive cadre, including the new leadership, to engage in establishing relationships among peers and gaining a shared understanding of the total organization culture and mission.
- Ensure that the long-term process incorporates OPM's four objectives as outlined in its February 12, 2016 Guidance on Onboarding:
    - Understanding the organizational culture
    - Understanding performance expectations (tied to CDC mission accomplishment and success)
    - Have access to influential networks; and
    - Feel valued and supported by leadership
- Borrow concepts and training ideas from the Ready to Govern Program in the Partnership for Public Service for delivering ongoing training and developmental sessions that focus on building an executive team.
- Build in a rotation process in line with the 2015 Executive Order, tailored to the needs and capability of CDC.

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# V. Orientation vs. Onboarding

- As OPM guidance states, while the terms "onboarding" and "orientation" are sometimes used interchangeably, they are notably different. Nevertheless, both are critical processes in the successful assimilation of new hires. The table below shows some important distinctions between the two:

| Onboarding | Orientation |
|---|---|
| • Strategic with impact on organizational results<br>• Evolving and progressive<br>• An ongoing process<br>• Used for new hires and promoted leaders<br>• Delivers unique and customized information on as-needed basis<br>• Has a long term focus and lasts a year or more | • Operational<br>• Traditional<br>• An event<br>• Most often limited to new leader<br>• Delivers common information usually in a classroom<br>• Is short term, typically lasting a year or less |

# V. Executive Onboarding: Rotations

- As an onboarding program evolves and matures, rotations may become an integral part of the process.
- The overall objective of the federal government SES program is to build a government wide-team. The President's 2015 Executive Order and the 2016 Implementing Guidance from OPM stress the importance of rotations.
- According to the OPM Guidance document, rotations are designed to "improve talent development, mission delivery and collaboration" and "is one of several senior executive reform actions to strengthen SES…" That Guidance defines executive rotations as "*a development process, involving movement to another position or an assignment that broadens the executive's knowledge, skill and experience in order to improve talent development, mission delivery and collaboration*." Rotations within this context are designed to be a minimum of 120 consecutive calendar days.
- CDC may find it difficult to release executives to organizations outside CDC or even to other positions within CDC for developmental purposes, given the complexity of the work performed, the sometimes unanticipated critical and world-wide events that often drive the work of CDC leaders, and the size of the executive leadership cadre. These factors will dictate the type of Rotations Program that can be implemented.
- OPM provides several examples of rotations:
  - Executive reassignment or Executive transfer
  - Internal developmental assignment (e.g., in CDC this could be to a different CIO than the one assigned)
  - Detail or developmental assignment external to the agency (e.g. for CDC executives perhaps to NIH or other public health organizations, a teaching assignment in a public health course, etc.)
  - An assignment that includes full-time, extended service on a multi-agency or joint task force or project team that may provide employees with sufficient interagency experience to qualify as a rotation
  - Sabbatical
- Determining the right type of rotation should balance the needs of CDC with the individual's developmental need.
- Agencies are encouraged to implement rotational programs for Senior Level (SL) and Scientific or Professional (ST) employees, as appropriate

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# VI. Executive Performance Management

# VI. 4.1 Improve ESRO's Planning for and Ownership of PM Processes

**Challenge**: Last minute personnel changes in ESRO made the 2015 year-end performance management process challenging and required the COO and staff in OCOO to take a larger than normal role; the 2016 process proceeded more smoothly but there is still room for improvement to decrease the need for significant COO and OCOO involvement in planning and monitoring. Meeting new 2017 requirements from HHS may be challenging for both executives and ESRO, despite HRO recently offering training on performance goal setting to help executives prepare. Little is known yet about the utility of the new automated system for the performance process, multiplying the challenge. To ESRO's credit, they have volunteered to test the new system and provide feedback on its ease of use and utility. The goal and hope is that this automated tool will improve the quality and reduce the time required by the current paper-based process.

**Recommendations**: ESRO should partner and coordinate closely with OCOO on planning and leading the annual and year-end executive performance management cycle, thereby building confidence that ESRO can do it successfully. ESRO must successfully demonstrate additional initiative and leadership, including ensuring high quality in each communication with OCOO – whether an internal email or an important policy statement. Quality products will engender confidence.

**Implementation**:
- Via the P2W Customer Review Board, ESRO should identify CIO systems that can be adopted or adapted by ESRO for tracking the status of performance-related requirements.
- ESRO should work with a communication specialist to develop and implement standard formats and templates.
- ESRO should fully use CDC's existing communication mechanisms to make available online, always-current information (e.g., via SharePoint) to OCOO, OD, HRO, and CIO leaders, decreasing the need for these leaders to call for status reports.

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# VI. 4.2 Build Performance Management Training into Onboarding for New Executives

**Challenge:** Several recently-hired CDC executives reported that they were not sufficiently prepared for their performance management-related duties – neither in terms of their personal requirements nor their responsibilities for performance management for their staff. Knowledge of the executive performance management process is especially important for "new-to-government" executives.

**Recommendation**:  CDC/ESRO should build training (preferably, online) on the executive performance management system into the orientation component of CDC's Onboarding process for new executives, and should provide or develop simple descriptions of the overall Executive performance management process and its importance, including instructions and timelines for meeting requirements. If new requirements issued by HHS for developing individual Performance Plans or writing their accomplishments prove difficult for new Executives to comply with, ESRO should provide coaching or technical assistance in completing this task.

**Implementation**:
- ESRO should provide each new executive an ESRO contact to answer performance management-related questions.
- ESRO should work with CDC University, or with CIOs, to assure that coaching options via contract are an available choice.
- CIOs should provide one or more contacts in the new Executive's CIO to help with CIO-specific guidance on the performance management process.

# Appendices

1. Expert Advisory Group Members
2. List of Acronyms
3. Previous Studies
4. Executive Hiring Registry

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# 1. Expert Advisory Group Members

- **Anita Blair,** Deputy Assistant Secretary of the Treasury for Human Resources and Chief Human Capital Officer

- **Gail T. Lovelace,** former Assistant Administrator/Chief Leadership Officer and former Chief People Officer,  General Services Administration

- **Reginald F. Wells ,** Deputy Commissioner of the Social Security Administration's Office of Human Resources.

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# 2. List of Acronyms

CDC—Centers for Disease Control and Prevention

CIO—Centers, Institute, and Offices

CHCO—Chief Human Capital Officer

COO—Chief Operating Officer

CSO—Client Services Office

CRB—Customer Review Board

ECQ- Executive Core Qualifications

ESRO – Executive and Scientific Resources Office

HHS – US Department of Health and Human Services

HRO—Human Resources Office

NIH- National Institutes of Health

OD – Office of the Director

PRB- Peer Review Board

P2W—Partnering to Win

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# 3. NAPA's Recent Studies (2013 – 2015)

**2013 – 2014: Human Resources Process Improvement Review**

In 2013, CDC's Chief Operating Officer sought the Academy's assistance to help HRO improve its services to customers. The Academy's initial study was completed in February 2014. The study's goal was to provide a set of implementable recommendations to help drive performance improvement in the HR processes of CDC. The recommendations were to:

1. Build trust by establishing proactive customer relationships.
2. Reengineer the hiring process to reflect CDC culture.
3. Develop/enhance staff competencies and build expertise.
4. Develop a strategy and focus to guide HR improvement efforts.
5. Institute a workforce planning or annual staffing plan process.

**2014 – 2015: Partnering to Win Transformation Initiative**

Beginning in November 2014, HRO and three pilot Centers, Institutes and Offices (CIOs) tested an integrated set of revised policies and procedures designated to enhance the organization's ability to recruit well qualified applicants in a more efficient and timely way. Fundamental changes identified early include:

- Use competency-based assessment tools to evaluate candidate credentials.
- Strengthen the involvement Subject Matter Experts (SMEs) in assessment tool development, rating of candidates and reviewing candidates' self-assessments.
- Revise recruitment and hiring policies and procedures to provide a more flexible and responsive set of tools designed to substantially improve the quality of candidates available for selection.
- Select three CIOs to test the suite of revised recruitment and hiring tools.
- Adjust HRO-CIO interactions through face-to-face consultations on recruitment and hiring needs including a more significant role for the selecting official.
- Establish the Customer Review Board (CRB) as a forum for HRO and CIO leaders to work together to identify and resolve complex hiring and recruitment issues and needs.

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# 4-1. Executive Hiring Registry

- ESRO current methods for tracking, managing, and reporting workflow can be enhanced by using cloud-based technology, such as SharePoint, and user experience design principals to improve ERSO performance and increase customer satisfaction.

- The current database that is used to track, manage and report on the ESRO workflow serves as an overall data warehouse for all actions.

- A current year action spreadsheet should be configured to focus the office the real-time picture of the workflow pipeline.

- BizFlow, a software package developed based on HHS Workflow Information Tracking System, is scheduled to replace HREPS, on November 30th. This platform will systematically track Special Pay, Senior Level Pay and Title 42 Request Tracking Workflows.

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# 4-2. Executive Hiring Registry

A newly configured "Executive Hiring Registry" can better track workflow, highlight special needs cases, and orients the user toward key milestones

**New "Executive Hiring Registry" for OCOO reporting and ESRO workflow tracking**

| HR COO | OO Reque | 8/26/16 | \multicolumn{9}{l}{Executive & Scientific Resources Office, Arias Maccius, Director} | | | | | | | | |
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| 153729 | CAJH1 | E | DIRECTOR, DIVISION OF ACQUISITION SERVICES | 1102 | 0 | VALENZUELA,C | HAGGINS,S | | | 14 | | |

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