Description of document:	Organizational Assessment of the Centers for Disease Control and Prevention (CDC) Division of Select Agents and Toxins (DSAT) performed under CDC contract 75D30118F01659 by Communication Institute International, Inc., 2019
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Centers for Disease Control
and Prevention (CDC)
Atlanta GA 30333

September 17, 2019

SENT VIA EMAIL

This letter is our final response to your Centers for Disease Control and Prevention and Agency for Toxic Substances and Disease Registry (CDC/ATSDR) Freedom of Information Act (FOIA) request of August 18, 2019, assigned #19-01087-FOIA, seeking:

> "a copy of the organizational assessment performed under CDC contract 75D30118F01659 by Communication Institute International, Inc."

We located 77 pages of responsive records. After a careful review of these pages, no information was withheld from release.

In accordance with the Department's implementing regulations, 45 CFR Part 5, no fees are due for processing request #19-01087-FOIA.

If you need any further assistance or would like to discuss any aspect of the records provided, please contact either our FOIA Requester Service Center at 770-488-6399 or our FOIA Public Liaison at 770-488-6277.

Sincerely,

Roger Andoh
CDC/ATSDR FOIA Officer
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#19-01087-FOIA

DSAT Organizational Assessment: Findings and Recommendations

CI International

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Executive Summary – Key Findings and Recommendations

The Centers for Disease Control (CDC) Division of Select Agents and Toxins (DSAT) determined that it requires an organizational assessment of its current structure and recommendations for possible realignment to best facilitate implementation of the Federal Select Agent Program (FSAP) Strategic Plan. Therefore, the purpose of this document is to provide that organizational assessment of DSAT and recommendations regarding possible realignment to implement the FSAP Strategic Plan. In particular, the intent is to conduct a systematic review of DSATs programmatic, organization, staffing structure, functions, processes, and practices to maximize regulatory impact. The intended outcome of this review is to identify recommendations on how DSAT might improve its ability to perform and implement the FSAP Strategic Plan. The report also serves to address any shifts needed to ensure optimal DSAT organizational performance. Additional contextual elements for this report include:

- Analyze DSAT's organizational design by looking at key internal elements outlined in the McKinsey 7S model in order to identify if they are effectively aligned, and to allow DSAT to achieve its objectives
- Report findings and recommend an action plan to implement new strategies and facilitate organizational change
- Conduct a detailed workload analysis
- Review how jobs are defined, departments organized, and processes structured
- Include input from CDC leadership and staff
- Include, as appropriate, possible reorganization of the DSAT staff, workforce needs, and budget implications

Key Findings from Interviews:

1. **Mission, Vision, and Strategic Plan.** DSAT is a mission-focused organization that takes pride in, and is successful at, protecting the public health of the US by ensuring work with biological agents and toxins is conducted as safely and securely as possible. DSAT needs to build on this factor by developing and communicating a vision for its future with advancing science and technology and an organization-specific operational plan for how that vision will be achieved.

2. **DSAT Culture and Values.** DSAT currently does not have an agreed upon set of organizational values. Therefore, every Branch and/or leader creates his or her own set of values or unwritten rules. This in turn creates a disjointed and even competitive environment for DSAT as a whole. This is also contributing to an "us versus them" mentality in many parts of the organization and thereby, diminishing trust of senior leadership and the various groups within DSAT.

3. **Change Management.** Many of the "people issues" DSAT is experiencing are due to a lack of change management. DSAT has experienced, and will continue to experience, many changes

in its processes, systems, personnel, structure, and even office location. In speaking with staff, many of the changes in DSAT often just seem to appear, with no communication around the what, when, why, who, and how. When this occurs, they report feeling overwhelmed, powerless, and victimized - all of which can result in eroded motivation. This reality often also impacts how staff feel about leadership, causing distrust and competition.

4. **Communication and Decision Making.** DSAT staff report there is inconsistent communication within the organization. While there have been many efforts put into increasing/improving communications, staff continue to highlight concerns that they are missing important information. This factor appears to be consistent with staff indicating a lack of transparency in decision-making. This is largely due to the need for a robust change management process at DSAT.

5. **Leadership and Accountability.** Both leadership and staff indicated that some leaders are effective while others require additional development in their respective leadership roles. Upon further exploration, data gathered suggests that many DSAT leaders feel the best way to be a good manager is to make their employees happy. This is causing them to spend much of their time addressing the "wants" of their staff and is creating a culture of entitlement versus accountability. While there is often immediate gratification for both the manager and the staff; over time this approach creates a dependency that is unhealthy for staff, leadership, and the broader DSAT organization.

Key Findings from Workload Analysis and Organizational Structure:

1. **Staffing.** While there are many issues with the data provided (which stems from a joint workforce assessment between DSAT and USDA/APHIS), there is an overall feeling that DSAT is currently understaffed in all areas (Inspections, IPP, IT, eFSAP, Science, and Administration).

2. **Span of Control.** The span of control of the Operations Branch Manager is too wide with 65% of the organization reporting up through one position. While this is a temporary arrangement, having DSAT's mission-focused branch with one person in charge puts the organization in an unnecessarily vulnerable position. The current approved DSAT organizational structure has two operational branches and based on span of control, it is recommended that it returns to two operational branches.

3. **Human Capital Manager.** DSAT currently does not have a person focused on the day to day "people" issues such as culture, leadership and staff "soft skills" training, change management, etc. Furthermore, there is no one with the capacity to add these activities to their workload.

4. **Succession Planning.** Both the interviews and organizational structure analysis highlighted that many programmatic functions run only 1 or 2 people deep. In addition, many of those individuals most savvy with respect to the organizational history/context are approaching retirement age and DSAT has no formal plan for transitioning requisite knowledge. Note - based on recent discussions with DSAT Leadership, we understand that the organization has initiated a succession planning process. We recommend this continue.

Key Findings from Skills Assessment, Leadership 360-Assessment and EVS:

1. **Core Competency Needs.** The Inspector skills assessment did not demonstrate training needs for grade levels 11, 12, or 13 but did for GS 14 in Communication, Continuous Improvement, Interpersonal Effectiveness, and Resilience. The Program Management Branch demonstrated needs in Accountability, Adaptability, Attention to Detail, and Resilience.

2. **Technical Competency Training Needs.** The Inspector skills assessment indicates a need for Biological Toxin Sciences training as well as Security training. The Program Management Branch skills assessment indicates a need for training in Administrative Management, Business Process Improvement, Program Support and Strategic Planning, Program Administration and Program Management.

3. **Leadership Assessment.** Overall the leadership assessment demonstrated most competencies averaging a rating of 4 out of 5 possible with Decision Making and Developing People being the lowest scored at 3.8. One underlying area of concern is the range in scores with some leaders being rated very low and others very high. This might indicate an imbalance in skill level of DSAT leaders. Note - these conclusions are from data obtained by reviewing the 360-leadership evaluation. The participants of the 360 were selected by CPR OD PDA which may have had an impact on the resulting scores.

4. **Employee Viewpoint Survey.** The EVS results indicate that DSAT staff are proud of the organization's mission and the work they are doing to achieve that mission. This is supported by all assessments performed in this project. EVS items that represent potential areas of concern are substantiated by the analysis performed in this organizational assessment project. These include communication, empowerment, decision-making and distrust of senior leadership.

5. **Differences between Leadership Assessment and EVS Scores.** When analyzing the data of the two sources, we noted some rather striking differences in results. One reason for this might be the respective populations completing the two assessments. Often EVS results can contain an inherent bias in that people dissatisfied complete the survey in higher numbers. Another potential difference is that the staff completed the leadership assessment work directly for the leader they were assessing. In the EVS data, most respondents were satisfied, even happy with their direct leaders. More analysis would need to be conducted to validate these initial assumptions.
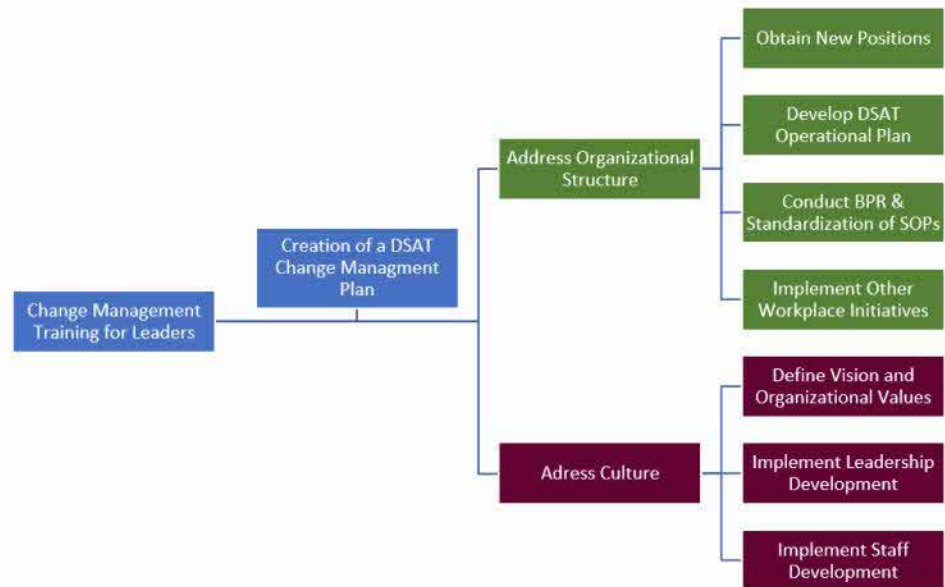
Recommendations:

Recommendations are presented in a phased approach with many activities occurring simultaneously, as depicted in the graphic. Recommendations also take into consideration that much work has already occurred to address some of the findings. These include the skills assessment, the leadership assessment, and succession planning.

These activities create a strong foundation for DSAT in moving forward. Detailed data about each recommendation, including the timing of each recommendation, next steps, accountabilities, dependencies, possible change barriers and mitigations, can be found in the accompanying Action Plan report.

Change Management:

Before implementing any recommendations, ensure there is a systematic change management plan that includes:

- Readiness assessments
- Communication and communication planning
- Sponsor activities and sponsor roadmaps
- Leadership training for change management
- Training and employee training development
- Resistance management
- Data collection, feedback analysis and corrective action
- Celebrating and recognizing success
- After-project review

This will ensure the change is well defined, well timed, and enables leaders and staff to support the changes. CI recommends the following:

- Train managers in the discipline of change management so that they become more successful in spotting issues related to change and thus able to identify/implement responses to help employees move through the change.

- Develop a DSAT-wide change management plan. Begin to build the plan via the aforementioned training, then follow-up with two detailed sessions with team as a whole, then with each Branch. Plan will build from and lead to:
  - Organizational Structure
    - ❖ DSAT Workforce Plan
    - ❖ Business Process Review - Standardized SOPs
  - Operational Plan
  - Vision, Values, and Culture
    - ❖ Leadership, Development, and Culture
    - ❖ Change and Resilience Training for staff
    - ❖ Accountability Culture (Career ladder and promotion criteria, PMAPS adjusted to include new expectations around values and accountability
  - eFSAP/eIPP information systems implementation
  - Increased transparency of work

Address Organizational Structure:

While certain organizational structure and staffing issues may need to wait until the operational plan is developed, the recommendations below are more immediate.

- **New Position: Branch Chief or Deputy Director of Management:** Currently the Deputy Director oversees management, personnel, budget, goals/strategies, science, policy, and communications. Having this many diverse responsibilities is unsustainable and given DSATs mission, the priority for the current Deputy is science, policy and communications (with the rest of operations getting attention only when time permits). However, to build and maintain a qualified and engaged staff, the management, personnel, budget and strategy areas also require dedicated focus. We therefore recommend that the role be split into two deputy positions with a clear delineation as to focus areas.

- **New Position: Branch Chief of Operations:** The DSAT Operations Branch should be split into two branches – both with a Branch Chief reporting to the Director. This would lessen the burden on the current Branch Chief, reduce the current span of control, and allow for more time in developing and managing employees.

- **New Position: Human Capital Manager:** DSAT requires a Human Capital Manager position to be responsible for implementing various aspects of the recommendations highlighted herein, especially the vision, values, and culture. This individual should also retain responsibility for day-to-day "people" activities such as leading efforts to address EVS scores, securing non-technical training when needed, etc. This individual can also assist with special projects as needed. This Human Capital Manager position should align to the Deputy Director over management, personnel, budget and strategy, and might be added to the Program Management Branch. If this is the case, the Learning and Development functional area should co-exist with the Human Capital Manager.

There will be a need to restructure the organization to accommodate the new positions. This is detailed in the Action Planning section of this document.

- **Develop the DSAT Operational Plan:** Notwithstanding the work already completed to develop the DSAT/AgSAS-generated FSAP Strategic Plan, DSAT needs to develop its own specific operational plan as well. DSAT needs to address the way the organization is organized to achieve its mission now and in the future. Specifically, it should address:

  ❖ The Risk based approach or process that will be used going forward for both FSAP and IPP
  ❖ The work and organization of the Import Permit Program
  ❖ The list-based inspection model and to determine if the list of select agents and toxins will increase or decrease and how that will impact the workforce
  ❖ The change in the nature of the inspection work due to the automated processes of eFSAP and eIPP information systems
  ❖ Other systems supporting the work such as SharePoint
  ❖ Alignment with CPR and CDC
  ❖ Budget and staffing needs to determine future growth or status quo

- **Conduct Business Process Reengineering and Standardization of SOPs:** To ensure consistency between the two Operations Branches, study existing procedures to determine most effective and efficient processes, document standard operating procedures (SOPs), and measure to ensure use of the SOPs across Branches and teams.

- **Implement Other Workplace Initiatives:** There are several specific workplace initiatives that will need to occur to support the new organizational structure. They include

  ❖ Continue implementing succession planning
  ❖ Developing a career ladder and promotion criteria for DSAT staff
  ❖ Implementing a one day a week office policy on a team basis
  ❖ Integrating senior leaders with staff more holistically
  ❖ Improving DSAT internal communications

Address Culture:

Concurrent with development of a DSAT-specific Operational Plan, DSAT should work to identify and define the type of culture it prefers to support its mission and vision. Culture is defined as the underlying beliefs, assumptions, values and ways of interacting that contribute to the unique social and psychological environment of an organization. It includes an organization's expectations, experiences, philosophy, as well as the values that guide member behavior, and is expressed in member self-image, inner workings, interactions with the outside world, and future expectations. Culture is based on shared attitudes, beliefs, customs, and written and unwritten rules that have been developed over time and are considered valid (Source: The Business Dictionary).

Defining a culture and then implementing it takes buy-in and commitment from everyone in the organization. DSAT leadership needs to provide input and support the effort, while managers need

to incorporate behaviors into their management/leadership style and hold staff accountable to like behaviors. For DSAT, three workstreams should occur:

- **Create an DSAT Vision for the Future:** While there are multiple ways to get started in improving DSAT, best practice suggests beginning with a vision for its future. The vision should be developed by DSAT Leadership with knowledge of the current and future regulatory environment. The vision should be inspirational and provide enough information for staff to understand what the future state will look and feel like.

- **Define organizational values that support the culture:** These are organizational, rather than personal, values. It can be very difficult to achieve consensus around values if people believe they have to change their own personal values; therefore, it is imperative to reassure staff that their personal values will remain intact but that the values they need to consider/integrate are organizational in nature.

  Once DSAT values are agreed upon, it is important to define them in behavioral terms. It is easy to say one lives by a value if it is not defined because "what's collaboration to one may not be the same for another." Nevertheless, when behaviors are assigned to a value, individuals can be held accountable to that value.

- **Implement Leadership Development:** Leadership development is key in creating a defined culture. DSAT leaders have already started this process by implementing leadership assessment and coaching. In addition to continuing the individual coaching for leaders, it is critical for leaders to build a common leadership philosophy and language. This is best achieved by experiencing leadership development as a team, most often accomplished through a leadership development program containing classroom learning, distance learning, and action-learning experiences.

- **Implement Staff Development:** Create/update DSAT Training Plan and Delivery to ensure training offerings for inspectors and the Program Management Branch address specific training needs identified in the Skills Assessment; specifically,

  - ❖ Train all staff in change and resilience. Not only is resilience an identified training need for Inspectors and Program Management Branch staff, this topic will help all DSAT employees to gain a better understanding of the evolution all go through in times of change and develop coping strategies.
  - ❖ Train Inspectors in Biological Toxin Sciences
  - ❖ Train Program Management staff in Accountability, Adaptability, Attention to Detail, Administrative Management, Business Process Improvement, Program Support and Strategic Planning, Program Administration and Program Management

Background

Scientific research in laboratories, especially on select agents and toxins, leads to discoveries that can save lives and help protect the health, safety, and security of the American people. Because this research is critical, the Centers for Disease Control (CDC) works to ensure that such is conducted as safely and securely as possible. To accomplish this, CDC's Division of Select Agents and Toxins (DSAT) oversees two important programs: The Federal Select Agent Program (FSAP) and the Import Permit Program (IPP).

- **FSAP** - In order to help ensure that potentially risky biological materials are handled safely and securely, research with select agents and toxins is performed in labs that are registered with FSAP. The program is managed jointly by DSAT and the Animal and Plant Health Inspection Service (APHIS)'s Agriculture Select Agent Services (or AgSAS), which is part of the U.S. Department of Agriculture. DSAT regulates agents that cause disease in humans, while AgSAS regulates agents that cause disease in animals and plants.
- **IPP** - This program regulates the importation of infectious biological materials that could cause disease in humans in order to prevent their introduction and spread into the United States. The IPP ensures that the importation of these agents is monitored and that facilities receiving permits have appropriate biosafety measures in place to work with the imported agents.

Through these programs, DSAT (1) develops regulations for laboratories that work with select agents and toxins, (2) maintains a national database, (3) conducts inspections of entities that possess, use or transfer select agents and toxins, (4) ensures that all individuals who work with select agents and toxins undergo security risk assessment (SRA) performed by the Federal Bureau of Investigation / Criminal Justice Information Service, (5) investigates incidents where non-compliance may have occurred, (6) enforces regulatory compliance for programs that work with select agents and toxins, and (7) issues import permits required for the importation of infectious biological agents, infectious substances, and vectors of human disease into the United States. DSAT continues to meet its responsibilities for regulating the possession, use, and transfer of select agents and the importation of infectious biological agents into the United States that could cause disease in humans. For instance, approximately 276 entities are registered with FSAP to possess select agents (the majority of which - 86 percent - were registered with CDC). There are over 9,500 individuals with approved SRAs working in the FSAP registered entities. Moreover, approximately 2,000 import permits are issued each year by DSAT's IPP.
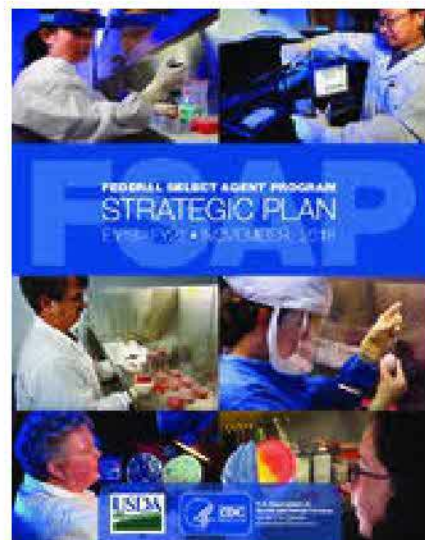
FSAP 2018-2021 Strategic Plan

Nevertheless, DSAT as an organization continues to face tremendous demands on its resources. For instance, DSAT is subject to significant trends/changes in science, data and technology, budget/staffing, and stakeholder interaction (to name just a few). In addressing these challenges, along with its federal partner - AgSAS - DSAT recently completed a three-year strategic plan for the

jointly run FSAP. The two organizations are also now working through related performance measures and monitoring plans to track the implementation and outcomes of the FSAP Strategic Plan (as well as those specifically related to DSAT's IPP).

DSAT subsequently determined that it requires an organizational assessment of its current structure and recommendations for possible realignment to best facilitate implementation of the FSAP Strategic Plan. Therefore, the <u>purpose</u> of this document is to provide a follow-on organizational assessment of DSAT and recommendations regarding possible realignment to implement the FSAP Strategic Plan. In particular, the intent is to conduct a systematic review of DSATs programmatic, organization, staffing structure, functions, processes, and practices to maximize regulatory impact. The intended outcome of this review is to identify recommendations on how DSAT might improve its ability to perform and implement the FSAP Strategic Plan. The report also serves to address the need for any shifts needed to ensure optimal DSAT organizational performance. Additional contextual elements for this report include:

- Analyze DSAT's organizational design by looking at key internal elements outlined in the McKinsey 7S model in order to identify if they are effectively aligned and allow DSAT to achieve its objectives
- Report findings and recommend an action plan to implement new strategies and facilitate organization change
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Methodology

As a result of the context highlighted above, CI International has taken a multi-modal approach to this organizational assessment, applying survey/interview design and administration, detailed workload analysis, skills assessment, and related data capture/analysis. The anchor of the assessment, as requested by DSAT, is the McKinsey 7S Model.

1. Introduction to McKinsey 7S

McKinsey's 7-S Model was created as a diagnostic tool for analyzing organizations. It can be used to help identify what needs to be realigned to improve performance. It is also used to understand how the various organizational elements are interrelated, and, therefore, to ensure that the wider impact of changes made in one element area is taken into consideration across all others. Moreover, placing the element - "Shared Values" - in the middle of the 7S model highlights that an organization's values and related cultural descriptors are central to the development of all other elements. An organization's strategy, structure, systems, style, staff, and skills all stem from why it was originally created, and what it stands for to its stakeholders. As the values change, so do all the other elements.
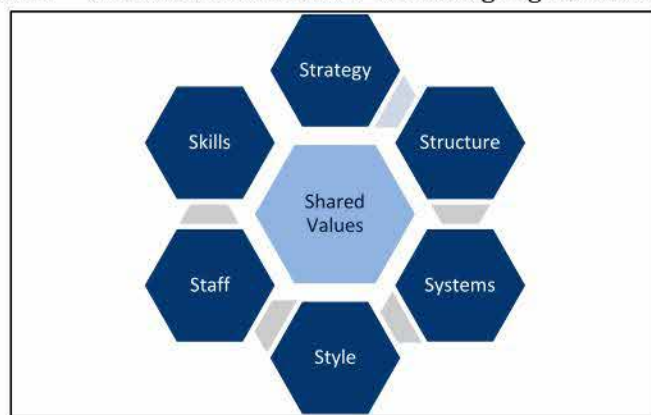
More specifically, the McKinsey 7S elements are:

McKinsey 7S Model

A. Hard Elements (relatively easier to define or identify; management can most directly influence)

- ✓ <u>Structure</u> - the organizational chart and reporting lines
- ✓ <u>Strategy</u> - the plan or course of action in allocating resources to achieve goals over time
- ✓ <u>Systems</u> - the routine processes and procedures

B. Soft Elements (can be more difficult to describe, less tangible and more influenced by culture; however, these are as important as the hard elements if an organization is to be successful)

- ✓ <u>Shared values</u> - the guiding concepts of the organization, the organizational values evidenced in the culture and general work ethic
- ✓ <u>Style</u> - key behaviors of leaders/managers in achieving organizational goals and influencing organizational culture
- ✓ <u>Staff</u> - the personnel categories within the organization (i.e., full-time permanent, contract, etc.)
- ✓ <u>Skills</u> - refers to capabilities of the staff

Source: https://www.strategicmanagementinsight.com/tools/mckinsey-7s-model-framework.html

2. Application of Model to DSAT

To apply the 7-S Model, CI International first created a series of questions for three different groups within CDC:

- CDC Center for Preparedness and Response (CPR) Leaders
- DSAT Leaders/Supervisors
- DSAT Staff

Note that certain of the questions overlap across multiple groups while others were asked of only certain of them (depending on situation/perspective).

| 7-S	#	CPR Leaders (10 questions)	DSAT Leaders/ Supervisors (15 questions)	DSAT Staff (13 questions)
"Hard" **Strategy**	1	What are DSAT's key strategic imperatives? Likely upcoming strategic challenges? • What are particular focus areas for DSAT from the FSAP Strategic Plan?	What are DSAT's key strategic imperatives? Likely upcoming strategic challenges?	
Structure	2	How is DSAT organized and is this current structure optimal? • What are your pain points – e.g., turf battles, lack of cross org collaboration, headcount, other? • What holds DSAT back from being a high performing organization?	How is DSAT organized and is this current structure optimal? • What are your pain points – e.g., turf battles, lack of cross org collaboration, headcount, other? • What holds DSAT back from being a high performing organization?	
	3		How are decisions made and tasks allocated?	How are decisions made and tasks allocated?
	4	How is information shared (formally and informally)?	How is information shared (formally and informally)?	How is information shared (formally and informally)?
Systems	5		What main operational and technology systems support DSAT? How do they help or hinder your work?	What main operational and technology systems support DSAT? How do they help or hinder your work?

	6		What rules/processes/controls keep DSAT on track?	What rules/processes/controls keep DSAT on track?
"Soft" Shared Values	7	What are DSAT's stated organizational values?	What are DSAT's stated organizational values?	What are DSAT's stated organizational values?
	8	What is your vision for DSAT culture (artifacts, beliefs, shared assumptions)?	What is the real day-to-day DSAT culture (artifacts, beliefs, shared assumptions) like?	What is the real day-to-day DSAT culture (artifacts, beliefs, shared assumptions) like?
Style	9	What leadership style are you trying to apply?	What is the leadership style like?	What is the leadership style like?
	10		How does staff respond to leadership direction (e.g., stay in silos/collaborate in teams/other)?	How does staff respond to leadership direction (e.g., stay in silos/collaborate in teams/other)?
Staff	11		What are the key DSAT organization functions?	What are the key DSAT organization functions?
	12	Are there gaps in (a) required capabilities or (b) resources, or both?	Are there gaps in (a) required capabilities or (b) resources, or both?	Are there gaps in (a) required capabilities or (b) resources, or both?
Skills	13	What does DSAT do really well as an organization (i.e., what are its core competencies)?	What does DSAT do really well as an organization (i.e., what are its core competencies)?	What does DSAT do really well as an organization (i.e., what are its core competencies)?
	14	What skills are required to deliver against functions?	What skills are required to deliver against functions?	What skills are required to deliver against functions?
	15	What are the key DSAT skills gaps, if any, from your vantage point?	What are the key DSAT skills gaps, if any, from your vantage point?	What are the key DSAT skills gaps, if any, from your vantage point?

After completing the interviews, CI International conducted a thematic response analysis to identify key themes by population/interview group, and cross cutting themes (across all groups) for each element in the 7S model. In the analysis section below, we highlight these themes by element. Moreover, in each section, we highlight (1) the best practice state for each "S," (2) current DSAT status against that best practice (e.g., is there consistency, alignment, conflicts, gaps, support, strengths, weaknesses, others), and (3) initial recommendations.

Importantly, we also supplement each, as appropriate, with information from other aspects of this analysis. For instance, significant attention is paid to the results of (1) the 2017 and 2018 Employee Viewpoint Survey (EVS) as it relates to DSAT, (2) consolidated results of recent 360 Assessments for DSAT leaders/managers, (3) workload analysis data collected by APHIS/AgSAS, (4) DSAT Inspector/Program Management Skills Assessments, and various other workforce data analyses.

Analysis

In each McKinsey 7S section (by element) below, we provide (A) a brief overview of best practices, (B) results from the survey/interviews, (C) other pertinent information, and (D) DSAT recommendations for improvement going forward.
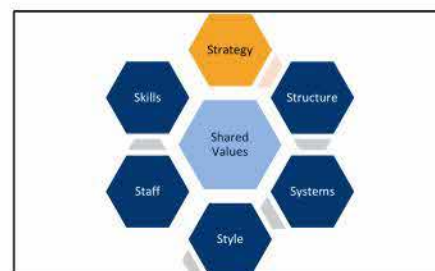
Element 1. Strategy

A. Best Practice - Strategy is a plan/intent developed by an organization to achieve sustained competitive advantage and successfully compete in the market (and/or achieve its mission). In general, a well-aligned strategy is one that is clearly articulated, long-term in nature, and reinforced by strong mission, vision, and values. Nevertheless, it can be hard to tell if strategy is well aligned with other elements when analyzed alone. The key in the 7S model is not necessarily to look at an organization to find a great strategy, and structure, and systems, and so on, but rather to see if, in this case, strategy is clear and aligned with the other model elements.

In sum, with respect to Strategy - DSAT requires its own specific strategic plan highlighting its vision for the future with a roadmap on how it intends to achieve that vision.

B. Interview Themes - The following themes and descriptions related to Strategy were identified via the interviews/surveys. *Note: While some of the themes covered in this section may not coincide with current reality, they are representative of the perceptions of the interviewee group at the time the interviews were conducted.*

(CPR Leadership)
- <u>No shared vision</u> – DSAT does not have one, and there is confusion around underlying mission boundaries (i.e., will DSAT be List-based or focused more broadly in the future?) beyond the partial direction provided in the FSAP Strategic Plan
- <u>No formal change management approach</u> – there is insufficient attention paid to managing change especially given the implementation of eFSAP information system and other significant organizational initiatives
- <u>No succession planning</u> – most leadership positions in DSAT are one-deep, with no immediate successors

Theme	CPR Leadership	DSAT Leadership	DSAT Staff
No shared vision	✓	✓	
No formal change management	✓	✓	
No succession planning	✓	✓	✓
DSAT needs better communication		✓	✓
Morale/turnover issues		✓	✓
Remaining up to date on technical and scientific knowledge		✓	
Relative lack of inspector experience			✓
Survey fatigue			✓

DSAT "Strategy" Themes

(DSAT Leadership)
- <u>No shared vision</u> – disagreement whether mission should be expanded beyond traditional regulatory requirements
- <u>No formal change management approach</u> – insufficient attention paid to formal change management with the implementation of eFSAP and other significant organizational initiatives
- <u>No succession planning</u> – most leadership positions are one-deep, with no immediate successors
- <u>DSAT needs better communications</u> – inconsistent and do not reach right audience; insufficient level and quality
- <u>Morale/turnover</u> – lack of communications is key contributor to recent departures
- <u>Remaining up to date with technical and scientific knowledge</u> – an ongoing concern as DSAT context always evolving

(DSAT Staff)
- <u>No succession planning</u> – critical need that must be addressed
- <u>DSAT needs better communications</u> – highlighted as ongoing concern across organization
- <u>Morale/turnover</u> – high turnover impacts workload and morale
- <u>Relative lack of experience of many inspectors</u> – a large proportion have only been at DSAT 1.5 years or less
- <u>Survey fatigue</u> – Staff would like to see leadership take real action on the results of this particular assessment
- <u>Additional note</u> - Even though staff did not expressly mention "lack of vision," they are concerned with lack of succession planning and highlight in later elements (e.g., Style) a concern around "lack of clear senior vision."

C. Other Pertinent Information - this section highlights information related to Strategy from other sources/analysis.

Source	Information/Relevance
Employee Viewpoint Survey	- DSAT respondents have an increasing sense per Q39 that "My Agency is successful at accomplishing its mission" with percent affirmative response to that statement rising from 67.5% in 2017 to 82.3% in 2018 - Communication merits concern as Q2 "I have enough information to do my job well" dropped considerably for DSAT from 71.4% in 2017 to 60.3% in 2018 - Moreover, scores remained generally the same for Q56 - "Managers communicate the goals and priorities of the organization" with only a slight increase of 56.0% to 58.2% between 2017 and 2018 - However, there was a slight decrease in Q57 - "Managers review and evaluate the organization's progress toward meeting its goals and objectives" from 61.4% in 2017 to 57.9% in 2018
DSAT Managers 360 Feedback	All three of the following items were in the top 10 rated items in this 360 Survey. This indicates understanding and skill within the broader context in which DSAT finds itself.

CI International

	• "Collaboration and Partnering - Understands the role and responsibilities of partner Federal Agencies and Departments" • "Public Service and Motivation - Aligns organizational objectives and practices to address severe public health threats" • "Communication - Articulates the organization's vision, mission, values, and goals" The item under communication is contrary to the data in Q2, Q56, and Q59 in the EVS data.
FSAP Strategic Plan	A direct driver of strategy for DSAT is the FSAP Strategic Plan. The four goals in that plan are (1) Recruitment, development, and retention of knowledgeable and professional workforce, (2) Harmonize FSAP organizational processes and inspections, (3) Leverage data-driven, risk- based approaches to guide FSAP operations, and (4) Engage, increase transparency, and highlight program benefits with FSAP's diverse stakeholders. Goals 1, 3, and 4 cascade down to DSAT (and are covered in this report in elements such as Staff, Systems, and Style) while Goal 2 does not relate to DSAT individually.

D. DSAT Recommendations for Improvement - There is consensus that DSAT is accomplishing its mission. Moreover, at a general level, the DSAT Managers' 360 Feedback provides some support to the notion that there is a DSAT vision, which is communicated. Nevertheless, interview responses suggest that DSAT still has work to

> **Mission:** To regulate the possession, use and transfer of select agents and toxins and the importation of infectious biological agents, hosts, and vectors of human disease to protect the public health in the United States.
> **Vision:** To be the preeminent resource for the safety and security of biological agents and toxins.

do to identify/refine its vision for the future with a specific roadmap on how it intends to achieve that vision. In particular, DSAT should:

- Review the current DSAT Mission and Vision and update as needed: - The Talent Strategy and Workforce Plan dated May 2016 includes a DSAT mission and vision (noted in the text box). Both should be reviewed for current relevance and refined as needed. The vision is of particular concern in that it depicts a direction for the future, but no context on what a "preeminent resource" might look like. Before creating a strategic plan, DSAT's leadership needs to agree on what that future state should be.
- Create a DSAT-specific Operational Plan - due to uncertainty with whether the DSAT mission (and related vision, goals, objectives) are clear and specific enough to drive the future given the recently completed FSAP Joint Strategic Plan, evolving nature of DSAT's work, and the differences in program focus between the FSAP and IPP. DSAT should create its own Operational Plan to include all of the work being/to be done (including FSAP- and IPP-related work). Requisite DSAT-specific workforce, succession, and other operation planning should follow.

- Build and enact a DSAT-wide Change Management Approach - the analysis highlights that there is insufficient attention paid to formal change management in DSAT. In particular, DSAT is undergoing tremendous change now with the ongoing implementation of eFSAP and eIPP information systems, planned movement of staff to the main CDC building, and other organization-wide initiatives. A formal change management approach is necessary to address negative morale (a topic which is addressed further in various elements below).

Element 2. Structure

A. Best Practice - Structure represents the way divisions/units are organized and includes guidance of <u>who</u> is accountable to <u>whom</u>. In other words, this element is most akin to an organizational chart. It is also one of the most visible elements of the framework.
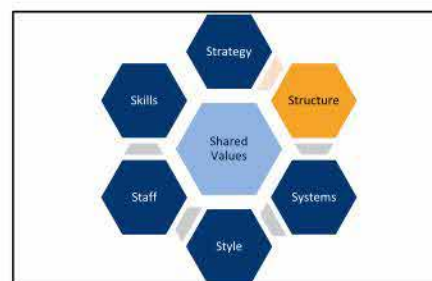
While no one design is appropriate for all organizations, there are general rules that enhance the ability of the organization to achieve, and sustain, mission fulfillment. Two of these are:

- Organized to ensure mission accomplishment. This includes both the line function - meaning the part of the organization charged with the work of the mission - and the support function – meaning the part of the organization that makes it possible for the line function to work effectively/efficiently.
- General consistency in span of control. This means that no one leader/manager has over 33.3% of the organization reporting up to, or through, them. Even in large organizations, the reporting structure has multiple officers reporting up to the President or CEO. This ensures equity across the organization and reduces unnecessary decision-making bottlenecks.

In sum, with respect to Structure - DSAT requires an organizational design that supports both the current mission and the strategic direction to be outlined in a DSAT-specific Operational Plan.

B. Interview Themes - The following themes and descriptions related to Structure were identified via the interviews/surveys. *Note: While some of the themes covered in this section may not coincide with current reality, they are representative of the perceptions of the interviewee group at the time the interviews were conducted.*

Theme	CPR Leadership	DSAT Leadership	DSAT Staff
DSAT not aligned with CPR	✓		
Stop internal turf battles	✓	✓	
No need to restructure DSAT	✓		
Clarify relationship FSAP/IPP	✓	✓	
No AgSAS inspections model	✓		
Add COO/Dep. Chief Ops roles		✓	
Revisit 4 inspections teams		✓	
Increase staff interaction		✓	
Lack of transparency			✓
Expand decision-making			✓
Reduce micromanagement			✓
Address perceived favoritism			✓
Address career advancement			✓
Improve ID/use of SOPs			✓

DSAT "Structure" Themes

(CPR Leadership)
- <u>DSAT not aligned with CPR</u> – DSAT somewhat separate/unique compared to other units within CPR
- <u>Stop internal turf battles</u> – particularly with respect to Operations and IT over resources and control
- <u>No need to restructure DSAT</u> – i.e., priority issues to address are largely non-structural

- Clarify relationship of FSAP and IPP – varying opinions of where IPP fits and if it should be its own Branch; while IPP also includes inspectors, its work is different (i.e., separate regulation) than the FSAP-based inspections that are performed by separate inspectors
- Do not apply AgSAS inspections model – no interest in applying "live near where you inspect" approach

(DSAT Leadership)
- Stop internal turf battles – particularly per Operations and IT over resources and control
- Clarify relationship of FSAP and IPP – varying opinions of where IPP fits and if it should be its own Branch
- Add Chief Operating Officer and a second Chief for Operations Branch – DSAT would benefit with a COO role to help manage day-to-day operations (particularly in coordinating efforts and communication); Operations Branch needs Deputy to help manage workload
- Revisit the four inspections teams model – current approach creates unnecessary competition
- Increase staff interaction – most DSAT work in offices/cubes so staff do not interact much with colleagues

(DSAT Staff)
- Lack of transparency in decision-making – need centralized communications, key updates
- Expand decision making authority – to help reduce bottlenecks (driven by multiple, related topics in the Staff interview responses including "expand decision-making, reduce micromanagement, and improve identification and use of SOPs)
- at the Operations Team Lead level
- Reduce micromanagement – some leaders tend towards micromanaging leading to a lack of trust/communication
- Address perceived favoritism – same people always chosen for special projects/workgroups
- Address career advancement – lack of promotions and transparency in how to advance, made worse with accumulated impact of limited DSAT training opportunities
- Improve identification and use of SOPs – state of constant change because of system changes; on SharePoint but difficult to find and not consistently followed

C. Other Pertinent Information - this section highlights information related to Structure from other sources/analysis.

Source	Information/Relevance
Employee Viewpoint Survey	• As noted above, Communication merits concern as Q2 "I have enough information to do my job well" dropped considerably for DSAT from 71.4% in 2017 to 60.3% in 2018. This appears to be due in part to bottlenecks caused by the current organization structure. • According to the response to Q30, "Employees have a feeling of personal empowerment with respect to work processes," only 37.0% in 2017 and 41.7% in 2018 responded affirmatively. This may be due in part to micromanagement. • According to the response to Q32, "Creativity and Innovation are rewarded," there was a drop from 45.3% in

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	2017 to 38.3% in 2017. This indicates the need to expand decision-making capability and autonomy down through the organization. • A "silo" effect across DSAT units appears to be in effect when considering that responses to Q59 - "Managers support collaboration across work units to accomplish work objectives" where the affirmative response fell from 63.7% in 2017 to 53.9% in 2018. • According to Q63 - "How satisfied are you with your involvement in decisions that affect your work"" the responses dropped from 41.2% in 2017 to 36.6% in 2018.
DSAT Managers 360 Feedback	• The item "Collaboration and Partnering - Works within the wider regulatory framework to project the public's health" was one of the top 10 rated items in this 360 Survey. This indicates understanding and skill working across organizations to achieve mission requirements.
CPR Alignment Study	• Concurrent to this study, CPR is undertaking a separate alignment study. DSAT should of course review results of that to-be-completed study and ensure appropriate alignment.

D. DSAT Priorities for Improvement - Importantly, a number of respondents (especially at the CPR level) stressed that DSAT need not restructure itself, simply to restructure. At the same time - span of control, decision-making bottlenecks, internal turf battles, inconsistent/insufficient communication, lack of delegated decision-making authority, and incompatibility between DSAT's FSAP and IPP responsibilities require action in this respect. In particular, DSAT should:

- Communicate a clear rationale (and related criteria) for reorganization – e.g., based on content in DSAT Operational Plan, integration of IPP into mission, current excess span of control of Operations Branch Chief, reconciling turf battles
- Split the deputy director position into two positions or add a Branch Chief of Management – ensure a with clear delineation of responsibility – one focusing on science, policy and communications and one focusing on management, personnel, budget and strategy
- Create a second Branch Chief position for Operations – to increase support for the largest branch of the organization, decrease the span of control and information bottlenecks and to support succession planning
- Create a Human Capital Manager - to drive special projects such as facilitating the effort to define the DSAT vision and values, development of a DSAT Operational Plan, developing a DSAT Change Management Plan, and other Communications/Culture based initiatives
- Create an expanded decision level matrix - to delegate decision-making authority down through the organization, as appropriate
- Develop a Career Ladder and Promotion Criteria – while DSAT staff's perception is that they are not promoted at the same rate as other CDC employees, there is some evidence that this is not the case. It is important to publicize this data to educate staff on the realities of the DSAT promotion rates. It is also important to create a career ladder that spells out specific responsibilities for staff at each grade level and step (i.e., a grade 12, step 1 should have different capabilities and responsibilities that a grade 12, step 5 or a grade 12 step 9).

Element 3. Systems

A. Best Practice - Systems are the processes and technology of the organization, which reveal daily activities and how work is completed. Systems can often be an immediate focus for managers during organizational change.
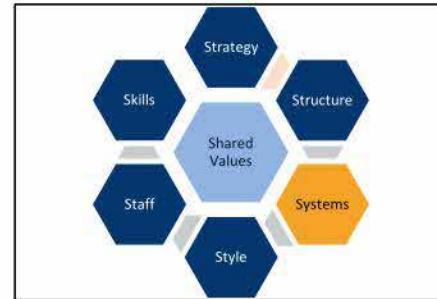
While organizations are different, in general all must pay attention to the "Golden Triangle" of people, process, and technology (and ensure each is aligned to support mission achievement). The "people" aspect is covered in the Staff and Skills elements below. In this section, we focus on "process" and "technology." A regulatory-based organization must pay particular attention that its processes are transparent, understood, re-usable, and supportive of compliance. In a similar sense (and heightened by DSAT's complex data-based activities), technology must be up-to-date, usable, interoperable, and mindful of security concerns.

In sum, with respect to Systems - DSAT must ensure that its processes and technology are adequately supporting program requirements.

B. Interview Themes - The following themes and descriptions related to Systems were identified via the interviews/surveys. *Note: While some of the themes covered in this section may not coincide with current reality, they are representative of the perceptions of the interviewee group at the time the interviews were conducted.*

Theme	CPR Leadership	DSAT Leadership	DSAT Staff
Continue focus on eFSAP modernization	✓	✓	
Upgrade all DSAT systems	✓	✓	
Address eFSAP inspector workload/transparency		✓	✓
Enhance internal operability across DSAT systems		✓	
Address eFSAP security/ accessibility in the field and access to NSAR legacy information			✓
Address culture shift per eFSAP inspections module			✓
Improve SharePoint usability			✓
Evolve PMAP metrics			✓

DSAT "Systems" Themes

(CPR Leadership)
- Continue focus on eFSAP modernization – this is seen as a well-placed DSAT priority
- Upgrade all DSAT systems over time – recent start on eFSAP necessary but not sufficient

(DSAT Leadership)
- Continue focus on eFSAP modernization – this is a well-placed priority for DSAT
- Upgrade all DSAT systems over time –DSAT Leadership are supportive of the recent/ongoing focus on eFSAP/eIPP information systems but are also concerned about the state of other DSAT related systems (such as SharePoint) over the longer term.
- Address eFSAP inspector workload and transparency concerns – eFSAP is a new system intended to create time savings and enable work transparency but in short term (1)

creating additional work in terms of testing, data entry, and data cleansing and (2) making some inspectors uncomfortable with added transparency

- Enhance internal operability across DSAT systems – cited as an ongoing issue

(DSAT Staff)

- Address eFSAP workload/transparency concerns – eFSAP is an improvement but perceived as adding to workload due to constant changes, data entry, and need to provide technical support to registered entities
- Address eFSAP security/accessibility in the field and access to NSAR legacy information – required for better application
- Address culture shift around eFSAP Inspections Module – eFSAP is good for moving work online but will require time
- Improve SharePoint usability – DSAT applies SharePoint for many purposes but staff find its use difficult and inefficient
- Evolve PMAP metrics – these provide more consistency than previous approaches

C. Other Pertinent Information - this section highlights information related to Systems from other sources/analysis.

Source	Information/Relevance
Employee Viewpoint Survey	• There is continuing lack of satisfaction with respect to organizational resources with only 54.9% responding favorably in 2018 to Q9 - "I have sufficient resources (for example, people, materials, budget) to get my job done" (although it is noteworthy this score rose from 43.5% in 2017). • As noted in the "Structure" element above, according to the response to Q30, "Employees have a feeling of personal empowerment with respect to work processes," only 37.0% in 2017 and 41.7% in 2018 responded affirmatively.
DSAT Managers 360 Feedback	• The item "Results Driven - Organizes processes and tasks using realistic timelines to achieve work accomplishments" was one of the <u>average</u> rated items in this 360 Survey. Similarly, the items "Public Service Motivation - Provides the tools and support others need to perform well and produce exceptional service" was another one of the <u>average</u> rated items in this 360 Survey.
"Structure" element of this study	• DSAT staff recommended via the survey/interviews that the organization must "Improve identification and use of SOPs – state of constant change because of system changes; on SharePoint but difficult to find and not consistently followed."

D. DSAT Priorities for Improvement - As essential as effective/efficient processes and systems are to any organization, this element poses the least immediate priority for DSAT (as compared to the other 7S elements). Most individuals in the organization have already generally "bought in" to

the idea of eFSAP and eIPP and realize that this is the process wave of the current and future. Nevertheless, the analysis suggests addressing certain needs. In particular, DSAT should:

- <u>Continue focus on eFSAP and eIPP modernization</u> - in particular, addressing workload, transparency/culture, security, and accessibility concerns
- <u>Upgrade all DSAT systems</u> - over time and ensure their interoperability
- <u>Ensure Standard Operating Procedures are available and followed</u> – Employ a partner to review current processes to determine the most effective and efficient way of completing mission critical work. Ensure all staff are following the same SOPs. This could be in the form of a Quality Assurance team. This follows similar recommendations highlighted in the recent FSAP and IPP Strategic Plans.
- <u>Address eFSAP workload/transparency concerns</u> – eFSAP is an improvement but perceived as adding to workload due to constant changes, data entry, and need to provide technical support to registered entities

Element 4. Shared Values

A. Best Practice - Shared Values are at the heart of 7S model. They are the norms and standards that guide employee behavior/actions and thus, are the foundation of every organization. High performing organizations have a set of mutually agreed upon organizational values that guide both leadership and staff in everyday behaviors. These become a way of interacting, getting things done, and an inherit part of the culture.
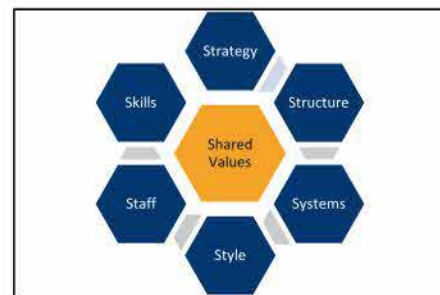
It is important to note though that an organization's "real" culture is not always readily apparent to all observers. According to noted expert, Edgar Schein, there are three levels to organizational culture: (1) <u>Artifacts</u> - include any tangible, overt, or verbally identifiable elements such as architecture, furniture, dress code, office banter, etc. These are the visible elements in a culture and can be recognized by people not part of the culture. (2) <u>Espoused values</u> - the organization's stated values and rules of behavior. These reflect how members represent the organization both to themselves and to others. Such are often expressed in official philosophies and public statements of identity (and can sometimes often be a projection for the future, of what the members hope to become). Examples of this would be employee professionalism, or a "family first" mantra. (3) <u>Shared basic assumptions</u> - the deeply embedded, taken-for-granted behaviors that are usually almost unconscious, but constitute the essence of culture. These assumptions are typically so well ingrained in the organizational dynamic that they are hard to recognize from within. *Source: Organizational Culture and Leadership: Edgar Schein (1985).*

In sum, with respect to Shared Values - DSAT must ensure that its shared basic assumptions, as defined above, are clarified and practiced.

B. Interview Themes - The following themes and descriptions related to Shared Values were identified via the interviews/surveys. *Note: While some of the themes covered in this section may not*

coincide with current reality, they are representative of the perceptions of the interviewee group at the time the interviews were conducted.

(CPR Leadership)
- DSAT currently does not have official organizational values – clarity needed on such to guide behavior, prioritization, inclusivity, and decision making
- Core values should support the regulatory mission – including ensuring IPP is an integrated entity

Theme	CPR Leadership	DSAT Leadership	DSAT Staff
DSAT has no official core values	✓	✓	✓
Core values should support regulatory mission	✓		
Address underlying gender and/or racial issues		✓	
Address me-first behavior		✓	
Address competitive, tense environment			✓
Address perception of underlying favoritism			✓

DSAT "Shared Values" Themes

(DSAT Leadership)
- DSAT currently does not have official organizational values – clarity needed to guide behavior, prioritization, inclusivity, and decision making
- Address underlying gender and/or racial issues – some interviewed referenced recurring issues
- Address me-first behavior – many in DSAT seen as focused on own interests and self preservation

(DSAT Staff)
- DSAT currently does not have official organizational values – need to help clarify direction and appropriate behavior
- Address competitive, tense environment – staff are hardworking, but work environment contributes to morale problems; encapsulated, silo-ed structure and operations contributes to lack of cohesiveness and collaboration
- Address perception of underlying favoritism – related to lack of accountability/transparency

C. Other Pertinent Information - this section highlights information related to Shared Values from other sources/analysis.

Source	Information/Relevance
Employee Viewpoint Survey	• Results Q17 - "I can disclose a suspected violation of any law, rule or regulation without fear of reprisal" was rated in 2017 as 62.1% and fell to 58.6% in 2018 • Results for Q22 - "Promotions in my work unit are based on merit" fell from 35.3% in 2017 to 31.5% in 2018 • Results for Q25 - "Awards in my work unit depend on how well employees perform their jobs" fell from 46.1% in 2017 to 31.8% in 2018 • Results for Q33 - "Pay raises depend on how well employees perform their jobs" increased slightly from the low scored 26.5% in 2017 to 31.1% in 2018

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	• Results for the moderately scored Q34 - "Policies and programs promote diversity in the workplace (for example, recruiting minorities and women, training in awareness of diversity issues, mentoring)" rose from 50.3% in 2017 to 60.4% in 2018 • Results for Q37 - "Arbitrary action, personal favoritism and coercion for partisan political purposes are not tolerated" fell from 56.7% in 2017 to 41.5% in 2018 • Results for Q38 - "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" fell from 66.2% in 2017 to 61.0% in 2018 • Results for Q40 - "I recommend my organization as a good place to work" remained roughly the same with 56.4% in 2017 and 58.4% in 2018 but remained below similar results for Ops and CPR • Results for Q49 - "My supervisor treats me with respect," remained high with 87.5% in 2017 and 85.0% in 2018 but response to Q55 - "Supervisors work well with employees of different backgrounds" continued to be rated less affirmatively with 54.5% in 2017 and 52.9% in 2018
DSAT Managers 360 Feedback	• According to a recent, composite 360 Degree Feedback for DSAT Leadership, the leadership cadre overall received composite high scores but those items most highly rated are external to the organization - customer service, collaboration and partnering, etc. while those poorly rated had to do with more internally focused resilience (accepts negative feedback constructively), and integrity (holds others accountable who are not acting with integrity or telling the truth; admits mistakes despite potential for negative consequences) • Additionally, across 360 Degree Leadership Assessment, the spread of data (with very high = 5 and very low = 1) was often significant. This indicates a wide range of perceived leadership skill amongst managers within DSAT.
FSAP Strategic Plan	• Shared Values were not explicitly identified in the FSAP Strategic Plan given that DSAT and AgSAS cut across two federal departments. No such constraint exists for DSAT.

D. DSAT Priorities for Improvement - As noted above, Shared Values provide the basis for a healthy organization and are supportive of movement/alignment with the other six elements in the model. This element rates right up with Strategy and Style (to be presented next) as most important for DSAT to address in the near-term. In particular, DSAT should:

- Define DSAT organization values/shared basic assumptions - engage leadership and staff in the process, helping them to see how clear values can support the organization and how those then map to expected personal conduct
- Create rollout plan for values/shared basic assumptions - including, but not limited to, communications plan, identification of risks/mitigations, etc.
- Enhance "accountability" culture - Commensurate with recommendations in Staff element, build out accountability system focused on performance
- Provide coaching – Continue the leadership coaching offered as part of the 360-assessment process; engage coaches in identifying leadership behaviors that support the organizational values

Element 5. Style

A. Best Practice - Style represents the way the organization is managed by top-level managers, how they interact, what actions they take, and their symbolic value. In other words, it is the management style of the organization's leaders. High performing organizations have a core leadership team that brings a large degree of trust and mutual respect for one another. They typically meet often and openly share successes and challenges. They depend on one another for moral and intellectual support.
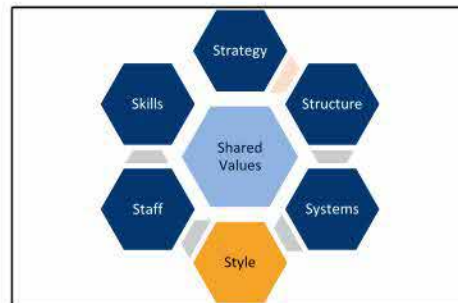
By extension, DSAT is undergoing significant change. According to Prosci, leadership/ sponsorship was cited as the number-one contributor to change success in all its change management benchmarking studies over the last two decades. Best practices show three high-level roles of the leader/sponsor: (1) actively and visibly participating in the change, (2) building the coalition of support with other senior leaders and managers, and (3) communicating directly with employees about the business reasons and nature of the change. See www.prosci.com Unfortunately, sometimes even the most experienced leaders do not demonstrate effective leadership/sponsorship around change. Some may not have experience in this role and do not know what it looks like. Others may find that competing priorities result in less than optimal involvement. These areas for improvement must be addressed.

Theme	CPR Leadership	DSAT Leadership	DSAT Staff
Build relationship between executive leadership and staff	✓		
Director's priorities correct but must also manage change	✓		
Lack clear senior leader vision		✓	✓
Leadership team is disjointed		✓	✓
Senior leaders not engaged in what staff need/do		✓	✓
Senior leaders need to model accountability, transparency, delegation of authority and decision making		✓	
Telework and work schedules limit in-person collaboration			✓

DSAT "Style" Themes

In sum, with respect to Style - DSAT must ensure that its senior leaders take an active role in managing change and addressing the needs of all DSAT staff.

B. Interview Themes - The following themes and descriptions related to Style were identified via the interviews/surveys. *Note: While some of the themes covered in this section may not coincide with*

current reality, they are representative of the perceptions of the interviewee group at the time the interviews were conducted.

(CPR Leadership)
- <u>Build relationship between executive leadership and staff</u> – *with* particular focus required on culture, soft elements
- <u>Director's priorities are appropriate</u>: (1) to move DSAT into information age and (2) on external relationship building – these should continue
- <u>Director must also manage resulting internal change</u> – and this should be enhanced/increased

(DSAT Leadership)
- <u>Lack of clear and consistent DSAT vision</u> – this needs to be clarified at senior leadership level
- <u>Leadership team is disjointed</u> – does not consistently demonstrate mutual respect (and this is noticed throughout DSAT)
- <u>Senior leaders need to model accountability, transparency, delegation of authority and decision making more effectively</u>
  - Little transparency in decision making and personnel decisions
  - Leaders are perceived as being risk adverse
  - Leaders are seen as valuing loyalty over performance

(DSAT Staff)
- <u>Lack of clear and consistent DSAT vision</u> – including related messaging
- <u>Leadership disjointed</u> – styles vary greatly/work amongst DSAT branches silo-ed
- <u>Senior leadership not seen as having appreciation or understanding of what staff really do</u> – examples include Director not going on inspections, and decisions being made with little consideration of staff input or impacts
- <u>Telework (although appreciated) and work schedules limit face-to-face collaboration</u>

C. Other Pertinent Information - this section highlights information related to Style from other sources/analysis.

Source	Information/Relevance
Employee Viewpoint Survey	• Results for the Effective Leadership - Senior Leaders composite fell from 42.6% in 2017 to 38.9% in 2018 while the Effective Leadership - Supervisors composite rose from 67.5% in 2017 to 69.0% in 2018 • In particular, representative Effective Leadership - Senior Leaders composites responses include Q53 - "In my organization, senior leaders generate high levels of motivation and commitment in the workforce" which fell from 33.2% in 2017 to 26.8% in 2018 plus Q54 - "My organization's senior leaders maintain high standards of honesty and integrity" which fell from 55.2% in 2017 to 35.0% in 2018, Q66 - "How satisfied are you with the policies and practices of your senior leaders?" stayed

	measurably low with 24.8% in 2017 and 29.6% in 2018 and finally an uptick in Q64 - "How satisfied are you with the information you receive from management on what's going on in your organization?" which went from 39.3% in 2017 to 46.7% in 2018. • Results from Q41 - "I believe the results of this survey will be used to make my agency a better place to work" fell from 35.5% in 2017 to 32.7% in 2018
DSAT Managers 360 Feedback	• According to a recent, composite 360 Degree Feedback for DSAT Leadership, the leadership cadre overall received composite high scores but those items most highly rated are external to the organization - customer service, collaboration and partnering, etc. while those poorly rated had to do with more internally focused resilience (accepts negative feedback constructively), and integrity (holds others accountable who are not acting with integrity or telling the truth; admits mistakes despite potential for negative consequences) • The 360 Degree Leadership Assessment also highlights a relatively high score for Communication - Articulates the organization's vision, mission, values, and goals (even though that result does not comport with other data gathered in this study) • Additionally, across 360 Degree Leadership Assessment, the spread of data (with very high = 5 and very low = 1) was often significant. This indicates a wide range of perceived leadership skill amongst managers within DSAT.

D. DSAT Priorities for Improvement - As noted above, Style provides the basis for managing significant change and being a direct conduit to all staff in communications and support. This element rates up with Strategy and Shared Values as most important for DSAT to address in the near-term.   Moreover, further attention is merited on the dynamic between senior leaders and mid-level supervisors.   The data related to this element indicates a general favorability of immediate supervisors and a relative distrust for leadership not in direct supervision. This may be driven directly or indirectly (i.e., often manifesting from supervisors who do not know or do not share information around senior level decisions and the rationale for those decisions or alternatively "curate" information from above to put themselves in the best possible position vis-à-vis direct reports). In particular, DSAT should:

- Take advantage of potential quick wins to build trust - Senior leaders should participate in inspections, and provide additional forums for employees to have equal access to senior leadership (e.g., town halls, "Leader Lunches," etc.)
- Integrate senior leaders with staff more holistically over time - ensure working groups where senior leaders and staff actively work together to achieve outcomes include the Program Management Branch into the working groups.
- Implement a Leadership Development program for all DSAT leaders from senior leaders to team leads – all DSAT leaders need to understand how to create a performance-based and accountable culture. To do this, leaders need to be on the same page in terms of leadership

philosophy and methods. This training will include subjects such as difficult conversations, creating accountability, decision making, how to manage multi-generational workforce, etc. (a full agenda will be provided in the action plan report)

- <u>Provide change management training for all leaders</u> – DSAT leadership needs to understand the process people go through in times of change and how to support their people (a full agenda will be provided in the action plan report)
- <u>Continue coaching to support leadership development</u> - offer focused coaching to leaders as they adapt their own personal leadership styles to the needs of the broader organization
- <u>Implement a one day a week office policy on a team basis</u> – to address the disjointed nature of staff and lack of collaboration, implement a policy whereby an entire team is required to be in the office one day a week. Teams would overlap with other teams, thus allowing teams to collaborate more easily

Element 6. Staff

A. Best Practice - The Staff element is concerned with what type and how many employees an organization will need and how they will be recruited, trained, motivated, and rewarded. This needs to be closely aligned with the mission, vision and strategic plan of the organization. For instance, if an organization's mission is stable, and no more will be expected of it, the staffing levels should remain stable; however, if an organization's mission is expanding, future demands will impact staffing levels.
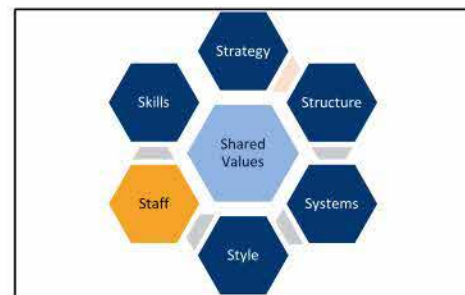
Additionally, it is essential here to consider morale and retention. This is especially the case in DSAT where it can take a full year or two to get an inspector fully "up to speed." According to Daniel Pink in <u>Drive: The Surprising Truth About What Motivates Us</u>, the evidence of scientific studies on motivation and rewards suggests that, for any work task that involves more than the most basic cognitive challenge, basic financial reward systems simply do not work. In fact, they can lead to worse performance. For simple, straightforward tasks, Pink concedes that traditional financial rewards or a carrot-and-stick approach to motivation do work. These can be considered as "external" methods of motivation.   He accepts that money is a motivator at work, but once people perceive that they are paid fairly, then they become much more motivated by intrinsic elements. As a result, Pink introduces the concept of "intrinsic" motivators. These are (1) autonomy - self-direction, ability to control one's own life, (2) mastery - continually improve at something that matters, and (3) purpose - desire to do things in service of something larger than ourselves.

In sum, with respect to Staff - DSAT must ensure that it continues to attract the best human capital while also paying attention to subsequent morale and retention.

B. Interview Themes - The following themes and descriptions related to Staff were identified via the interviews/surveys. *Note: While some of the themes covered in this section may not coincide with current reality, they are representative of the perceptions of the interviewee group at the time the interviews were conducted.*

(CPR Leadership)
- <u>DSAT staff exhibiting burnout and dissatisfaction</u> – this is based on observation and hearsay from CPR level
- <u>DSAT staff require additional training in technical, soft, and cross functional skills</u> – not always keeping up with trends
- <u>Lack of consistency in inspections</u> – as reported by Registered Entities
- <u>Need to address lack of succession planning</u> – many positions only one deep

(DSAT Leadership)
- <u>DSAT staff suffering from burnout (from the amount of change, the culture, excessive travel, etc.) and dissatisfaction</u> – a number of inspectors have left to become Responsible Officials at Registered Entities
- <u>DSAT staff require additional training in technical, soft, and cross functional skills</u> – not always keeping up with trends
- <u>Concern that inspectors neither attending/speaking at conferences</u> – limits ability to stay up with applicable trends in science
- <u>Address lack of succession planning</u> – positions one deep
- <u>Need to keep staff engaged</u> – especially with traditional workload diminishing per implementation of eFSAP

Theme	CPR Leadership	DSAT Leadership	DSAT Staff
Staff burnout/dissatisfaction	✓	✓	
Need additional training	✓	✓	✓
Staff not up to date with trends via conferences		✓	✓
Lack of consistent inspections	✓		
Address succession planning	✓	✓	
Need to keep staff engaged given diminishing workload		✓	
Inspectors feel overworked			✓
Address lack of advancement			✓
DSAT unprepared for multi-generational workforce			✓
Communications needs improved across board			✓

DSAT "Staff" Themes

(DSAT Staff)
- <u>Training/skill development needs improved</u> – IT skills and technical savvy lacking and training in general lacks rigor (not scenario/case based)
- <u>Concern that inspectors neither attending nor speaking at conferences</u> – limits ability to stay up with applicable trends in science
- <u>Inspectors feel overworked</u> – based on differing skill/experience levels, turnover, and staffing imbalance in teams
- <u>Address lack of advancement/promotions</u> – contributing factor to retention issues
- <u>DSAT unprepared to deal with multi-generational workforce</u> - With recent hires the age range of DSAT employees is widening and DSAT Staff interviews summary suggests some concern with whether DSAT Leadership knows how to address this from their collective vantage point.
- <u>Communications needs improvement at all levels</u>

C. Other Pertinent Information - this section highlights information related to Staff from other sources/analysis. There were multiple data sources for this element including AgSAS workload analysis, data from IPP on a risk-based approach, and data from Operations on future staffing needs. That data is presented following the table on EVS/360 information.

Source	Information/Relevance

Employee Viewpoint Survey	• Results for Employee Engagement Index - Intrinsic Work Experience composite fell from 70.8% in 2017 to 65.5% in 2018 with two questions in particular dragging down composite results, i.e., Q11 - "My talents are used well in the workplace" remaining generally low with 43.4% in 2017 and 47.9% in 2018 and Q3 - "I feel encouraged to come up with new and better ways of doing things" which fell from 66.1% in 2017 to 54.9% in 2018 • Results for Satisfaction Composite were low but rose slightly moving from 45.5% in 2017 to 48.7% in 2018; nevertheless, scores continued below 50% for each of the follow constituent items: Q63 - "How satisfied are you with your involvement in decisions that affect your work?" Q64 - "How satisfied are you with the information you receive from management on what is going on with the organization?" Q66 - "How satisfied are you with the policies and practices of your senior leaders?" Q67 - "How satisfied are you with your opportunity to get a better job in your organization?" • For Q71 - "Considering everything, how satisfied are you with your organization" the score of 54.4% in 2017 fell to 52.6% in 2018.
DSAT Managers 360 Feedback	• According to a recent, composite 360 Degree Feedback for DSAT Leadership, the leadership cadre overall received composite high scores but those items most highly rated are external to the organization - customer service, collaboration and partnering, etc. while those poorly rated had to do with more internally focused items. In particular, this includes Develops People (Acts as a developer of people), resilience (accepts negative feedback constructively), integrity (holds others accountable who are not acting with integrity or telling the truth; admits mistakes despite potential for negative consequences) • Additionally, across 360 Degree Leadership Assessment, the spread of data (with very high = 5 and very low = 1) was often significant. This indicates a wide range of perceived leadership skill amongst managers within DSAT.

Workload Analysis

APHIS/AgSAS recently implemented a survey designed to assess the inspectors' workload. They expanded the survey to include all of DSAT (IPP activities were largely left out so IPP implemented its own and data was provided to CI International directly versus data being provided by APHIS for all other DSAT employees). While the data is included in this report, there are many issues that call into question its validity. Those include:

• Design of the assessment only utilizes self-reported data making the data subjective
• Design of the assessment assumes every employee is operating at 100% capacity

- Response rate was not 100% - only 68 employees completed the survey with usable data – several were not completed correctly and therefore the data was not reflected
- Many of the respondents were categorized under the wrong department (e.g. Von McClee is included in Coordination, Penney Reese in Program Management).

Workload Analysis Detail

Issues notwithstanding, a summary of the data is provided. When taking all the surveys together, the percentage of time spent on each of the work activities is depicted here. Of particular note is the amount of time spent on inspections versus all other activities.

Another interesting view of the data is to look at current versus ideal staffing levels per department. Note - this data depicts a steady mission with no additional demands on staff (i.e., current state). The data is derived by individuals assessing the number of hours that they work over a 40-hour week. One interesting trend in workload and workforce analysis is that the average work week is 43 hours versus 40 hours, meaning non-exempt employees in the United States should expect to work more than 40 hours per week.

Overall Time Distribution by Category
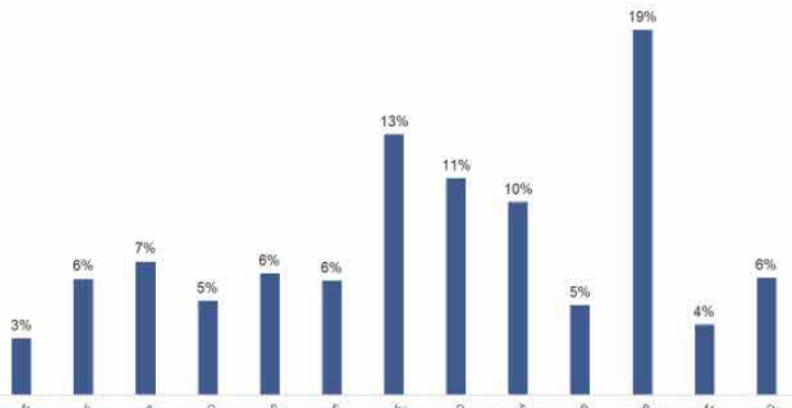
Current FTEs vs. Reported Ideal FTEs by Function

Note: A slide deck containing the full analysis will be delivered as a separate file.
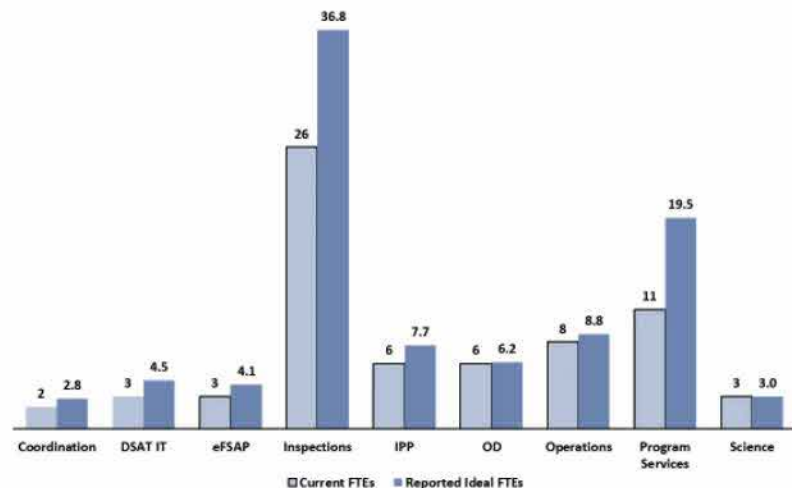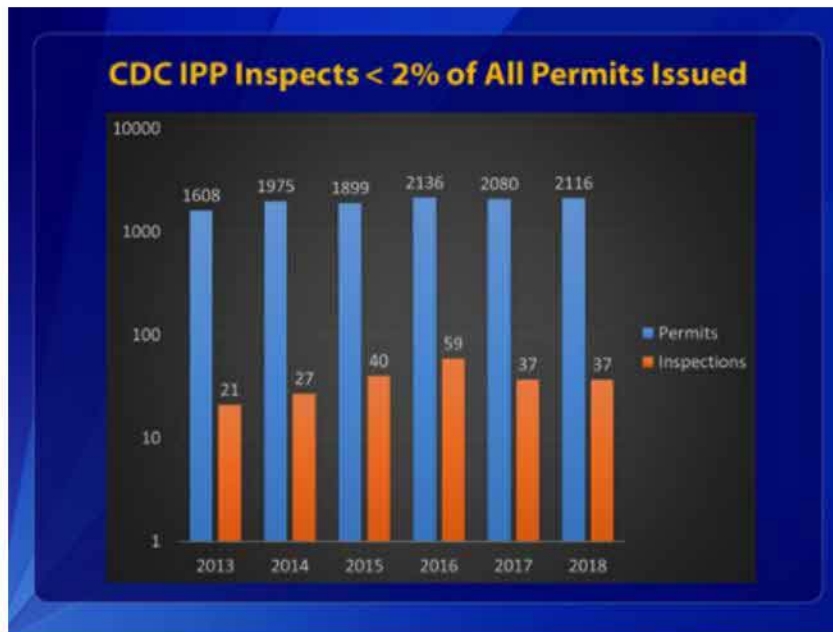
Inspection Projection Data – IPP

The following data was provided to CI International by Thomas Cremer and attempts to codify the present and possible future state of the IPP Inspection landscape. *Note: While some of the themes*

covered in this section may not coincide with current reality, they are representative of the perceptions of the interviewee group at the time the interviews were conducted.

As noted in the graphic, currently IPP inspects less than 2% of all applications. There is a proposal to increase the number of inspections by taking a risk-based approach. This approach seeks to inspect all the highest containment level (BSL-3) applications and 5-20% of the moderate containment level (BSL-2) applications. This decision will have impacts on current staffing levels and responsibilities of staff. The graphics below depicts possible staffing needs if this approach is approved and implemented.

FSAP 2019 Inspection Projection Data

This data was provided to CI International by Von McClee and is a SWAG that was developed to identify the minimum number of staff needed to conduct inspections (~190/year), including a percentage range for travel. This data depicts the current needs and does not take into consideration additional inspection rates. *Note: This data was provided by the Operations Branch Chief. It is not a recommendation but input into an analysis of current and future staffing needs.*

FSAP					
# inspections/site visits	Average Length of Inspection	Percentage of travel	Available workdays	Number of Personnel	Total Number of Personnel Needed
190	5	25%	225	16.88888889	50.66666667
190	5	30%	225	14.07407407	42.22222222
190	5	35%	225	12.06349206	36.19047619
190	5	40%	225	10.55555556	31.66666667

**Average length of inspection: 3 days + 2 travel days = 5
**Total number of inspectors: average per inspection team = (3) times number of personnel (1)   **# of
inspections: Average for 2016 (152), 2017 (138), and 2018 (~190) plus 30.
**NBAF and USAMRIID registration will start in 2019 which will significantly increase inspection numbers.
**Numbers do not include pre/post inspection activities, amendments, working groups, etc.
**Current # of FSAP Inspectors: 29 (minus TLs)
**Recommendation: 36-38 Inspectors

IPP					
# inspections	Length of Inspection	Percentage of travel	Available workdays	Number of Personnel	Total Number of Personnel Needed
60	4	25%	225	4.266666667	8.533333333
60	4	30%	225	3.555555556	7.111111111
60	4	35%	225	3.047619048	6.095238095
60	4	40%	225	2.666666667	5.333333333

**Current # of IPP Inspectors: 5 (minus TLs); 1 selections recently made (6)
**Average length of inspection: 2 days + 2 travel days = 4
**Total number of inspectors: average per team (2) times number of personnel (1)
**# of inspections: Average number of inspections for 2016, 2017, and 2018 plus 12
**Recommendation: 7 inspectors

Note: The data from the APHIS workload analysis of overtime worked by Inspectors supports the Operations Branch Chief's estimated number of employees needed. While both analyses are subjective, there is synergy between the two estimates.

D. DSAT Priorities for Improvement - As noted above, the Staff Element provides the basis for recruiting, hiring, and retaining the right (and best) human capital for DSAT. In the case of DSAT, there are several areas that could expand the need for staff. One example is the number of select agents and toxins that are within the inspector's authority to assess. Another area is the number of entities that are inspected each year. A third area is the percentage of import permits entities that are inspected each year. These questions would be answered with a DSAT vision and strategic plan. In particular, DSAT should:

- Continue Succession Planning – While DSAT has begun the process of succession planning, it should be continued and modified as needed based on decisions made on the organization's structure. The projects should start with leadership and move to staff positions.
- Develop and implement a DSAT Workforce Strategy - once decisions are made about the direction and future state of DSAT (inclusive of its FSAP- and IPP-related programs), future staffing needs can be clarified, not only in the number of actual Inspectors, but also in the staff needed to support additional inspections. Those areas will include policy, training, program management, and those that support inspection logistics and IT-eFSAP and eIPP.
- Conduct Business Process Reengineering to improve mission critical processes and ensure all current work is required to achieve the mission – this would allow for efficiencies of the new systems to be integrated in a consistent way across inspection teams and would identify those processes that are not longer needed to do the work. Note that this recommendation goes along with the standardizing of SOPs discussed in the element of Systems
- Conduct an analysis of inspection data based on eFSAP and eIPP data - At least one year from now, engage a data specialist to analyze eFSAP and eIPP data to determine workload, trends in inspection outcomes, training needs – this would provide means to conduct a more detailed, quantitative analysis of the work in operations
- Create a DSAT Retention Strategy - Continue to assess/understand root causes of morale and retention issues; create joint Leadership/staff committee to address
- Provide Change and Resilience training for staff – this will help all understand and appreciate what one goes through when change is implemented and how to effectively respond

Element 7. Skills

A. Best Practice - Skills are the abilities that organization's employees perform well. They also include capabilities and competences. During organizational change, the question often arises as to what skills the organization will really require, reinforcing its new strategy or new structure.

Of course, the complex scientific and related skills required for DSAT work are well chronicled. Nevertheless, the organization should not lose sight of the broader "soft" skills needed to succeed in the workplace. For instance, according to a recent US Chamber of Commerce study - Life in the 21st Century Workforce: A National Perspective, five soft skills are highlighted as most important when it comes to getting hired and being successful in the workplace: (1) ability and willingness to learn new skills, (2) critical thinking and problem solving, (3) collaboration and team work, (4) interpersonal communication, and (5) ability to analyze and synthesize information.
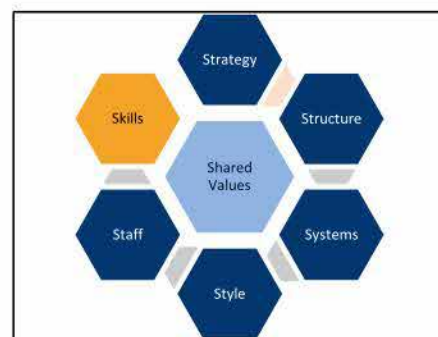
In sum, with respect to Skills - DSAT must ensure that it continues to balance its training and related efforts across hard and soft skills.

B. Interview Themes - The following themes and descriptions related to Skills were identified via the interviews/surveys. *Note: While some of the themes covered in this section may not coincide with current reality, they are representative of the perceptions of the interviewee group at the time the interviews were conducted.*

(CPR Leadership)
- DSAT has a strong reputation, performs its regulatory mission well – this has remained consistent through the years

(DSAT Leadership)
- DSAT has a good reputation, it performs its core mission well
- Inspections evolving to a more flexible, consultative style – inspectors will have to adapt accordingly
- DSAT staff have skills gaps in certain technical areas and in overall IT savvy – also technical training needs to be more case based
- L3/L4 labs pose a particular challenge – require very experienced inspectors

Theme	CPR Leadership	DSAT Leadership	DSAT Staff
DSAT has a strong reputation, performs mission well	✓	✓	✓
Inspections evolving to more flexible, consultative style		✓	
Skills gaps in certain technical areas and overall IT savvy		✓	
L3/L4 labs pose particular challenge, as require very experienced inspectors		✓	
Need better training + more conference attendance			✓
Need for specialized trainings in certain SME topics			✓
Need improvement in interpersonal/ communications skills			✓

DSAT "Skills" Themes

(DSAT Staff)
- DSAT is successful at achieving its mission – this has remained consistent through the years
- Need better training and more conference attendance – to align skillsets with current trends and ensure inspector knowledge remains at least level with Registered Entities (as they attend these conferences as well)
- Need for specialized trainings in certain subject matter expert (SME) topics – particularly on facilities and security
- Need improvement in interpersonal and communication skills – across the board

Source	Information/Relevance
Employee Viewpoint Survey	• Results for Employee Skills Match Index composite fell slightly from 80.7% in 2017 to 76.5% in 2017 with two notable response in particular, i.e., Q5 - "I like the kind of work that I do" falling from 93.7% in 2017 to 82.5% in 2018 and Q11 - "My talents are used well in the workplace" remaining low with 43.4% in 2017 and 47.9% in 2018
• Results for the Talent Management Index composite rose somewhat from the low 46.9% in 2017 to middling 54.4% in 2018; noteworthy sub-items to this index include Q1 - "I am given a real opportunity to improve my skills in my organization" rising from 51.7% in 2017 to 59.4% in 2018;

	Q18 - "My training needs are assessed" rising from the very low 25.5% in 2017 to the still low 45% in 2018; Q21 - "My work unit is able to recruit people with the right skills'" which rose slightly from 41.0% in 2017 to 43.7% in 2018; and Q68 - How satisfied are you with the training you receive for your present job?" which rose slightly from the low score of 42.5% in 2017 to 45.9% in 2018
DSAT Managers 360 Feedback	• According to a recent, composite 360 Degree Feedback for DSAT Leadership, the leadership cadre overall received composite high scores but those items most highly rated are external to the organization - customer service, collaboration and partnering, etc. while those poorly rated had to do with more internally focused items. In particular, this includes Develops People (Acts as a developer of people, Creates developmental opportunities for employees to be more effective in their roles, Champions employee learning and development by coaching, mentoring, and developing people for career growth and performance, Ensures others receive the training and resources they need to be successful) • Additionally, across 360 Degree Leadership Assessment, the spread of data (with very high = 5 and very low = 1) was often significant. This indicates a wide range of perceived leadership skill amongst managers within DSAT.

C. Other Pertinent Information - this section highlights information related to Skills from other sources/analysis. In addition to the EVS data and the 360-degree leadership data, CI International performed a skills assessment for DSAT Operations and the Program Management Branches. That data is presented following the table on EVS/360 information.

Skills Assessment Data

CI International conducted a skills-assessment for all Inspector positions and all Program Management Staff. Other DSAT offices were either too small or too diverse in their skill set per which to implement an assessment. *Note: All group reports will be sent as a separate file.*

DSAT Inspector Skills Assessment

This assessment was based on the Functional Competency Model for FSAP and IPP Inspectors. Every employee completed an individual assessment along with their supervisor and received an individual report comparing the "self" and "supervisor" ratings on their current proficiency level. The following is a breakdown of the population:
   • Grade 11/12 – Seventeen participants and their supervisors
   • Grade 13 – Twenty-two participants and their supervisors
   • Grade 14 – Seven participants and their supervisors

The employee was then asked to set up a time to discuss the report with their supervisor and create an Individual Development Plan. In addition to individual reports, team leads received a team group report and the Branch Chief received a group report for the entire Branch. Below are the key areas of strength and needs for the Operations Branch based on GS level. The gaps are derived from the minimum requirement levels set when the model was created (see Appendix for the DSAT Inspector Competency Model and required ratings).

Inspectors Grade 11/12

	Biological and Microbiological Sciences	Biosafety Principles	Communication	Continuous Improvement	Decision Making and Problem Solving	Inspection Functions	Interpersonal Effectiveness	Laws and Regulations	Leadership	Partnership and Collaboration	Resilience	Technical Assistance	Biological Toxin Sciences	Incident Response	Registration	Security	Permit Processes
Self	0.7	0.9	1.0	0.7	0.9	0.9	1.3	0.5	1.1	0.9	0.9	0.9	0.4	0.8	0.7	0.9	0.9
Supervisor	0.2	0.4	0.4	0.3	0.3	0.2	0.6	0.3	0.4	0.5	0.5	0.3	-0.4	0.1	0.1	0.1	1.4

For the Grade 11/12 Inspectors (17 inspectors and their supervisors), the required rating is designated at 2-Intermediate. In almost all competencies, the current ratings – both the self and supervisor – were above the intermediate level, thus creating a positive gap between .1 and 1.4. Only in Biological Toxin Sciences did the supervisor rating fall below the required, thus creating a negative gap of .4. This would be the primary development need for grades 11/12.

One additional conclusion that might be drawn from this data is that the required rating for this grade level is too low.

Inspectors Grade 13

	Biological and Microbiological Sciences	Biosafety Principles	Communication	Continuous Improvement	Decision Making and Problem Solving	Inspection Functions	Interpersonal Effectiveness	Laws and Regulations	Leadership	Partnership and Collaboration	Resilience	Technical Assistance	Biological Toxin Sciences	Incident Response	Registration	Security	Permit Processes
Self	0.0	0.2	0.3	0.2	0.3	0.4	0.2	0.3	0.3	0.3	0.2	0.3	-0.4	0.2	0.1	-0.1	1.0
Supervisor	0.0	0.2	0.1	0.0	0.1	0.4	0.0	0.0	0.1	0.1	0.0	0.1	-0.2	0.3	0.2	0.2	1.0

For the Grade 13 Inspectors (a total of 22 inspectors and their supervisors), the required rating is designated at a 3-Advanced. Although the positive gaps are considerably smaller than in the grades 11/12, they are still mostly on the positive side, meaning strengths. The competency of Biological Toxin Sciences has the largest negative gap of -.4 from self-ratings and -.2 from supervisor ratings. The only other negative gap in the Security competency with a -.1 from self-ratings.

Inspectors Grade 14

	Biological and Microbiological Sciences	Biosafety Principles	Communication	Continuous Improvement	Decision Making and Problem Solving	Inspection Functions	Interpersonal Effectiveness	Laws and Regulations	Leadership	Partnership and Collaboration	Resilience	Technical Assistance	Biological Toxin Sciences	Incident Response	Registration	Security	Permit Processes
Self	-0.4	-0.1	-0.3	-0.5	-0.2	0.0	-0.3	-0.3	-0.3	-0.2	-0.3	-0.2	-0.7	-0.2	-0.3	-0.2	-0.1
Supervisor	-0.1	0.2	-0.4	-0.4	-0.3	0.2	-0.4	0.1	-0.3	-0.1	-0.6	0.0	-0.5	-0.3	0.0	-0.4	0.5

A total of seven GS14s completed the assessment along with their supervisors. The required ratings for Grade 14s cut across the 3-Intermediate and 4-Expert. For the purposes of this analysis, the required rating used was a 3.5. Both self and supervisors agree that the current proficiency tends to be lower than the required ratings of 3.5 with the largest negative gap being in Biological Toxin
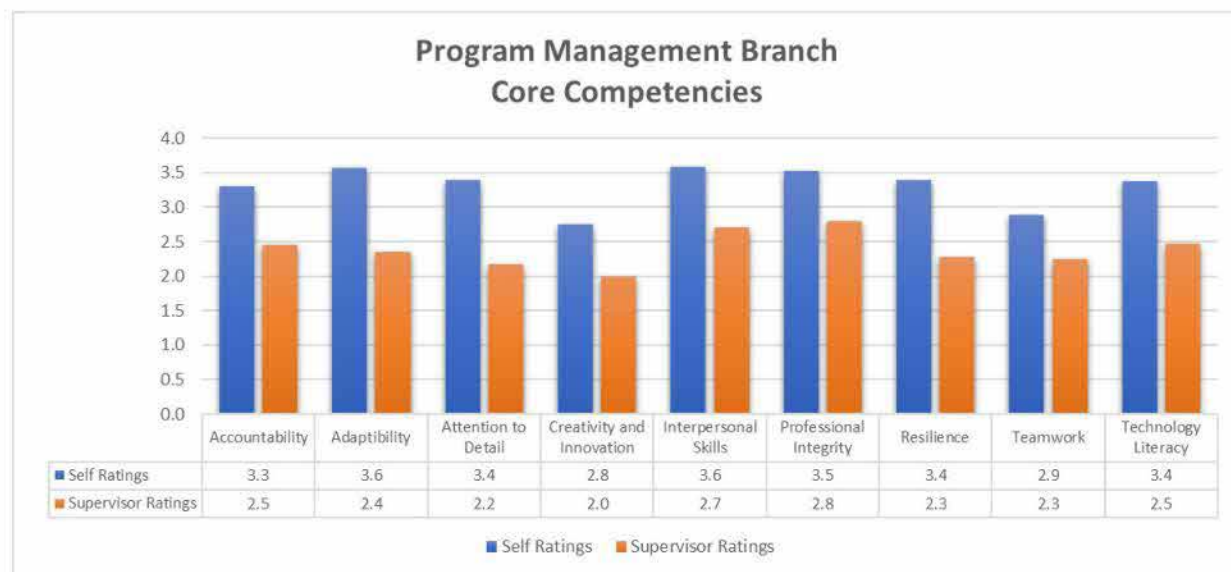
Sciences. Other negative gaps worth noting are in Communication, Continuous Improvement, Interpersonal Effectiveness, Resilience, and Security.

Across all three grade levels, Biological Toxin Sciences suggests a particular development need and therefore, should be a focus of training in the near future.
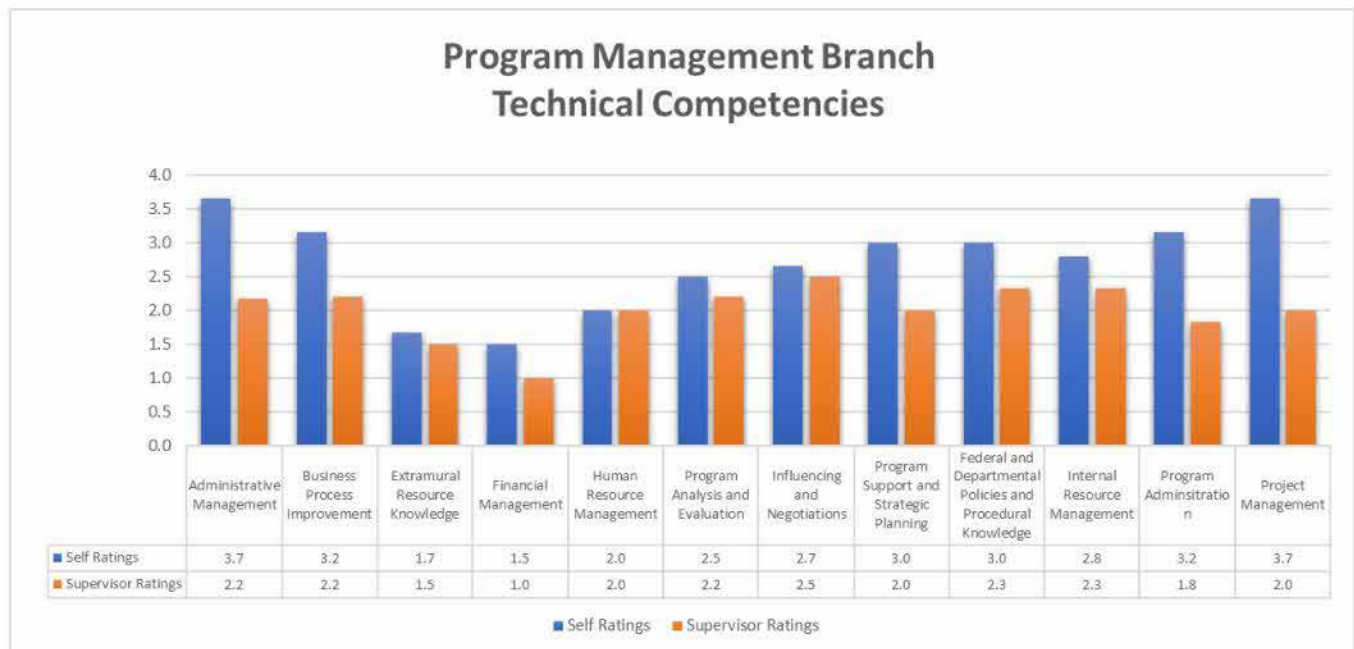
DSAT Program Management Branch

The Program Management Branch Supervisors utilized a compilation of core and technical competencies from the CDC competency models for like positions. The branch utilized the same approach as the Operations Branch with every employee completing the assessment for themselves and the supervisor doing the same for each employee. At the time of the assessment, there were no set required proficiency levels, so the supervisors set required ratings for each of their staff as part of a follow up conversation. CI International does not have the required ratings at this time so the following data is for the current proficiency only.

Program Management Branch Core Competencies

	Accountability	Adaptibility	Attention to Detail	Creativity and Innovation	Interpersonal Skills	Professional Integrity	Resilience	Teamwork	Technology Literacy
Self Ratings	3.3	3.6	3.4	2.8	3.6	3.5	3.4	2.9	3.4
Supervisor Ratings	2.5	2.4	2.2	2.0	2.7	2.8	2.3	2.3	2.5

For the core competencies, there is a significant difference in current ratings between self and supervisors where the supervisor's ratings are consistently lower by a range of .6 to 1.2. This indicates that staff may need clarification of expectations as well as training in several core competencies, most notably Accountability, Adaptability, Attention to Detail, and Resilience (all were over a 1-point difference).

CI International

Program Management Branch Technical Competencies

	Administrative Management	Business Process Improvement	Extramural Resource Knowledge	Financial Management	Human Resource Management	Program Analysis and Evaluation	Influencing and Negotiations	Program Support and Strategic Planning	Federal and Departmental Policies and Procedural Knowledge	Internal Resource Management	Program Adminsitration	Project Management
Self Ratings	3.7	3.2	1.7	1.5	2.0	2.5	2.7	3.0	3.0	2.8	3.2	3.7
Supervisor Ratings	2.2	2.2	1.5	1.0	2.0	2.2	2.5	2.0	2.3	2.3	1.8	2.0

The technical competencies also had significant differences in ratings with some being well over 1-point apart. Those include Administrative Management, Business Process Improvement, Program Support and Strategic Planning, Program Administration and Program Management. Of the remaining competencies, there was agreement in the current proficiency levels of Extramural Resource Knowledge and Human Resource Management.

D. DSAT Priorities for Improvement - As noted above, Skills provides the "raw material" that allows DSAT employees to accomplish the organization's complicated mission. The analysis suggests a complex milieu, however, with the need to balance technical skill development with additional soft skill training. In particular, DSAT should:

- Implement a Leadership Development program for all DSAT leaders from senior leaders to team leads – all DSAT leaders need to understand how to create a performance-based and accountable culture. To do this, leaders need to be on the same page in terms of leadership philosophy and methods. This training will include subjects such as difficult conversations, creating accountability, decision making, how to manage multi-generational workforce, etc. (a proposed agenda will be provided in the action plan report)
- Provide change management training for all leaders – DSAT leadership needs to understand the process people go through in times of change and how to support their people (a full agenda will be provided in the action plan report)
- Provide coaching to support leadership development - offer focused coaching to leaders as they adapt their own personal leadership styles to the needs of the broader organization
- Create a Conference/Event Strategy - Identify key conferences and other events with attendance strategy to maximize DSAT participation/brand while sharing lessons learned across all staff
- Create/update DSAT Training Plan and Delivery - update training offerings for inspectors and the Program Management Branch to address their specific technical training needs
- Assess core competencies - conduct a detailed DSAT skills assessment in 12-18 months based on core competencies derived from the organizational values

Appendix: DSAT Inspector Competency Model

Functional Competency Model for FSAP and IPP Inspectors

Introduction   The **Federal Select Agent Program (FSAP)** is managed jointly by the HHS/Centers for Disease Control and Prevention (CDC)/Division of Select Agents and Toxins (DSAT) and the USDA/Animal and Plant Health Inspection Service (APHIS)/Agriculture Select Agent Services (AgSAS). DSAT manages the public health component of FSAP, which regulates the possession, use, and transfer of select agents and toxins (See 42 C.F.R. §§ 73.3, 73.4).

FSAP Authority
- Title II, Subtitle A of the Public Health Security and Bioterrorism Preparedness and Response Act of 2002 (HHS/CDC/DSAT, 42 U.S.C. § 262a)
- Title II, Subtitle B of the Public Health Security and Bioterrorism Preparedness and Response Act of 2002 (USDA/APHIS/AgSAS, 7 U.S.C. § 8401)
- Part 73 of Title 42, Code of Federal Regulations (42 C.F.R. Part 73) – human agents and toxins
- Part 331 of Title 7, Code of Federal Regulations (7 C.F.R. Part 331) – plant agents and toxins
- Part 121 of Title 9, Code of Federal Regulations (9 C.F.R. Part 121) – animal agents and toxins

The **Import Permit Program (IPP)** is managed by DSAT. IPP regulates the importation of infectious biological agents, infectious substances, and vectors of human disease into the U.S.

IPP Legislation
- Section 361 of the Public Health Service Act (42 U.S.C. § 264)
- Section 71.54 of Title 42, Code of Federal Regulations (42 C.F.R. § 71.54) – are provisions enforced by IPP to prevent the introduction, transmission, or spread of communicable disease from foreign countries into the U.S.

The **Functional Competency Model** contained in this document represents both FSAP and IPP. The competencies provide core standards that when skillfully applied to the job, an inspector will be able to consistently and successfully protect public health as it relates to the possession, use, and transfer of select agents and toxins, or importation of infectious biological agents, infectious substances, and vectors of human disease into the U.S.

The competencies are intended to:
- Be foundational to all human resource activities for an inspector.
- Serve as a framework for designing, developing, implementing, and evaluating training and other learning activities to advance the knowledge, skills, and abilities necessary for a DSAT inspector to perform their role successfully.

The model includes competencies, definitions, and key behaviors that describe how an inspector is to demonstrate successful application of the competencies in the workplace. There are three components of the competency model:
1. Core Competencies (applies to FSAP and IPP)
2. Federal Select Agent Program Competencies
3. Import Permit Program Competencies

Core Competencies

1.	Biological and Microbiological Sciences	7.	Interpersonal Effectiveness
2.	Biosafety Principles	8.	Laws and Regulations
3.	Communication	9.	Leadership
4.	Continuous Improvement	10.	Partnership and Collaboration
5.	Decision Making and Problem Solving	11.	Resilience
6.	Inspection Function	12.	Technical Assistance

FSAP Competencies

1.	Biological Toxin Sciences	3.	Registration
2.	Incident Response	4.	Security

IPP Competencies

1.	Permit Processes		

Core Competencies

Overview   The Core Competencies are observable and measurable knowledge and skills required of both FSAP and IPP Inspectors.

Core Competencies

Competency	Definition/Key Behaviors
1. Biological and Microbiological Sciences	*Demonstrates knowledge of the characteristics and hazards of biological agents that infect or cause disease in a susceptible human host to evaluate biosafety risks in laboratory operations.* **Key Behaviors:** 1.1 Demonstrates knowledge of the principles and methods in biological and microbiological sciences. 1.2 Demonstrates knowledge of biological and microbiological laboratory standards and best practices to ensure containment of potentially harmful biological agents. 1.3 Demonstrates knowledge of current and emerging laboratory research technologies. 1.4 Demonstrates knowledge of the relative risks of biological agents and laboratory operations. 1.5 Demonstrates knowledge of recombinant/synthetic genomic elements and organisms.

Core Competencies

Competency	Definition/Key Behaviors
2. Biosafety Principles	*Demonstrates knowledge of the principles and practices of biosafety to ensure safe handling and containment of hazardous biological agents.* **Key Behaviors:** 2.1 Applies the principles of biosafety risk assessment. 2.2 Demonstrates knowledge of safety measures relative to the level of risk for entering and working in hazardous laboratory environments. 2.3 Demonstrates knowledge of the appropriate risks and biosafety levels for work being conducted in a laboratory environment. 2.4 Applies knowledge of the hierarchy of safety controls (primary and secondary barriers). 2.5 Demonstrates knowledge of Biosafety in Microbiological and Biomedical Laboratories (BMBL) standards, and National Institutes of Health Guidelines for Research Involving Recombinant or Synthetic Nucleic Acid Molecules. 2.6 Demonstrates knowledge of available types of personal protective equipment and the biosafety principles and standards for handling and using it. 2.7 Applies the principles and practices of biosafety to ensure the safe handling and containment of hazardous biological agents.
3. Communication	*Expresses thoughts and ideas in a clear and concise manner in written and verbal communications.* **Key Behaviors:** 3.1 Organizes and expresses thoughts and ideas in a clear and concise manner in written and verbal communications. 3.2 Demonstrates command of the topic and logically conveys information. 3.3 Communicates relevant information to internal and external partners and to the regulated community. 3.4 Tailors communication style to the audience and adapts to emerging situations. 3.5 Applies negotiation and resolution strategies in difficult interactions. 3.6 Communicates with respect, tact, diplomacy, and professionalism. 3.7 Maintains positive communication when delivering difficult messages. 3.8 Encourages others to express their perspective, demonstrates active listening, checks understanding, and acknowledges different viewpoints. 3.9 Demonstrates knowledge of established guidelines and structure for writing inspection reports using plain language to ensure content quality and consistency. 3.10 Creates clear written communication using CDC's Style Guide. 3.11 Communicates complex and technical information clearly and succinctly. 3.12 Communicates in a manner that protects confidentiality, security, safety, and integrity of the regulated community.

Core Competencies

Competency	Definition/Key Behaviors
4. Continuous Improvement	*Continuously improves organizational and individual capabilities by seeking ways to enhance quality, consistency, efficiency, and effectiveness of work processes and results to create reliable performance of people, processes, and systems.* **Key Behaviors:** **Internal Processes** 4.1 Seeks ways to improve quality, consistency, efficiency, and effectiveness of work processes, procedures, and information systems. 4.2 Identifies obstacles and inconsistencies within work processes, assesses options, and recommends new and improved operations. 4.3 Identifies ways to eliminate redundancy and streamline work processes to ensure that processes and results continue to be relevant and valuable. 4.4 Adopts and integrates organizational change into work processes. 4.5 Identifies gaps in SOPs to ensure quality and consistency of the inspection process and recommends solutions. **Innovation** 4.6 Generates novel ideas to develop new or improved processes, methods, and systems, and recommends solutions to decision-makers. 4.7 Applies innovative strategies and solutions to existing internal processes. 4.8 Applies innovation to result in greater efficiency, effectiveness, and to accomplish the mission when the ideal tools and resources are not available. **Individual** 4.9 Builds individual knowledge, skills, and areas of expertise through training, mentoring, and professional development. 4.10 Seeks ways to improve individual performance and efficiency on the job.
5. Decision Making and Problem Solving	*Applies critical thinking in decision-making and problem solving to avoid obstacles and assumptions while developing confidence in assessing problems, anticipating risks, and evaluating alternative solutions.* **Key Behaviors:** 5.1 Demonstrates critical thinking and logical reasoning to identify, categorize and solve problems. 5.2 Uncovers root causes of problems and recommends solutions. 5.3 Applies established decision making and problem solving methods, and uses accepted resources (e.g., policies, regulations, BMBL) to make informed, objective, and timely decisions. 5.4 Collects, analyzes, and synthesizes information and data to identify inconsistencies, eliminate assumptions, and recommends courses of action while recognizing when guidance is needed when making decisions and solving problems. 5.5 Leverages scientific disciplines, technological advances, and established information technology systems to support decision-making and problem solving.

Core Competencies

Competency	Definition/Key Behaviors
	5.6 Analyzes problems in concert with internal and external partners to ensure collaborative problem solving to address current and potential future issues.
	5.7 Generates an exchange of ideas and perspectives and accepts new viewpoints and techniques to result in alternative solutions.
6. Inspection Function	*Prepares, organizes, coordinates, and conducts on-site inspections of facilities to ensure compliance with the federal regulations, and that operational and procedural safeguards are in place to meet nationally recognized safety standards.*

Key Behaviors:

6.1 Applies knowledge of laboratory procedures and techniques.

6.2 Applies knowledge of current guidance and operating procedures related to inspections.

6.3 Demonstrates attention to detail (thoroughness and accuracy) during each phase of an entity inspection.

Pre-Inspection

6.4 Prepares, organizes, and coordinates on-site inspections with entities and other agencies, and consults with SMEs as applicable.

6.5 Conducts pre-inspection activities and reviews of entity records to gain an understanding of the organization.

During Inspection

6.6 Conducts on-site inspections, including a critical analysis and review of laboratories and sites where regulated activities are conducted to ensure compliance with the federal regulations.

6.7 Conducts an inspection opening meeting with entity personnel.

6.8 Gathers information and data to identify areas of non-compliance with regulations and nationally recognized biosafety standards.

6.9 Identifies gaps in biosafety procedures to expose weaknesses and potential failures in systems that could increase biosafety and security risks.

6.10 Conducts a close out meeting of the inspection to summarize inspection findings with the entity.

Post-Inspection

6.11 Conducts a post-inspection debrief with the inspection team, branch chief, and team leads to review inspection observations, severity level of each observation, regulatory departures and deviations from published safety standards, and corrective actions.

6.12 Recommends further compliance actions to leadership as needed.

6.13 Reviews inspection notes, documents, and findings to create an entity inspection report.

6.14 Processes compliance actions or submits documents for referral to the Office of Inspector General (OIG) to address regulatory violations and risks to public health and safety.

6.15 Writes and issues inspection reports within the established program guidelines and timelines.

Core Competencies

Competency	Definition/Key Behaviors
	6.16 Reviews inspection report responses to determine adequacy of corrective actions, and requests follow up information to address departures from the regulations and safety standards.
7. Interpersonal Effectiveness	*Acts with professional integrity, respect, ethical behavior, self-awareness, and self-control to build relationships and maintain personal credibility.* **Key Behaviors:** 7.1 Applies Emotional Intelligence techniques to respond constructively to others and to manage one's emotions in positive ways. 7.2 Demonstrates self-awareness, self-control, and empathy in interactions with others. 7.3 Approaches sensitive issues using objective and non-threatening methods. 7.4 Creates an environment of mutual respect and trust where individuals feel free to be candid and express disagreement. 7.5 Demonstrates professional integrity and honesty, and acts within ethical standards of conduct. 7.6 Demonstrates sensitivity toward diverse points of view and cultures. 7.7 Demonstrates flexibility in multiple situations and adapts to a changing environment. 7.8 Demonstrates conflict management techniques to defuse and resolve disagreements.
8. Laws and Regulations	*Demonstrates comprehensive knowledge of federal laws, programmatic regulatory interpretations, policies, and enforcement actions related to possession, use, and transfer of select agents and toxins or importation of infectious biological agents, infectious substances, and vectors of human disease into the United States.* **Key Behaviors:** 8.1 Demonstrates comprehensive knowledge of federal laws, regulations, policies, guidance, enforcement actions, and acts within their scope. 8.2 Identifies limitations in laws, regulations, policies, and guidance, and recommends revisions to leadership. 8.3 Evaluates compliance with statutory law, regulations, and policies, as well as adherence to nationally recognized standards. 8.4 Recommends solutions to leadership based on feedback from the regulated community.
9. Leadership	*Applies strategic thinking and focuses efforts on the larger purpose or mission; establishes alliances, inspires people; uses sound judgement and a results-driven approach to create high-levels of performance.* **Key Behaviors:**

Core Competencies	
Competency	**Definition/Key Behaviors**
	9.1 Plans, coordinates, and prioritizes work to align with the organizational vision, mission, core values, strategies, and priorities. 9.2 Demonstrates confidence to independently initiate action within appropriate span of control. 9.3 Demonstrates the mental strength and moral compass to make difficult decisions. 9.4 Demonstrates drive and takes initiative to communicate concerns and recommend solutions. 9.5 Establishes high standards for individual performance, sets challenging goals, and demonstrates persistence to accomplish them. 9.6 Demonstrates resourcefulness, creativity, and a results-oriented approach to overcome barriers to success. 9.7 Mentors, influences, and motivates colleagues and team members to accomplish the mission. 9.8 Addresses challenges within ambiguous, complex, and uncertain inspection and work environments. 9.9 Demonstrates knowledge of methods to build high performance teams, including leveraging their strengths and understanding their motivations. 9.10 Respects, understands, and values individual and cultural differences to achieve the vision and mission of the organization.
10. Partnership and Collaboration	*Collaborates with internal and external partners and the regulated community to accomplish shared goals, build and maintain networks and relationships, and promote an environment that encourages information and knowledge sharing.* **Key Behaviors:** 10.1 Collaborates with internal and external partners, and the regulated community to accomplish shared goals, solve problems, address challenges, and build networks and relationships. 10.2 Conducts inspections collaboratively with partner agencies. 10.3 Harmonizes efforts with other federal agencies to ensure coordinated and efficient operations of FSAP and IPP. 10.4 Cultivates and maintains collaborative relationships with the regulated community to achieve the organizational vision, mission, and goals. 10.5 Demonstrates knowledge of external partners' organizational mission, structure, and resources to enhance collaborative efforts. 10.6 Demonstrates knowledge of roles, responsibilities, and limitations when interacting with partners. 10.7 Facilitates information gathering and knowledge sharing among partners and team members, and considers perspectives from others to accomplish shared goals. 10.8 Demonstrates flexibility with internal and external partners, the regulated community, and colleagues.

Core Competencies	
Competency	**Definition/Key Behaviors**
	10.9 Demonstrates commitment to the team, leadership, the internal organization, and the agency.
11. Resilience	*Cultivates individual and organizational capabilities to manage, recover from, and adapt to change, stress, uncertainty, adverse events, threats, or setbacks.* **Key Behaviors:** 11.1 Cultivates individual and organizational capabilities to manage, recover from, and adapt to change, stress, uncertainty, adverse events, threats, or setbacks. 11.2 Maintains alertness to signals within individual, technological, and organizational systems to identify vulnerabilities and unexpected events. 11.3 Builds individual capabilities to anticipate, plan, and manage adversity. 11.4 Projects credibility and poise under difficult or adverse conditions. 11.5 Self-regulates emotions and reactions to allow for a calm demeanor, which optimizes cognition, and increases the ability to solve problems with insight.
12. Technical Assistance	*Provides outreach and guidance to assist entities with maintaining compliance with regulatory requirements.* **Key Behaviors:** 12.1 Provides outreach and guidance to address concerns related to possession, use, and transfer of select agents and toxins or importation of infectious biological agents, infectious substances, and vectors of human disease into the United States. 12.2 Provides technical guidance to assist entities with interpreting regulatory requirements. 12.3 Provides guidance to entities to ensure a clear understanding of a departure from regulatory requirements or safety standards. 12.4 Assists entities with the application and amendment process to obtain a registration certificate or permit and maintain a current and accurate registration. 12.5 Provides technical assistance on the use of the secure information portal.

Federal Select Agents Program (FSAP) Competencies

Overview   The FSAP Competencies are observable and measurable knowledge and skills required of FSAP Inspectors.

FSAP Competencies	
Competency	**Definition/Key Behaviors**
1. Biological Toxin Sciences	*Demonstrates knowledge of the characteristics and hazards of biological toxins that cause disease in a human host to evaluate biosafety risks in laboratory operations.* **Key Behaviors:** 1.1 Demonstrates knowledge of biological toxins. 1.2 Demonstrates knowledge of biological and microbiological laboratory standards and best practices to ensure containment of potentially harmful biological toxins. 1.3 Demonstrates knowledge of current and emerging laboratory research technologies related to biological toxins. 1.4 Demonstrates knowledge of the relative risks of biological toxins and laboratory operations.
2. Incident Response	*Evaluates entities to ensure a written incident response plan has been developed and implemented based on regulatory requirements and a site-specific risk assessment.* **Key Behaviors:** 2.1 Applies the principles of harzard risk assessment. 2.2 Evaluates entities to ensure a written incident response plan has been developed and implemented based on regulatory requirements and a site-specific risk assessment. 2.3 Demonstrates knowledge of incident response procedures related to regulatory requirements. 2.4 Assesses entity's risk assessment as it relates to incident response to ensure it mitigates the potential vulnerabilities related to select agents or toxins and laboratory procedure hazards. 2.5 Assesses to ensure entities have tested and evaluated the effectiveness of their incident response plan with drills and exercises annually, and they have reviewed and revised the plan after each drill, exercise, or incident. 2.6 Assists entities affected by natural disasters or adverse man-made events that could risk the safety of employees and security of the BSAT facility. 2.7 Reviews records to ensure corrective actions were taken by entities to address discrepancies in incident response plan implementation.

FSAP Competencies	
Competency	**Definition/Key Behaviors**
3. Registration	*Processes registration applications and amendments, and generates reports, letters, and other communications using the FSAP secure information portal for the possession, use, and transfer of select agents and toxins.* **Key Behaviors:** 3.1 Demonstrates knowledge of established guidelines and procedures for processing registration applications and amendments. 3.2 Generates reports, letters, and other communications using the FSAP secure information portal. 3.3 Demonstrates proficiency in using the FSAP secure information portal for internal and external use. 3.4 Reviews, processes, and approves Form 1 applications, registrations, amendments, and renewals within established timelines using the FSAP secure information portal. 3.5 Recommends to leadership a denial, suspension, or revocation of a registration for regulatory violations to prevent a risk to public health and safety. 3.6 Demonstrates knowledge of entity reporting requirements for APHIS/CDC Forms 2, 3, and 4.
4. Security	*Evaluates entities to ensure a written security plan has been developed and implemented based on regulatory requirements and a site-specific risk assessment.* **Key Behaviors:** 4.1 Applies the principles of biosecurity risk assessment. 4.2 Evaluates entities to ensure a written security plan has been developed and implemented based on site-specific risk assessment. 4.3 Assesses entity's risk assessment as it relates to security to ensure it mitigates the potential vulnerabilities related to select agents or toxins and laboratory procedures. 4.4 Evaluates entities to ensure they have tested the effectiveness of their security plan with drills and exercises annually, and they have reviewed and revised the plan after each drill, exercise, or incident. 4.5 Evaluates physical, personnel, inventory control, and information security measures against the regulatory requirements and ensures entities adhere to their security plan. 4.6 Evaluates entities to ensure they mitigate security vulnerabilities identified in their risk assessment that could result in a security breach, including insider threats and cyber security. 4.7 Reviews records to ensure corrective actions were taken by entities to address discrepancies in security plan implementation.

Import Permit Program (IPP) Competencies

Overview   The IPP Competencies are observable and measurable knowledge and skills required of IPP Inspectors.

IPP Competencies	
COMPETENCY	**DEFINITION/ KEY BEHAVIORS**
1. Permit Processes	*Processes applications, reports, and other communications using the IPP secure information portal for entities requesting to import infectious biological agents, infectious substances and vectors into the United States.* **Key Behaviors:** 1.1 Demonstrates knowledge of established guidelines and procedures for processing applications, reports, and other communications. 1.2 Reviews import permit applications to ensure the requesting entity has the required biosafety measures in place that are commensurate with the hazard posed by the infectious biological agent, infectious substance, and/or vectors to be imported, and the level of risk given its intended use. 1.3 Processes import permit program applications, reports, and other communications within established timelines. 1.4 Determines whether issuance of a permit is contingent upon an inspection of the importer's facility. 1.5 Approves and issues import permits to entities when adequate biosafety measures are in place. 1.6 Demonstrates proficiency in using the IPP secure information portal for internal and external use. 1.7 Recommends to leadership a denial, suspension, or revocation of a permit for regulatory violations to prevent a risk to public health and safety.

Proficiency Scale for FSAP and IPP Inspector Development

Introduction The Federal Select Agent Program (FSAP) and Import Permit Program (IPP) Proficiency Scale provides standards for performance by which to measure and assess new hire and incumbent inspectors ability to demonstrate a competency on the job.

The scale provides learning targets, sets consistent expectations for mastery of the targets, and a systematic method for evaluating progress. It captures a wide range of abilities and organizes them into four levels of complexity, from Basic to Expert. Each level describes a stage in the development of inspectors. It is a sequential process and a stairway to learning and supporting career growth. The first level must be achieved before the next level and so on.

The Dreyfus Model of Skill Acquisition was referenced to guide the development of the performance standards described below. The model is an industry standard and widely used means for assessing progress in the development of knowledge, skills, and abilities.

Proficiency Scale	
Proficiency Level	**Standards for Performance**
Basic *(limited or no experience)* GS 9/11	Demonstrates **basic** knowledge (fundamental understanding) of the select agent or import permit regulations, concepts, processes, procedures, and terminology. • Typically a new hire inspector. • Focus is on learning and development through training and on-the-job experience. • Expected to need frequent guidance. • Applies the competency in basic situations. • Job shadows with mid-level and senior inspectors.
Intermediate *(practical application)* GS 12	Demonstrates **functional** knowledge of the select agent or import permit regulations, concepts, processes, procedures, and the application of each. • Typically a mid-level inspector. • Applies the competencies with minimal assistance. • Continues to enhance knowledge and skills. • Performs most tasks with a high degree of independence. • Leads moderate to complex laboratory inspections.
Advanced *(applied theory)* GS 13/14	Demonstrates **comprehensive** knowledge of the select agent or import permit regulations, concepts, processes, and procedures, and the application of each. Synthesizes and evaluates information and data to identify alternative approaches or solutions to situations. • Typically a senior level inspector or Team Lead. • Applies the competencies without assistance. • Provides guidance and mentoring. • Consistently provides sound ideas, perspectives, and recommendations supported by data, policies, and regulations in senior level discussions. • Leads complex laboratory inspections.

Expert *(recognized authority)* GS 14/15	Demonstrates **expert** knowledge and strategic leadership of the select agent or import permit regulations, concepts, processes, and procedures. Represents the Agency as an expert and able to diagnose complicated or unique problems and successfully implement resolutions based on sound rationale. - Typically a Team Lead or Branch Chief. - Thinks beyond existing interpretations and deals with matters based on sound judgement and supported rationale. - Defines and implements the organizational vision, mission, and goals. - Recognized as an expert by peers, clients, internal/external organizations. - Provides guidance, mentoring, and leads others. - Applies the competency in complex situations across agencies and organizations.

Note: *Discussions with your supervisor about strengths, growth, and areas for improvement are an important part of your professional development. The FSAP/IPP Inspector Proficiency Scale does not imply an opportunity for, or guarantee of advancement.*

Center for Preparedness and Response (CPR)
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DSAT Organizational Assessment – Action Plans

Division of Select Agents and Toxins (DSAT)

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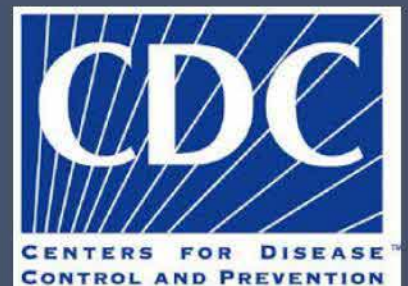
Table of Contents

Introduction

This report provides an overall approach for implementing the recommendations provided in the DSAT Organizational Assessment – Findings and Recommendations report. For each recommendation, the information is presented in chronological order of implementation due to the interacting dependencies of the recommendation. In addition to the strategy, each recommendation includes its own action plan with specific information as follows:

- Next steps
- Accountabilities
- Dependencies
- Change barriers
- Mitigations for those potential barriers

Overview of Timeline

Below depicts the order and timing of each recommendation. Because many recommendations are dependent on others being completed, it is important to keep the order of events. However, some recommendations may take longer or shorter to implement, and therefor the actual months in which they occur may vary. In addition to the activities in the timeline, there are on-going activities and quick wins at the end of the document.

Action Plans

Q4: July-September 2019

July 2019 – Implement Change Management Training for all DSAT Leaders

- **Recommendation -** Train managers in the discipline of change management so that they become more successful in spotting issues related to change and thus able to identify/implement responses to help employees move through the change.

Next Steps	- Provide one-two day training on change management methodologies (e.g., Prosci ADKAR, Kotter, Bridges, Lewin, Salerno and Brock, Heath and Heath, others) and determine best fit methodology for DSAT - See proposed training outline – delivered to Tammy Gorny 5/21/2019 (included in the appendix). - Provide practical exercises so those in attendance can begin to build DSAT-specific change management work streams (e.g., sponsor roadmap, stakeholder engagement, communications, training, resistance management) and begin to implement resulting project plan
Accountabilities	- DSAT Senior Leadership - Mid-Level Managers
Dependencies	None
Change Barriers	- Potential DSAT lack of interest in implementing "soft skill" methodologies - Relative lack of understanding regarding change management best practices and applications
Mitigations	- Clear leadership direction/communications highlighting that the results of this analysis demonstrate the need for overarching change management training - Ensure that the training contains DSAT-specific, practical exercises

July – September 2019 – Build and implement DSAT-wide Change Management Approach

- **Recommendation:** Develop a systematic change management plan that includes:
  - ❖ Readiness assessments
  - ❖ Communication and communication planning
  - ❖ Sponsor activities and sponsor roadmaps
  - ❖ Leadership training for change management
  - ❖ Training and employee training development
  - ❖ Resistance management
  - ❖ Data collection, feedback analysis and corrective action
  - ❖ Celebrating and recognizing success
  - ❖ After-project review

Next Steps	Consider various change management methodologies (e.g., Prosci ADKAR, Kotter, Bridges, Lewin, Salerno and Brock, Heath and Heath, others) and determine best fit.

	Note that barriers and mitigations identified during the training will be elaborated upon in this overarching approach.
	• Begin to build the plan via the aforementioned training, then follow-up with two, detailed sessions with team as a whole then with each Branch. Plan will build from and lead to:
	    ○ Organizational Structure
	        • DSAT Workforce Plan/Succession Planning
	        • Business Process Review - Standardized SOPs
	    ○ Operational Plan
	    ○ Vision, Values, and Culture
	        • Leadership, Development, and Culture
	        • Change and Resilience Training for staff
	        • Accountability Culture (Career ladder and promotion criteria, PMAPS adjusted to include new expectations around values and accountability
	    ○ eFSAP/eIPP information systems implementation
	        • Increased transparency of work

Accountabilities	• DSAT Senior Leadership • Deputy Director of Management (TBD) • Human Capital Manager (TBD)
Dependencies	• Complete the Leadership Change Management Training
Change Barriers	• Potential DSAT lack of interest in implementing "soft skill" methodologies • Relative lack of understanding regarding change management best practices and applications
Mitigations	• Clear leadership direction/communications highlighting that the results of this analysis demonstrate the need for an overarching change management approach • Leadership training and coaching (see more detail below)

July 2019 – Communicate a clear rationale and related criteria for reorganization

- **Recommendation:** Ensure staff are informed on all aspects of the changes occurring during the restructure.

Next Steps	• Utilize the communication strategy that will be outlined in a DSAT Change Management Plan. Speaking points will include integration of IPP into Mission, current excess span of control of Operations Branch Chief, need to separate management from science and policy. Etc. • Focus on need to fill the positions immediately
Accountabilities	• DSAT Senior Leadership
Dependencies	• DSAT Change Management Plan (will include stakeholder analysis, communications, etc.)
Change Barriers	• Budget • Approval by CPR Leadership to fill positions
Mitigations	• Brief CPR and other key stakeholders on findings of this Organizational Assessment

August – September 2019 – Obtain approval for (and fill) new positions

- **Recommendation:**

❖ **New Position: Branch Chief or Deputy Director of Management:** Currently the Deputy Director oversees management, personnel, budget, goals/strategies, science, policy, and communications. Having this many diverse responsibilities is unsustainable and given DSATs mission, the priority for the current Deputy is science, policy and communications (with the rest of operations getting attention only when time permits). However, to build and maintain a qualified and engaged staff, the management, personnel, budget and strategy areas also require dedicated focus. We therefore recommend that the role be split into two deputy positions with a clear delineation as to focus areas.

❖ **New Position: Branch Chief of Operations:** The DSAT Operations Branch should be split into two branches – both with a Branch Chief reporting to the Director. This would lessen the burden on the current Branch Chief, reduce the current span of control, and allow for more time in developing and managing employees.

❖ **New Position: Human Capital Manager:** DSAT requires a Human Capital Manager position to be responsible for implementing various aspects of the recommendations highlighted herein, especially the vision, values, and culture. This individual should also retain responsibility for day-to-day "people" activities such as leading efforts to address EVS scores, securing non-technical training when needed, etc. This individual can also assist with special projects as needed. This Human Capital Manager position should align to the Deputy Director/Branch Chief over management, personnel, budget and strategy, and might be added to the Program Management Branch. If this is the case, the Learning and Development functional area should co-exist with the Human Capital Manager as these two functions are closely aligned. Learning and development will continue to work closely with the Science Office.

NOTE: There will be a need to reorganize staff once the positions are onboarded. Possible Organizational Structures are currently being vetted with DSAT and will added as appropriate. Special attention will be paid to this in the change management plan.

Next Steps	- Once new positions are approved, senior leadership should participate in a facilitated working group to determine the come to refine and finalize the organizational structure and to agreement on how staff will be reorganized under the new structure - Provide clear delineation of responsibilities for the new Deputy Director or Branch Chief positions (e.g., existing Deputy Director to focus on science, policy, and communications and the new position to focus on management, personnel, budget, and strategy) - Provide clear outline of breakdown in responsibilities for two Branch Chiefs of Operations ○ Reorganize the Operations staff to accommodate new Branch ○ Change existing team names to lesson the competitive nature. Currently the alpha, beta, etc. naming convention mimics military or fraternity groupings. - Provide clear outline of roles and responsibilities of the Human Capital Management position - Obtain internal CDC approvals - Develop position descriptions - Communicate to DSAT and related stakeholders about new positions - Implement recruitment process (note filling these positions may or may not happen in FY19)

	• Onboard positions as soon as they are hired
Accountabilities	• DSAT Senior Leadership • HR • CPR CDC
Dependencies	• CPR and CDC approval of new positions • DSAT Change management Plan
Change Barriers	• Lack of necessary approval/agreement on new positions • Resistance of staff who will be reorganized due to the changes
Mitigations	• Clear leadership direction/communications indicating that the results of this analysis demonstrate the need for these separate/additional positions • Clear communications as to who will be reporting to whom (and when related transitions will take place)

Q1 October-December 2020

October - November 2019 – Create a DSAT Vision for the Future

- **Recommendation:** While there are multiple ways to get started in improving DSAT, best practice suggests beginning with a vision for its future. The vision should be developed by DSAT Leadership with knowledge of the current and future regulatory environment. The vision should be inspirational and provide enough information for staff to understand what the future state will look and feel like.

Next Steps	• Review FSAP Strategic Plan for pointers on what must be included in DSAT Plan • Review DSAT Talent Strategy and Workforce Plan (dated May 2016) for current relevance o Pay particular attention to (1) definition of "preeminent resource" and (2) key future state questions such as list-based/broader • Analyze and determine what direction DSAT will take (i.e., pursue larger mission or focus on current list-based approach for the next 5 years) • Create a vision statement that is inspirational and identifies the ideal future state
Accountabilities	• DSAT Senior Leadership (note this should only be a small Senior Leadership group at this point) • Branch Chief/Deputy Director of Management (TBD) • Human Capital Manager Position (TBD)
Dependencies	• Onboarding of new Branch Chief of Management (co-Deputy Director), Branch Chief of Operations and Human Capital Manager. This is due to wanting all senior leadership to have a part in creating the vision.
Change Barriers	• Planning fatigue given that organization just completed FSAP Strategic Plan • Lack of agreement on future direction
Mitigations	• Clear leadership direction/communications highlighting that the results of this analysis demonstrate the need for this DSAT-specific direction

November - December 2019 – Define DSAT Organizational Values

- **Recommendation:** Define organizational values that support the culture: These are organizational, rather than personal, values. It can be very difficult to achieve consensus around values if people believe they have to change their own personal values; therefore, it is

imperative to reassure staff that their personal values will remain intact but that the values they need to consider/integrate are organizational in nature.

Once DSAT values are agreed upon, it is important to define them in behavioral terms. It is easy to say one lives by a value if it is not defined because "what's collaboration to one may not be the same for another." Nevertheless, when behaviors are assigned to a value, individuals can be held accountable to that value.

Next Steps	• Create a 4-6 person working group consisting of Senior and Mid-Level Leaders and the Human Capital Manager to identify draft Organizational Values and identify related behaviors that depict how they are used in the workplace • Involve staff via focus groups and more generally solicit suggestions from staff • Finalize organizational values based on feedback from staff and final approval from leadership • Create rollout plan - i.e., posters, town halls, etc., and integrate content into DSAT Operational Plan (discussed below)
Accountabilities	• DSAT Senior Leadership • Branch Chief/co-Deputy Director of Management (TBD) • Human Capital Manager (TBD) • Working group members
Dependencies	• Agreed upon Mission, Vision
Change Barriers	• Time and Availability • Relative lack of interest in implementing "soft skill" methodologies • Relative lack of understanding how core values impact organizational life
Mitigations	• Clear leadership direction/communications indicating that the results of this analysis demonstrate the need for DSAT-wide core values • Consider including Core Values content in PMAPs/Reviews

November – December 2019 – Create a DSAT-specific Operational Plan

- **Recommendation:** Notwithstanding the work already completed to develop the DSAT/AgSAS-generated FSAP Strategic Plan, DSAT needs to develop its own specific operational plan as well. DSAT needs to address the way the organization is organized to achieve its mission now and, in the future. The plan should be developed using a process of facilitated sessions with stakeholders to drive the plan to the level of detail needed to implement.

Next Steps	• Build off of momentum created by DSAT Mission and Vision review
	• Create DSAT Operational Plan
	• This should be a living document that is updated as needed and should be succinct and easy to use
	• The document should include information such as:
	  ○ Inspection rates for FSAP and IPP
	  ○ Operational risk-based inspection approach
	  ○ Determine strategy for IPP integration
	  ○ Alignment with CPR
	  ○ Budget and staffing needs as determined for future requirements
	• Workforce and other Operational Planning to follow as needed

Accountabilities	• DSAT Senior Leadership • Branch Chief/co-Deputy Director of Management (TBD)

	• Human Capital Manager Position (TBD)
Dependencies	• Review of current DSAT Mission and Vision
Change Barriers	• Internal pushback might appear given that so many DSAT Leaders and Staff just recently were involved in FSAP Strategic Plan process • Lack of clarity on DSAT direction
Mitigations	• Highlight that this planning process will be different from the all-inclusive approach used for FSAP (i.e., Senior Leadership, Deputy Director of Management (TBD), and that a small cadre of senior leaders will create this document in a small, facilitated, "tiger team" approach • Ensure that the short Operational document provides a clear roadmap as to DSAT's future

Q2 January-March 2020

January 2020 – Provide Change and Resilience training for Staff

- **Recommendation:** To assist staff in understanding and appreciating the process one goes through when change is implemented and to provide them with strategies on how to effectively respond to change.

Next Steps	• Provide half-day training for staff to help all understand and appreciate what an individual must go through when change happens, and how to effectively respond • Proposed agenda is included in the appendix
Accountabilities	• DSAT Senior Leadership • Mid-Level Managers
Dependencies	• Tammy Gorny and Contract Staff select and engage Contractor • DSAT Operational Plan and Core Values
Change Barriers	• Potential DSAT lack of interest in implementing "soft skill" methodologies • Relative lack of understanding regarding change and resilience best practices and applications
Mitigations	• Ensure that the training contains DSAT-specific, practical exercises • Tie into key concepts from DSAT Operational Plan and Core Values

January – February 2020 – Pursue DSAT Process Improvement Activities

- **Recommendation:** To ensure consistency between the two Operations Branches, study existing procedures to determine most effective and efficient processes, document standard operating procedures (SOPs), and measure to ensure use of the SOPs across Branches and teams. Specifically:
  - ❖ Conduct business process review starting with mission critical jobs
  - ❖ Conduct business process reengineering to standardize mission critical processes
  - ❖ Ensure standard operating procedures are available and followed
  - ❖ Address eFSAP workload/transparency concerns
  - ❖ Create expanded decision level matrix

Next Steps	• Review current SOPs and determine variations applied by individuals and teams

	• Identify other tasks to determine relative value in meeting the DSAT Mission • Solicit additional information from inspectors on nature of concerns with respect to eFSAP processes • Conduct gap analysis against DSAT Operational Plan • Create/update pre-existing SOP documents • Finalize a set of SOPs and communicate to staff to ensure everyone understands and uses them consistently • Conduct quality assurance checks to ensure staff knowledge/compliance • Pursue business process re-engineering to allow for efficiencies of the new systems to be integrated in a consistent way across inspection teams (note that this activity goes hand in hand with standardizing the SOPs) • Delegate decision-making authority down on certain, standard, relatively risk-free decisions
Accountabilities	• DSAT Branch Chiefs • Mid-Level Managers • Team Leads
Dependencies	• DSAT Operational Plan
Change Barriers	• Inability to highlight which processes/SOPs are most essential • Relative lack of time by DSAT to complete this activity
Mitigations	• Dedicate time of at least 1-2 Team Leads and a small group of other mid-level managers to complete • Ensure SOP compliance entered in as part of the end of year staff PMAPs

February – March 2020 – Implement a One-day-a-week Office Policy on a Team Basis

- **Recommendation:** To address the disjointed nature of staff and lack of cross-team collaboration, implement policy whereby entire team is required to be in the Atlanta office at least one day a week

Next Steps	• Create and communicate the policy based immediately following the hiring of the new positions. Phase in the implementation of the policy over a 3 to 6-month period to allow staff to plan as needed (e.g. for commuting or day care purposes). • Provide opportunities for team members to present and/or share information to colleagues • Note this activity can be implemented concurrently with "Integrate Senior Leaders with Staff more holistically over time" highlighted below
Accountabilities	• DSAT Senior Leadership • Branch Chief/Deputy Director of Management (TBD) • Human Capital Manager Position (TBD) • Mid-Level Managers
Dependencies	• Conducting Business Process Review/Reengineering (the outcome of this will be new work methods and processes so implementing the one day a week in the office will fit nicely with the implementation of new work methods)
Change Barriers	• Resistance by some to come into office if they are used to telework/distance arrangement
Mitigations	• Clear leadership direction/communications indicating that the results of this analysis demonstrate the need for enhanced team interaction and collaboration

February – March 2020 – Integrate Senior Leaders with Staff more holistically over time

- **Recommendation**: Ensure working groups where senior leaders and staff actively work together to achieve outcomes; be sure to include the Program Management Branch into the working groups.

Next Steps	• This could begin immediately as a quick win then be fully implemented by March of 2020 • Ensure working groups where Senior Leaders and Staff actively work together to achieve outcomes • Include the Program Management Branch into the working groups • Provide opportunities for team members to participate actively and take on vital roles in key working groups • Note this activity can be implemented concurrently with "Implement a One-day-a-week Office Policy" highlighted above
Accountabilities	• DSAT Senior Leadership • Branch Chief/co-Deputy Director of Management (TBD) • Human Capital Manager Position (TBD) • Mid-Level Managers • Staff
Dependencies	• Filling the Branch Chief/co-Deputy Director for Management, Branch Chief for Operations, and Human Capital Manager positions
Change Barriers	• Resistance to integrating business roles into operational decisions • Resistance by some to participate in what might be seen as "superfluous" working groups
Mitigations	• Clear leadership direction/communications indicating that the results of this analysis demonstrate the need for enhanced team interaction and collaboration • Ensure that working groups relate to important operational topics

March 2020 – Create a Career Ladder and Promotion Criteria for DSAT Staff

- **Recommendation:** While DSAT staff's perception is that they are not promoted at the same rate as other CDC employees, there is some evidence that this is not the case. It is important to publicize this data to educate staff on the realities of the DSAT promotion rates. It is also important to create a career ladder that spells out specific responsibilities for staff at each grade level and step (i.e., a grade 12, step 1 should have different capabilities and responsibilities that a grade 12, step 5 or a grade 12 step 9).

Next Steps	• Implement in a cascading approach with mission critical occupations first
	    o Inspector positions (some of this is dependent on the plan to integrate IPP)
	    o Coordination and forms
	    o IT/Quality assurance
	• Collect and publicize data on promotions timing/rates
	• Create career ladder document that spells out specific responsibilities for staff at each grade and step level
	• Communicate to staff
	• Gather feedback and revise iteratively as appropriate

Accountabilities	• Human Capital Manager • Team Leads and other Mid-Level Managers
Dependencies	• Completion of the Business Process Reengineering

Change Barriers	• Relative lack of time by DSAT to complete this activity
Mitigations	• Dedicate time of Human Capital Manager and a small group of mid-level managers to complete • Dedicate a town-hall or other senior leadership meeting to Q&A on this topic

March 2020 – Implement Leadership Development Program

- **Recommendation:** Leadership development is key in creating a defined culture. DSAT leaders have already started this process by implementing leadership assessment and coaching. In addition to continuing the individual coaching for leaders, it is critical for leaders to build a common leadership philosophy and language. This is best achieved by experiencing leadership development as a team, most often accomplished through a leadership development program containing classroom learning, distance learning, and action-learning experiences.

Next Steps	• Build curricula based on data collected during this organizational assessment • Content to include, at a minimum - handling difficult conversations, creating accountability, decision making, how to manage a multi-generational workforce • Program will consist of three, 3-day classroom trainings scheduled 2-3 months apart • Ensure connection between learnings provided in the program and ongoing Leadership Coaching (see below) • See Appendix for proposed program outline
Accountabilities	• All DSAT Leadership • Branch Chief/Deputy Director of Management (TBD) • Human Capital Manager Position (TBD)
Dependencies	• New positions onboarded • Connections to DSAT Leadership Coaching Program (see below)
Change Barriers	• Time and availability
Mitigations	• Clear commitment/communications from DSAT Senior Leadership that all DSAT leaders need to understand how to create a performance-based and accountable culture. To do this, leaders need to be on the same page in terms of leadership philosophy and methods.

On-going – Continue Coaching for Leadership

- **Recommendation:** Continue to offer focused coaching to leaders as they participate in leadership development and learn adapt their own personal leadership styles to the needs of the broader organization

Next Steps	• Build upon the recent Leadership 360 process and provide follow-up coaching • Offer additional choices in coaching for those who do not connect with their 360 coach (either through current vendor or through CI International) • Engage coaches in identifying leadership behaviors that support the DSAT Core Values • Offer coaching to leaders as they adapt/evolve their own personal leadership styles to the needs of the broader DSAT • Ensure leaders create and implement their own individual "coaching development plans
Accountabilities	• DSAT Senior Leadership

	• Deputy Director of Management (TBD)
	• Human Capital Management Position (TBD)
	• Director of Training Programs
Dependencies	• DSAT Operational Plan and Core Values
	• Connections to DSAT Leadership Development Program
Change Barriers	• Time and availability
Mitigations	• Clear commitment/communications from DSAT Senior Leadership that all DSAT leaders need ongoing support to grow and evolve in the leadership journey
	• Dedicate time for all Senior and Mid Level Managers to receive up to 10 hours of coaching

March 2020 – Improve DSAT Internal Communications

- **Recommendation:** To ensure staff are well informed and empowered to make decisions, it is imperative that they have key information. Implement a strategy that accounts for identifying the areas of most need and disseminating information accordingly.

Next Steps	• Poll staff to identify the types of information and communication they feel they do not have access to. If staff are asking for information that is confidential in nature, provide the rationale as to why they are not privy to it.
	• Determine the best mode of communication for the information and staff needs
	• Ensure the change management plan contains a stakeholder analysis with communications needed to attain buy-in
	• Build upon completion of DSAT Change Management Plan, the Operational Plan, Vision and Organizational Values
	• Offer additional events or modalities of communicating key directional content to internal stakeholders
	• Work to bring in additional communications support to DSAT (to support the current, one dedicated communications resource)
Accountabilities	• DSAT Senior Leadership
	• Deputy Director of Management (TBD)
	• Human Capital Management Position (TBD)
	• Office of Communications
Dependencies	• DSAT Change Management Plan, the Operational Plan, Vision and Operational Values
	• Requirement of DSAT Office of Communications to work on pre-existing reporting and other requirements
Change Barriers	• Time and availability
Mitigations	• Clear commitment/communications from DSAT Senior Leadership that DSAT requires improved internal communication

Q3 April-June 2020

April – June 2020 – Engage in DSAT Workforce Improvement Activities

- **Recommendation:**

❖ Develop and Implement a DSAT Workforce Strategy
❖ Create Culture of Accountability
❖ Create and Update DSAT Training Plan and Delivery
❖ Create a DSAT Retention Strategy

Next Steps	• **Build Workforce Strategy:** once decisions are made about the direction of DSAT (inclusive of its FSAP- and IPP-related programs), create a strategy that identifies the future need of and methods for recruiting and retaining staff. This might include numbers of actual Inspectors, and also staff needed to support additional inspections (e.g., policy, training, program management, science, etc.) • **Create an Accountability Culture -** review and revise PMAP's based on updated DSAT Operational Plan, DSAT Core Values, etc. Make changes to Performance Plans as necessary. Socialize with managers and staff before implementing. Extend performance plan changes to how decisions are made on who does which inspections • **Update training offerings:** Not only as identified for Inspectors and the Program Management Branch in the skills assessment but to address future technical training needs • **Develop Retention Strategy:** Continue to assess/understand root causes of morale and retention issues; create joint Leadership/Staff committee to address
Accountabilities	• DSAT Senior Leadership • Deputy Director of Management (TBD) • Human Capital Management Position (TBD) • Office of Training
Dependencies	• Review DSAT Talent Strategy and Workforce Plan (dated May 2016) for current relevance • DSAT Operational Plan and Core Values
Change Barriers	• Reluctance to change individual performance plans/path to advancement
Mitigations	• Clear leadership/direction/communications indicating that the results of this analysis demonstrate need for more transparency and accountability

Q4 July-September 2020

July – September 2020 – Engage in DSAT Workforce Improvement Activities

- **Recommendation:**
  ❖ Conduct an analysis of inspection data based on eFSAP and eIPP data
  ❖ Assess core competencies

Next Steps	• **Conduct analysis of inspection data:** engage a data specialist to analyze eFSAP and eIPP data to determine workload, trends in inspection outcomes, training needs. This would provide means to conduct a more detailed, quantitative analysis of the work in operations • **Assess Core Competencies:** conduct a detailed, DSAT-specific Skills Assessment based on the organizational values and behaviors • **Build Workforce Strategy:** once decisions are made about the direction of DSAT (inclusive of its FSAP- and IPP-related programs), create a strategy that identifies the

	future need of and methods for recruiting and retaining staff. This might include numbers of actual Inspectors, and also staff needed to support additional inspections (e.g., policy, training, program management, science, etc.)
Accountabilities	• DSAT Senior Leadership • Deputy Director of Management (TBD) • Human Capital Management Position (TBD) • Office of Training
Dependencies	• Review DSAT Talent Strategy and Workforce Plan (dated May 2016) for current relevance • DSAT Operational Plan and Core Values
Change Barriers	• Reluctance to change individual performance plans/path to advancement
Mitigations	• Clear leadership/direction/communications indicating that the results of this analysis demonstrate need for more transparency and accountability

Ongoing Activities

Ongoing – Continue Succession Planning

Next Steps	• While DSAT has begun the process of succession planning, it should be continued and modified as needed based on decisions made on the organization's structure. Planning should start with leadership and move to staff positions.
Accountabilities	• Leadership positions • Human Capital Manager/Program Management
Dependencies	• N/A
Change Barriers	• Time and availability
Mitigations	• Clear commitment/communications from DSAT Senior Leadership that DSAT requires improved internal communication

Ongoing – Continue focus on eFSAP and eIPP Modernization

Next Steps	• In particular, addressing workload, transparency/culture, and accessibility concerns
Accountabilities	• DSAT Senior Leadership • Deputy Director of Management (TBD) • IT/Quality Assurance
Dependencies	• Previous eFSAP and eIPP development efforts
Change Barriers	• Time and resources
Mitigations	• Clear commitment/communications from DSAT Senior Leadership that DSAT requires ongoing development focus on eFSAP and eIPP

Ongoing – Upgrade all DSAT Systems

Next Steps	• In particular address need for cutting edge tools and current lack of interoperability across tools
Accountabilities	• DSAT Senior Leadership • Deputy Director of Management (TBD)

	• IT/Quality Assurance
Dependencies	• Budget
	• Current Tools
Change Barriers	• Time and resources
Mitigations	• Clear commitment/communications from DSAT Senior Leadership that DSAT requires systems upgrades

Quick Wins

Take Advantage of Potential Quick Wins to Build Trust

Next Steps	• Senior leaders participate in inspections (or, at a minimum, schedule future participation) • Provide additional forums for employees to have equal access to senior leadership (e.g., town halls, "Leader Lunches," etc.) • Provide update on the results of this DSAT Organization Assessment highlighting key recommendations/next steps
Accountabilities	• Dr. Edwin • Other Senior Leaders
Dependencies	• None as this constitutes potential quick win
Change Barriers	• Time and availability
Mitigations	• Clear leadership direction/communications highlighting that the results of this analysis demonstrate the need for these and related actions

Create a Conference/Event Strategy

Next Steps	• Identify key conferences and other events of importance to DSAT • Create attendance/speaker strategy to maximize DSAT participation/brand • Create or amplify means to share lessons learned across all DSAT staff
Accountabilities	• DSAT Senior Leaders • Office of Communications
Dependencies	• None as this constitutes potential quick win and likely builds upon preliminary efforts likely underway in this regard
Change Barriers	• Time and availability
Mitigations	• Clear leadership direction/communications highlighting that the results of this analysis demonstrate the need for these and related actions

Appendix A: Proposed Training and Development Agendas

DSAT Proposed Leadership Development Program

Session 1: Understanding Yourself as a Leader

Day One
Lesson 1, Welcome and Kick Off (1 hour 30 minutes)
Lesson 2, The Role of the Manager at DSAT (2 hours, 10 minutes) • Managing and Leading • Expectations and Challenges of DSAT Leadership
Lesson 3, Emotional Intelligence (4 hours, 20 minutes) • Emotional Intelligence and Leadership • Interpreting Your EQ-i Assessment • Individual and Team Development
Summary of day, Plus/Delta
Day Two
Networking/icebreaker and recap
Lesson 4, Tools of Engagement (3 hours, 30 minutes) • Communication • Ladder of Inference
Lesson 5, Managing Conflict (3 hours, 15 minutes) • The Nature of Conflict • Conflict Styles
Summary of day, Plus/Delta
Day Three
Networking/icebreaker and recap
Lesson 6, The Accountable Manager (3 hours, 5 minutes) • Definition of Accountability How to Create an Accountable Culture (3 hours, 15 minutes)
Summary of day, Plus/Delta

DSAT Proposed Leadership Development Program

Session 2: Building High Performance

Day One
Lesson 1, Welcome and Overview
Lesson 2, Introduction to Building a High-Performing Culture (2 hours) • Definition of High Performing • High Performing Elements
Lesson 3, Building Individual Performance (4 hours, 20 minutes) • Holding Others Accountable • Setting Expectations • Feedback • Coaching • Delegation
Summary of day, Plus/Delta
Day Two
Networking/icebreaker and recap
Lesson 4, Addressing Performance Problems (2 hours, 20 minutes) • Performance versus Conduct • Addressing Performance Issues • Having Difficult Conversation
Lesson 5, Motivating Employees Through Recognition (2 hour, 20 minutes) • What Motivates Employees • What to Recognize and How to Recognize
Summary of day, Plus/Delta
Day Three
Welcome and recap
Lesson 6, Building Team Performance (3 hours, 40 minutes) • The Nature of Teams • Building a High Performing Team Culture
Summary of day, Plus/Delta

DSAT Proposed Leadership Development Program

Session 3: Building Stakeholder Relationships

Day One
Lesson 1, Welcome and Overview
Lesson 2, Personal Influence (3 hours)   • Collaborative Leadership   • Influence and Power
Lesson 3, Influencing Key Relationships and Building Alliances (6 hours, 40 minutes)   • Stakeholders and Influence   • Political Savvy   • Alliance Mindset   • Understand Your Stakeholder   • Being a Trusted Ally
Summary of day, Plus/Delta
Day Two
Networking/icebreaker and recap
Lesson 3, Influencing Key Relationships and Building Alliances (continued)
Lesson 4, Managing Up (3 hours)   • Strategies for Strengthening Communication with your Boss   • Addressing Communication Challenges   • Best Practices for Managing Up
Summary of day, Plus/Delta
Day Three
Welcome and recap
Lesson 4, Managing Up (continued)
Lesson 5, Bringing it All Together (3 hours, 30 minutes)   • Culminating Activity   • Program Summary

DSAT Proposed Resilience Training for Staff

Day One
Lesson 1, Welcome and Overview (10 minutes)
Lesson 2, Identifying Stressors (45 minutes)   • Activity: Environmental Scan
Lesson 3, Exploring Resilience (45 minutes)   • Define Resilience   • Circle of Concern/Circle of Influence   • Reframe Stressors
Lesson 4, Developing Resilience (30 minutes)   • Explore Resilient Traits   • Review Research   • Identify Skills Involved in Resilience
Lesson 5, Explanatory Styles (45 minutes)   • Permanence, Pervasiveness, Personalization   • Activity: Discovering Your Style
Lesson 6, Building Resilience (1 hour)   • Changing Your Style   • Building Your Resilience Skills
Lesson 7, Closing (5 minutes)