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FARM CREDIT ADMINISTRATION



**STRATEGIC HUMAN CAPITAL PLAN
FY 2014 – 2018**

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INTRODUCTION

The Farm Credit Administration is an independent agency in the Executive branch of the U.S. Government. We are responsible for the regulation and examination of the banks, associations, and related entities that constitute the Farm Credit System (FCS or System), including the Federal Agricultural Mortgage Corporation (Farmer Mac).

FCA's mission is to ensure a safe, sound, and dependable source of credit and related services for all creditworthy and eligible persons in agriculture and rural America. We have two primary strategic goals:

- **Goal I:** Ensure that the System and Farmer Mac fulfill their public mission for agriculture and rural areas.
- **Goal II:** Evaluate risk and provide timely and proactive oversight to ensure the safety and soundness of the System and Farmer Mac.

Achievement of these strategic goals depends largely on our people, talent, and technology. Therefore, the people who work for and with FCA are a strategic priority for us. We will continue to invest in hiring, developing, and retaining a talented, diverse workforce and to provide employees with the tools they need to be highly effective. We strive to keep our work environment positive, innovative, diverse, and family-friendly, and we encourage teamwork and high productivity.

The primary purpose of this human capital plan is to identify our future workforce needs. We want to make sure we have the right number of people with the right skills, experiences, and competencies in the right jobs at the right time.

We developed the human capital assessment and strategic initiatives included in this plan under the Office of Personnel Management's Human Capital Assessment and Accountability Framework. This framework requires us to align the Human Capital Plan with the Strategic Plan and to ensure that human capital strategies are sufficient to meet the following requirements:

- **Leadership and Knowledge Management:** Agency leaders and managers must effectively manage people, ensure continuity of leadership, and sustain a learning environment that drives continuous improvement in performance.
- **Results-Oriented Performance Culture:** The workforce must be diverse and results-oriented, and must operate under a performance system that effectively differentiates between high and low performance and links individual, team, and unit performance to organizational goals and desired results.
- **Talent Management:** Gaps or deficiencies in skills, knowledge, and competencies must be closed for mission-critical occupations, and meaningful progress must be made towards closing these gaps in all other occupations.

The framework also requires a system of accountability for monitoring and evaluating the effectiveness of human capital policies, programs, and practices. FCA's Human Capital Steering Committee (composed of the Chief Operating Officer, office directors, and Chief Human Capital Officer) reviews initiatives and action plans, provides a formal process for improvements, and monitors progress.

The following figure shows FCA's organizational structure. Approximately 60 percent of FCA staff is in the Office of Examination, 18 percent is in the Office of Management Services, and 9 percent is in the Office of Regulatory Policy. Other offices perform essential functions but require fewer staff members.

FCA maintains its headquarters and a field office in McLean, Virginia, with additional field offices in Bloomington, Minnesota; Dallas, Texas; Denver, Colorado; and Sacramento, California.

SUCSESSES IN HUMAN CAPITAL MANAGEMENT

As a result of our human capital initiatives, we have had several significant successes:

- While unusually high retirement rates present a continuing challenge, we have a robust employee hiring and development program, and we have taken actions to improve succession.
- General attrition has remained stable when the impact of increasing retirement rates is factored out.
- Our commission training program has produced a cadre of commissioned examiners in the Office of Examination that also serves as a source of staffing for other offices.
- By continually assessing human capital needs, we have established appropriate human capital requirements, and we have used our human capital assessments to develop, enhance, and redirect training and development programs.
- Significant advances in our information technology infrastructure have improved the manner in which we work, collaborate, gather information, review, approve, and store work products. These advances have improved the effectiveness of our workforce and resulted in greater efficiency.
- To improve accountability and build more consistency and discipline into work and supervisory processes, we have implemented supplemental performance standards and metrics for both employees and managers.
- We have human capital policies and procedures that promote talent and a results-oriented performance culture.
- The Office of Personnel Management has formally recognized our agency for fostering accountability in diversity and inclusion. We have emphasized diversity in our recruiting, training, policies and procedures, and management/employee performance standards. As a result, the diversity of our workforce is growing.
- FCA remains an attractive employer. Despite the challenge of maintaining compensation programs that are comparable to other Federal bank regulatory agencies with larger staffs and budgets, our salaries remain generally competitive. In addition, we have competitive employee benefits, recruitment bonuses, student loan repayment programs, employee assistance programs, and flexible work schedules and telework alternatives. Employee surveys continue to rank FCA's work/life environment very high.

GAPS AND STRATEGIC INITIATIVES FOR HUMAN CAPITAL MANAGEMENT

We completed a human capital assessment to identify gaps and challenges in the Agency's human capital. This assessment included surveys of office directors and employees, and evaluations of the workforce. The results of this assessment are summarized in this section with additional detail included in Appendix A.

To address workforce gaps and challenges, we have established the following interrelated strategic initiatives. Most of these strategies have been in place for several years. Each office is responsible for implementing actions required to accomplish these strategic initiatives in coordination with the Human Capital Steering Committee and the Chief Human Capital Officer.

- 1. Key-Person Dependency** Identify positions in which risk of key-person dependency (KPD) exists and ensure that plans are sufficient to build bench strength and manage succession for these positions.

Key personnel are employees who are critical to the success of the Agency. If key personnel have roles that are not easily filled and bench strength is insufficient to fill these roles, then KPD exists, and business continuity and the successful accomplishment of the Agency's mission may be at risk. KPDs typically exist where employees possess unique leadership or subject-matter expertise that is not easily transferable, make decisions that directly affect the success of the Agency, and may possess significant tenure and institutional memory. KPDs are usually associated with mission-critical positions, but they may also involve positions that provide essential specialized support.

At FCA, unusually high retirement rates and turnover have increased KPD and created challenges for succession. We have taken several actions to mitigate KPD. Nonetheless, most offices have employees who serve in unique and critical leadership positions or have unique skills that would be difficult to replace.

We are taking several measures to mitigate KPD risk such as cross-training, external hiring, and creating pools of management and leadership talent that can be more readily drawn upon to fill turnover in key personnel. In addition, we are providing opportunities for managers to attend executive training in preparation for greater leadership roles. We also have plans to implement a leadership development program.

Action Plan:

The Human Capital Steering Committee will

- **identify positions and related core competencies in which KPD risk exists, and**
- **establish plans to build employee skills, increase bench strength, and ensure succession.**

2. Employee Turnover

Meet projected staffing needs through aggressive hiring.

Because of unusually high retirement rates, maintaining our skills, experience, talent, and institutional memory is a challenge. Extensive hiring over the past few years to replace turnover has reduced average workforce tenure and experience, and we expect this decline to continue. In addition, almost all offices report that they are understaffed in relation to workload and approved staffing levels. Although we have hired several new staff members and the hiring process has been streamlined, changes in the Federal hiring program have created a challenge for us to recruit and hire the number of high-caliber individuals needed with the desired qualifications and skills.

The following table shows FCA's overall staff attrition for the past five fiscal years. Because of the percentage of employees eligible for retirement, we expect the attrition rate to increase.

All Employee Attrition*

Fiscal Year	Number of Separations	Percentage of Workforce
FY 2012	25	8.4%
FY 2011	24	8.2%
FY 2010	21	7.4%
FY 2009	16	5.9%
FY 2008	22	8.5%

*Excludes FCA Board Members.

The following chart identifies the percentage of employees by office who are eligible to retire over the next five years. As you can see, 23 percent of employees are currently eligible to retire, and 37 percent will be eligible to retire within the next five years.

Retirement Eligibility Report (July 1, 2013)

Office	Percentage of Staff Eligible to Retire by Office				
	Now	1 year	2 years	3 years	5 years
OB	50.0%	50.0%	60.0%	70.0%	90.0%
OCEO	33.0%	33.0%	33.0%	33.0%	33.0%
OCPA	16.7%	33.0%	33.0%	33.0%	50.0%
OE	16.1%	16.7%	19.0%	21.3%	24.7%
OSMO	25.0%	25.0%	50.0%	50.0%	50.0%
OGC	50.0%	50.0%	50.0%	57.1%	64.3%
OMS	24.5%	26.5%	26.5%	32.7%	44.9%
OIG	50.0%	50.0%	50.0%	50.0%	50.0%
ORP	43.5%	52.2%	60.9%	65.2%	65.2%
FCA	23.3%	25.1%	27.9%	31.4%	36.9%

Note: Retirement eligibility is determined by the first date an employee is eligible for retirement which could result in reduced benefits.

The primary implications of the unusually high employee turnover are as follows:

- Maintaining the skills, experience, talent, institutional memory, and leadership we need will be an increasing challenge, particularly in mission-critical positions.
- Succession planning is becoming critical and must mitigate risks created by key-person dependency.
- We must assign more employees to the task of training and developing the skills of new employees.
- Because of the decline in average tenure and experience of staff, we must increase project and examination management skills in our staff.
- We will have difficulty recruiting and hiring the number of high caliber-individuals needed with desired qualifications and skills.

An unusually heavy workload across almost the entire Agency has compounded the problems created by high employee turnover. The primary causes of the increased workload include the following:

- New legislation (e.g., Basel III, the Dodd-Frank Act) and reporting requirements have taken effect.
- Demand is increasing for faster changes to information technology and for more advanced technological solutions.
- We expect risks in the FCS to remain elevated.
- New examination programs are more in-depth and complex.
- The time we must devote to recruiting and training has increased.
- The use of temporary contract employees has been significantly restricted.

Action Plan:

The Human Capital Steering Committee will

- **establish a dashboard reporting process to monitor real-time staffing and staffing gaps, and**
- **identify ways to make the hiring process more effective and efficient.**

3. Competencies Continue training programs and strategies to increase technical competencies of employees, with greater emphasis on technology skills.

The core competencies and technical skills that employees need will continue to rise because of increasing complexities in the FCS, Farmer Mac, regulatory environment, and examination programs. In addition, employees need deeper skills in technology and database analysis to fully benefit from the significant investments we've made in technological infrastructure (e.g., new software, tools, and data). More specifically:

- As complexity increases in FCS institutions and in the regulatory and policy environment, FCA examiners' core skills in credit, finance, and operations must become ever-more sophisticated.
- Technology continues to change rapidly and become more complex. As a result, FCA staff members continually need more advanced technology skills to effectively develop and use our technology infrastructure. For example, advanced skills are needed in database analysis and financial modeling. In addition, the technology environment at FCS institutions is becoming more complex.
- Requests from the FCS to approve new products, services, and alliances are becoming more complex.
- Our need for core competencies continues to increase in the following areas: project management, plain writing, mobile web technology, business process analysis and design, workflow development, time management, electronic records management, customer relations management, IT security, software, and contract management.
- Project management and related soft skills are becoming more essential because of the increasing size and complexity of FCS institutions, the number of new employees who require coaching, and the number of Agency initiatives to improve operations and efficiencies.

We are taking the following actions to address these critical competency needs:

- We provide a comprehensive internal training program as part of the commissioning program. In addition, we provide "just-in-time" training to educate staff about new regulations and work applications.
- We provide training programs that allow staff to specialize in the most complex credit, finance, and operations risks.
- We recruit externally for mid-career technical and subject-matter specialists to complement our normal hiring and obtain more advanced competencies.

In addition, we may take the following measures to further address competency gaps:

- Establish more robust processes for transferring knowledge from employees who are near retirement to other employees.
- Use existing training tools more effectively to improve technology skills.
- Increase staff competencies by creating more opportunities for staff members to collaborate on projects with staff in other offices and divisions.
- Leverage existing leadership development programs across all offices.
- Use performance plans (with agreed-upon expectations) more broadly across the Agency to ensure that employees develop the skills they need.

Action Plan:

The Human Capital Steering Committee will

- **ensure all core competency needs are incorporated into training and development of staff;**
- **facilitate coordination and sharing of training and development programs among the offices;**
- **promote joint projects and resource sharing; and**
- **identify employees near retirement who have unique knowledge and provide opportunities for knowledge transfer, either through training courses or other avenues.**

- | | |
|-------------------------------|--|
| 4. Employee Engagement | Continue to create opportunities for employees to become more engaged with their work. |
|-------------------------------|--|

FCA has a highly skilled workforce that is generally engaged, and we would like to find ways to increase employee engagement. To do so, we must address issues that threaten engagement, such as the continuing freeze on salary scales, increased attrition, excessive workloads, and challenges in developing competencies and transferring knowledge to new employees.

We have taken the following strategies to increase employee engagement:

- We give employees opportunities to pursue career paths within FCA that complement their interests and strengths.
- We encourage our managers to communicate regularly with staff, to clearly convey expectations, to give constructive feedback and coaching, and to empower employees in accordance with their skills and experience.
- We provide opportunities for employees to work on projects and special assignments outside their normal duties.
- We provide increasingly challenging assignments.
- We offer award systems to recognize staff, and we encourage managers to recognize employees through both formal and informal means.
- We try to recognize each individual's unique talents by matching the right person to the right assignment.
- We offer and effectively balance numerous work/life programs to employees that promote a productive and supportive work environment (e.g., flexible work schedules, telework, employee assistance program).
- We ensure that our compensation is comparable to other agencies governed by the Financial Institutions Reform, Recovery and Enforcement Act of 1989.
- We offer leadership development training and opportunities.

Action Plan:

The Human Capital Steering Committee will

- **foster a workplace that encourages employee engagement, motivation, and commitment; and**
- **provide ongoing training and constructive feedback to managers on ways to motivate and increase employee engagement.**

5. Diversity and Inclusion Continue increasing workplace diversity and promoting inclusion.

Although FCA has a relatively diverse workforce, we will continue promoting diversity and inclusion in our workforce and equitable treatment of all applicants and employees. We emphasize diversity in recruiting, training, and awareness, and we have a plan addressing diversity and inclusion. In addition, our Board has appointed a Director of EEO and Inclusion, who reports directly to the Board Chair. The Director is responsible for all aspects of EEO and Inclusion, and also administers the remediation program for resolving related complaints.

We are using the following strategies to maintain and improve diversity and inclusion:

- In recruiting, we reach out to diverse groups, such as the Hispanic Association of Colleges and Universities, Inroads, and the Workforce Recruitment Program for College Students with Disabilities.
- Recruiting at career fairs targets persons with disabilities and members of minority groups.
- We provide diversity and inclusion training and awareness programs to all staff. This training recognizes diversity goes beyond race and gender and embraces inclusion of different ideas and backgrounds.
- All managers and employees have EEO performance standards.
- Policy and procedures comprehensively address diversity, EEO, and workplace harassment.
- We publicize EEO complaint procedures and policies and share them with the entire workforce.
- We sponsor and support numerous special interest programs that recognize and celebrate diversity and inclusion.
- We provide accessible accommodations for employees with disabilities.
- We educate employees about the value of diversity through awareness programs.
- We have adopted regulations that address diversity and inclusion in the Farm Credit System.
- Human resources staff have agreed-upon expectations for developing recruiting plans that promote diversity.

Because of these initiatives, the percentage of the FCA workforce that consists of minorities, women, employees with disabilities, and veterans has been stable or growing. About 43 percent of all FCA employees are women, 22 percent are minorities, 13 percent have disabilities, and 13 percent are veterans.

Action Plan:

The Human Capital Steering Committee will continue to

- **support a culture that recognizes, values, and supports diversity, inclusion, and equitable treatment of all applicants and employees;**
- **recruit among diverse and broad groups;**

- **reissue the EEO policy statement annually as a demonstration of leadership commitment to EEO and diversity principles; and**
- **conduct ongoing diversity training and awareness with leaders and employees.**

APPENDIX A – HUMAN CAPITAL PROFILE AND ASSESSMENT

This appendix summarizes our evaluation of the FCA workforce, identifies the gaps and challenges in human capital, and describes the strategies and actions that we have taken. We used FCA employment data as of September 30, 2012, in our evaluation, unless stated otherwise. All staff numbers exclude the three FCA Board Members, except for the charts in the section titled Current Staffing.

Current Staffing

The following table and chart show current staffing compared to approved levels of staffing. These projections show that we are 33 positions below approved staffing levels for 2013 and 37 positions below proposed staffing levels for 2014, excluding interns. Assuming a 10 percent attrition rate and no hiring, this gap would increase to 70 positions by year-end 2014. This assumption is higher than past attrition rates but can be justified by the increased percentage of the workforce eligible for retirement. Therefore, hiring must remain a major effort.

Organizational Unit	Current Staffing (as of 7/1/2013)			Approved Staffing		Gap between Current Career Staff and FY 2014 Proposed Staffing
	Career Staff	Interns	Total	FY 2013	FY 2014	
Board	8	0	8	8	8	0
Office of CEO	2	0	2	2	2	0
OCPA	5	1	6	7	7	-2
OE	159	10	169	175	179	-20
OGC	14	0	14	14	14	0
OMS	46	2	48	55	55	-9
OIG	4	0	4	5	5	-1
OSMO	4	0	4	5	5	-1
ORP	23	1	24	27	27	-4
Totals	265	14	279	298	302	-37

Staffing Gap by Office

	Career Positions (as of 7/1/2013)	FY 2014 Proposed Staffing	
OSMO	4 5		
OIG	4 5		
OCPA	5 7		
OB/CEO	10 10		
OGC	14 14		
ORP	23 27		
OMS	46 55		
OE		159	179
FCA			265 302

Employee Turnover

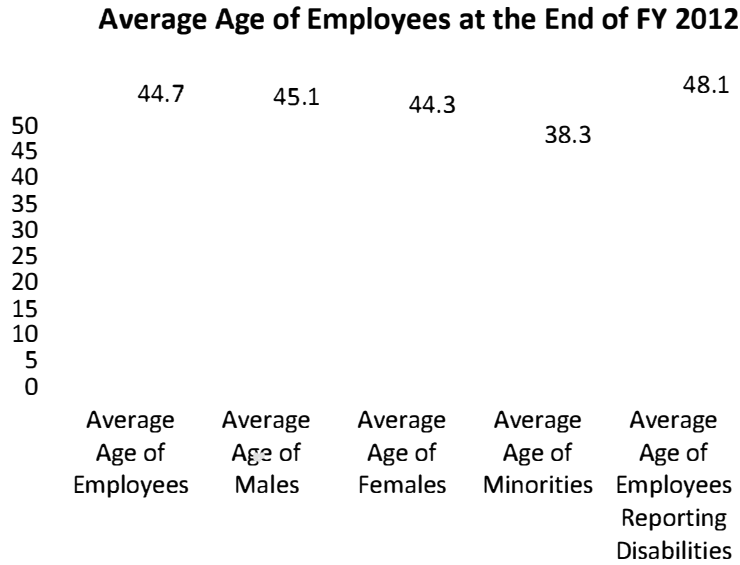
A significant portion of the workforce is eligible to retire. The average retirement age of FCA employees who voluntarily retired between FY 2001 and FY 2011 was approximately 60. During this period, FCA employees stayed on the job an average of 2.9 years after becoming eligible for retirement. The following chart shows the number eligible to retire as of September 30, 2012 (excludes Board members).

FCA Employees Eligible to Retire as of September 30, 2012

Eligibility Point	Number Eligible	Percentage of Total Workforce
Civil Service Retirement System (CSRS)		
Age 55 + 30 Years of Service	25	8.4
Age 60 + 20 Years of Service	2	0.7
Age 62 + 5 Years of Service	1	0.3
Federal Employees Retirement System (FERS)		
MRA + 30 Years of Service	10	3.3
Age 60 + 20 Years of Service	14	4.7
Age 62 + 5 Years of Service	0	0.0
Total Eligible	52	17.4

Age Profile

The following figure shows the age profile of FCA's workforce. The average age of the workforce was 44.7 years at the end of FY 2012, 45.0 at the end of FY 2011, and 47.2 at the end of FY 2006. The average age has declined because of high turnover and recruiting. However, a significant percentage of the workforce continues to be at or near the age of retirement eligibility. Of the 299 total FCA staff, 92 are 55 years of age or older (compared with 81 employees who were 55 or older in FY 2011), and 37 are between the ages of 50 and 54 (compared with 40 employees in this age category in FY 2011). As retirements continue, we expect the average age and tenure of staff to continue declining.



FCA Employees by Age Group at the End of FY 2012



Mission-Critical Employee Profile

The Office of Personnel Management defines mission-critical positions as “occupations agencies consider core to carrying out their missions. Such occupations usually reflect the primary mission of the organization without which mission-critical work cannot be completed.” FCA’s mission-critical occupations include the following:

- FCA examiners
- Policy analysts
- Attorney advisors
- Executive leadership

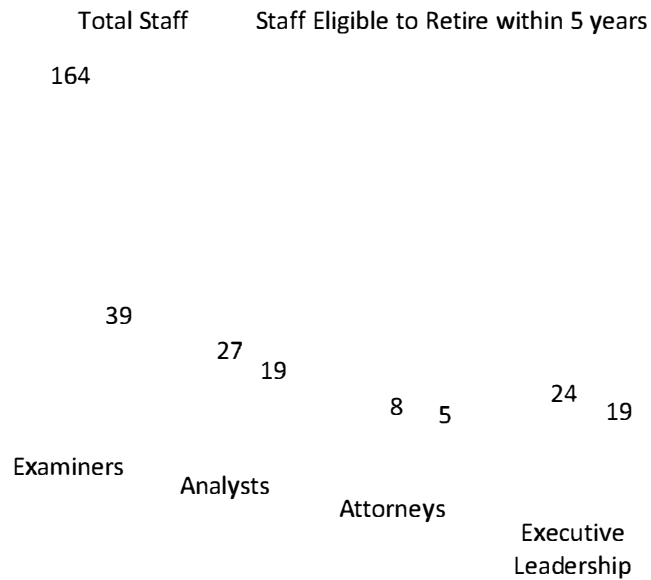
The following figure shows the profile of mission-critical employees. Mission-critical employees represent 75 percent of the workforce. The average age of these employees was 41 for examiners and policy analysts, 50 for attorney advisors, and 56 for executive leadership.

FCA Employee Characteristics for Mission-Critical Positions at the End of FY 2012

Series Characteristics	Examiners and Analysts	Executive Leadership	Attorney Advisors
Number of employees	191	24	8
Number of males	127	18	2
Number of females	64	6	6
Number of minorities	40	0	0
Number of employees reporting disabilities	20	3	2
Average age of employees	41.5	56.0	49.8
Average age of males	43.3	57.1	45.8
Average age of females	37.9	52.6	51.1
Average age of minorities	35.8	n/a	n/a
Average age of employees reporting disabilities	47.2	55.0	48.8
Average grade of employees	38.9	43.0	40.6
Average grade of males	38.2	43.2	40.0
Average grade of females	37.8	42.7	40.8
Average grade of minorities	37.1	n/a	n/a
Average grade of employees reporting disabilities	39.0	43.3	40.0
Average length of Federal service of employees	13.9	27.0	17.1
Average length of Federal service males	14.9	27.8	16.8
Average length of Federal service females	11.5	24.8	17.1
Average length of Federal service of minorities	10.3	n/a	n/a
Average length of Federal service of employees reporting disabilities	17.0	24.4	16.1

The following figure shows retirement eligibility of mission-critical employees. The number of mission-critical employees who are currently eligible or will become fully eligible to retire through FY 2018 represents 37 percent of all the mission-critical employees as of September 30, 2012.

**Employees in Mission-Critical Positions
Who Are Fully Eligible to Retire by 2018**



To replace employees in mission-critical positions, we hire aggressively and provide a robust training program. Through this training program, we hire entry-level staff and develop them into commissioned examiners over a period of about four years. Commissioned examiners have also historically been a primary source of staff for other mission-critical positions in FCA, particularly for policy analyst positions.

Our commissioning training program averages about a 50 percent retention and commissioning rate after four years, which is generally consistent with other bank regulators with similar commissioning programs. Our staffing and hiring projections recognize the necessary developmental period and the retention rate, along with the significant resource commitment of experienced examiners for training and knowledge transfer.

Workforce Diversity

At fiscal year-end 2012, FCA had 299 employees (excluding Board members). The following table shows trends in the characteristics and demographics of the workforce from FY 2007 through FY 2012.

All FCA	2007	2008	2009	2010	2011	2012
Number of employees	254	260	270	284	294	299
Women	43.7%	43.5%	42.6%	41.6%	43.5%	42.8%
Minorities	16.9%	16.9%	17.0%	19.0%	20.4%	22.1%
Supervisors and managers	16.9%	15.8%	17.0%	15.9%	15.0%	15.7%
Employees reporting disabilities	13.0%	11.9%	12.2%	13.0%	12.25	13.0%
Employees reporting targeted disabilities	2.0%	2.6%	2.2%	2.1%	2.0%	3.7%
Veterans	9.4%	8.1%	7.4%	7.0%	11.2%	12.7%
Average age of employees	46.7	46.0	45.6	45.5	45.0	44.7
Average grade of employees	38.4	38.3	38.4	38.6	38.4	38.3
Average length of Federal service of employees	18.7	17.9	17.6	16.8	16.2	16.4

The following table provides additional detail on gender, race, and national origin of employees and employees with disabilities.

Workforce Profile Farm Credit Administration

Date	Total Employees*	Males		Females		Minorities		Employees with Disabilities		Targeted Disabilities	
		#	%	#	%	#	%	#	%	#	%
12/31/98	281	167	59.4	114	40.6	32	11.4	10	3.6	2	0.7
9/30/99	301	167	55.5	134	44.5	35	11.6	9	3.0	2	0.7
9/30/00	284	164	57.7	120	42.3	33	11.6	9	3.2	2	0.7
9/30/01	275	157	57.1	118	42.9	40	14.5	39	14.2	6	2.2
9/30/02	280	160	57.1	120	42.9	47	16.8	37	13.2	5	1.8
9/30/03	289	166	57.4	123	42.6	54	18.7	42	14.5	5	1.7
9/30/04	286	167	58.4	119	41.6	53	18.5	39	13.6	5	1.8
9/30/05	261	151	57.8	110	42.2	45	17.2	38	14.6	7	2.7
9/30/06	256	146	57.0	110	43.0	43	16.8	37	14.5	4	1.6
9/30/07	257	145	56.4	112	43.6	43	16.7	33	12.8	4	1.6
9/30/08	263	149	56.7	114	43.3	44	16.7	31	11.9	6	2.3
9/30/09	272	156	57.4	116	42.7	46	16.9	32	11.8	6	2.2
9/30/10	287	168	58.5	119	41.5	55	19.2	37	12.9	6	2.1
9/30/11	297	168	56.6	129	43.4	61	20.5	36	12.1	6	2.0
9/30/12	299	171	57.2	128	42.8	66	22.1	39	13.0	11	3.7

Supervisor Profile

The following figure shows the number of supervisors employed by FCA from FY 2007 through FY 2012 and includes their average age, grade, and length of service. Supervisors represented 15.7 percent of the workforce at the end of fiscal year 2012.

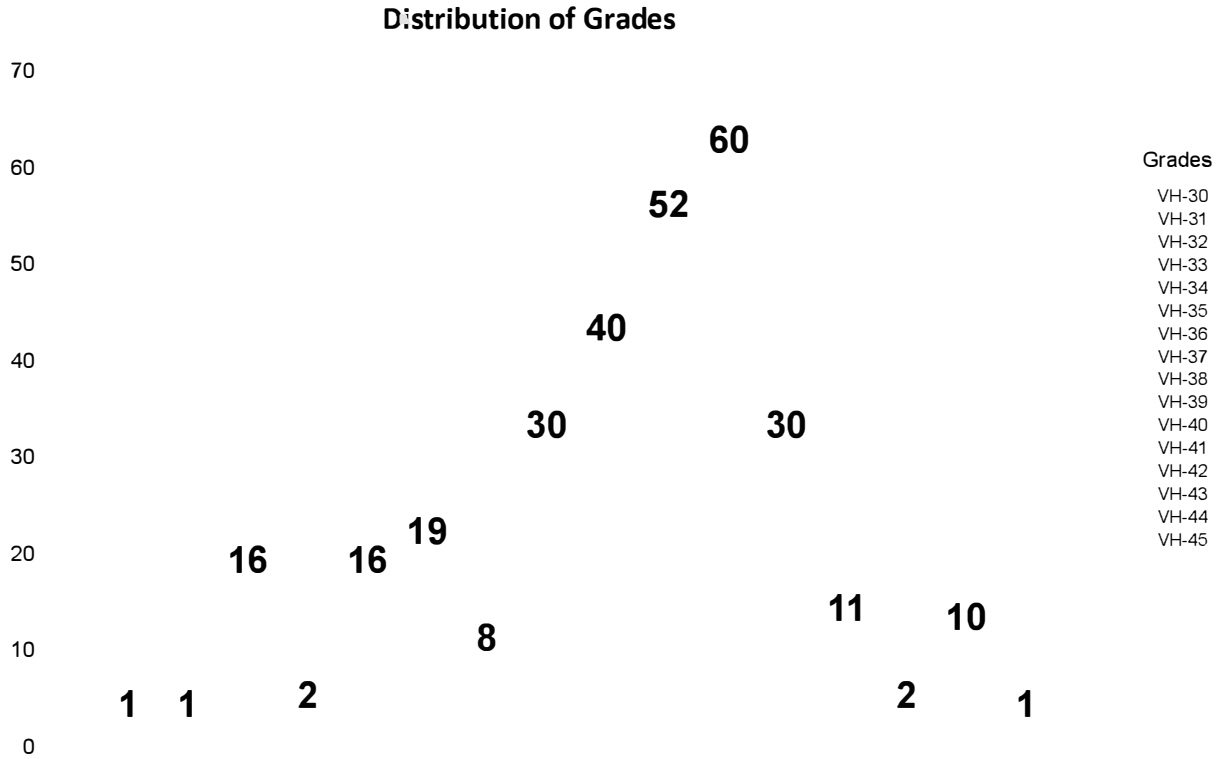
The average age of supervisors increased from 52.1 in 2006 to 55.1 at fiscal year-end 2012. The average length of Federal service for supervisors increased from 24.1 years in 2006 to 27.3 years at fiscal year-end 2012. The supervisors who are currently eligible or will become eligible to retire through FY 2018 represent 62.7 percent of all supervisors.

FCA Supervisors

	2007	2008	2009	2010	2011	2012
Average Age	53.04	52.54	52.64	53.84	54.28	55.07
Average Grade	41.6	41.73	41.5	41.42	41.55	41.57
Length of Service	24.43	24.91	25.63	26.75	27.17	27.28

Distribution of Grades

The following figure shows the distribution of grades across the FCA workforce as of September 30, 2012.



Employee Survey

FCA participated in the 2012 annual employee survey conducted by the Office of Personnel Management. The survey measured employee views in the following areas:

- Results-oriented performance culture
- Leadership and knowledge management
- Job satisfaction
- Talent management
- Communication
- Empowerment
- Diversity

Results of the survey were generally favorable. More than 75 percent of employees responded that they were satisfied or very satisfied with FCA, 73 percent would recommend FCA as a good place to work, 90 percent agree supervisors treat them with respect, 99 percent state they are willing to put in extra effort to get the job done, and 79 percent believe policies and programs promote workplace diversity. In addition, 80 percent or more agreed with the following statements:

- Their coworkers cooperate to get the job done.
- They are given a real opportunity to improve their skills.
- They like the kind of work they do.
- Their supervisors support the balance of work and family issues.
- They understand how their work relates to the Agency's goals and priorities.
- Physical conditions of the workplace allow them to perform their jobs well.
- They are protected from health and safety hazards on the job.
- The Agency has prepared them for security threats.
- They feel that the work they do is important.
- The workforce has the job-relevant knowledge and skills to accomplish organizational goals.
- They have trust and confidence in their supervisors.
- Their immediate supervisors are doing a good, or very good, job.
- Supervisors support employee development.

FCA's Human Capital Steering Committee reviews results of the survey, works with the FCA Employees' Council to discuss survey results and provide an open forum for suggestions from staff, and takes actions to address findings.

FCA Budget

FCA's budget is consistent with, and supports the initiatives in, this Human Capital Plan. While the budget emphasizes the need to adhere to targeted spending levels and to continually seek greater efficiencies and cost-effective methods to accomplish the Agency's mission, it also recognizes the need to invest in human capital. The budget allows us to hire the employees we need. It also adequately funds training programs that develop and improve skills, as well as programs for sustaining expertise and transferring knowledge.

APPENDIX B – OFFICE QUESTIONNAIRE TEMPLATE

We sent a questionnaire to each office requesting the information we needed to develop this Human Capital Plan. We asked the office directors to respond to the following questions, then we incorporated their responses into this plan.

1. If your current Functional Statement does not accurately describe the duties and responsibilities of your Office, please provide an updated Functional Statement.
2. Identify any present Office needs or demands on your Office that are not being met and the resources that would be needed to meet those needs or demands.
3. Identify any anticipated changes to the duties and responsibilities of your Office over the next 5 years and the changes you propose to make to your Office structure or staff resources.
4. Identify any anticipated changes to the business processes of your Office over the next 5 years and resulting changes to your staff resources.
5. Identify any anticipated changes in the volume of your Office work over the next 5 years and resulting changes to your staff resources.
6. Identify new competencies (knowledge, skills, or abilities) you anticipate needing in your Office over the next 5 years.
7. Identify the approved accessions (i.e., hiring) for your Office over the next 5 years. Please include the following information: types and number of positions, series, grades, and brief description of duties and responsibilities.
8. Identify any career track promotions you plan to make during the next 5 years. Please include the following information: number of promotions, position titles, series, and grades.
9. Identify the attrition you anticipate in your Office over the next 5 years and your plans to address it (e.g., developmental assignment, training, etc.). Please include the title, grade, and date that you anticipate the position(s) becoming vacant; how you intend to fill the position (e.g., same grade and position, different entry grade, or different position/location, etc.).
10. Please provide feedback on the value of this exercise and ways in which the process can be improved and the value of the product enhanced.

FARM CREDIT ADMINISTRATION



Human Capital Management Plan

FY 2013 – 2017

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Appendix B – Summary of FCA Office Responses to the Human Capital Survey

Appendix C – Office Responses to the Human Capital Survey

Appendix D – Office Resource Models

Appendix E – Benefits Comparison Chart – Federal Bank Regulatory Agencies (FBRAs)

FARM CREDIT ADMINISTRATION

PART I

HUMAN CAPITAL PLAN

Section I. INTRODUCTION

The Farm Credit Administration (FCA or Agency) is an independent agency in the executive branch of the U.S. Government. It is responsible for regulating and examining the banks, associations, and related entities of the Farm Credit System (FCS or System), including the Federal Agricultural Mortgage Corporation (Farmer Mac). The FCS is a nationwide network of borrower-owned financial institutions that provide credit to farmers, ranchers, and agricultural and rural utility cooperatives. Originally created in 1933 by an Executive order of President Franklin D. Roosevelt, the Agency derives its powers and authorities from the Farm Credit Act of 1971, as amended (Act).

The FCA does not receive a Federal appropriation. It is funded through assessments paid by System institutions. The Agency maintains its headquarters and a field office in McLean, Virginia. There are also field offices in Bloomington, Minnesota; Dallas, Texas; Denver, Colorado; and Sacramento, California.

The FCA Strategic Plan embraces the Agency's two principal program responsibilities: ensure that the System fulfills its public mission for agriculture and rural areas and that all FCS institutions operate safely and soundly. The plan incorporates means and strategies to accomplish human capital goals and performance measures.

The transformation of FCA's workforce into innovative and efficient teams dedicated to service excellence and to providing for the safety and soundness of the FCS requires a diverse and highly motivated staff with the skills, talents, and knowledge necessary to support the Agency's mission. To that end, we have created FCA's Human Capital Plan to ensure the continued development of a workforce that is high-performing, results-oriented, and aligned with the Agency's strategic goals and objectives. The Agency's Equal Employment Opportunity and diversity initiatives have also been integrated into the Human Capital Plan to achieve greater results in diversity and the plan continues to build on the synergy that we have achieved by having a combined focus on the programs. Our Human Capital Plan will help us integrate workforce planning and deployment, employee development, and recruitment and retention strategies into our strategic planning process.

The framework of FCA's Human Capital Plan is based on guidance provided by the Office of Management and Budget (OMB), the Office of Personnel Management (OPM), and the U.S. Government Accountability Accounting Office (GAO). The guidance, known as Human Capital Standards for Success, was developed to ensure that agencies engage in a comprehensive and strategic evaluation of their human capital needs. While developing the Human Capital Plan we made minor modifications to the standards and terminology of the guidance to better reflect the accomplishment of FCA's mission. The major elements of the FCA's Human Capital Plan are:

**Strategic Alignment Workforce Planning
and Deployment Leadership and
Knowledge Management Results
Oriented Performance Culture Talent**

Accountability

A thorough assessment of FCA's human capital practices and processes was conducted in conjunction with the development of all elements of the Human Capital Plan. Part II of the Human Capital Plan highlights FCA's accomplishments in the area of human capital. Part III identifies the human capital initiatives that have been developed to enhance the Agency's human capital program. Part IV includes the FCA's Human Capital Management Report and Part V includes implementation plans that have been developed to ensure the human capital initiatives are achieved.

Section II. FCA'S HUMAN CAPITAL GOALS

Employees are FCA's most valuable asset. This Human Capital Plan reflects FCA's commitment to provide the support, training, and leadership for its employees so that all can work together to fulfill the Agency's mission. To ensure that FCA is able to meet its human capital needs now and in the future, the following human capital goals have been developed:

- Goal 1** Agency systems and organizational structures are well designed and work together to position and support FCA employees in accomplishing the Agency's strategic goals.
- Goal 2** FCA attracts and retains a diverse and talented workforce.
- Goal 3** FCA employees are highly capable and perform to their potential to support the Agency mission.
- Goal 4** FCA employees are result-focused, act with integrity, and help to ensure the safety, soundness, and future of the FCS through innovation and creativity.
- Goal 5** Teamwork and collaboration are routinely practiced with internal and external partners.

FARM CREDIT ADMINISTRATION

PART II

DOSSIER OF HUMAN CAPITAL ACCOMPLISHMENTS

Section I – Strategic Alignment

Agency human capital strategy is aligned with mission, goals, and organizational objectives and integrated into its strategic plans, performance plans, and budgets.

A. Accomplishments

Human Capital Focus

FCA values its employees and realizes that they are key to successfully accomplishing its mission. As a result, FCA has encouraged the use of a human capital focus in the development and implementation of systems and organizational structures to ensure they are well designed and work together to position and support employees in accomplishing the Agency's strategic goals.

FCA's Strategic Plan establishes an Agencywide vision that guides human capital planning and related investment activities. Human capital goals are linked to mission achievement through the Strategic Plan. As part of the Strategic Plan accountability process, progress towards achieving all Agency milestones and activities are tracked on a periodic basis.

The Human Capital Plan describes goals and objectives that are linked to the FCA Strategic Plan. As strategies are developed to achieve the objectives, they are being communicated to all FCA employees. Items are budgeted for as necessary to support the achievement of the objectives. Human capital activities are also tracked in the Agency's Performance Plan.

The Strategic Plan, Performance Plan, and Human Capital Plan communicate the need for accountability as well as the responsibilities of employees, sup-

ervisors, and managers for accomplishing human capital strategies and management. FCA's existing policies also document responsibilities for human capital management.

Government-wide Human Capital Collaboration

To leverage its efforts, the FCA works with others to share best practices and learn about new developments in Human Capital Management. FCA regularly consults with other financial regulatory agencies regarding their practices in compensation and employee benefits and participates in a joint annual compensation survey with them. Other employee benefit programs (e.g., long term disability coverage, the use of sick leave in the Leave Bank and Leave Transfer Programs and increased employer contribution to the Federal Employee Health Benefits (FEHB) program), were implemented as a part of our human capital strategies after extensive review of other government agencies' policies and programs.

To increase our knowledge and to leverage the experience of others, FCA participates in human capital management and professional groups. The Chief Human Capital Officer (CHCO) and his staff regularly participate in the Small Agency Human Resources Council and the Society for Human Resource Management.

Human Resources Collaboration

Senior leaders, managers, human resources professionals, and key stakeholders contribute vital input to the Agency's human capital vision and the broader strategic planning process. Human resources professionals act as consultants to help managers develop, implement, and assess human capital policies and practices to achieve the organization's shared vision.

Key human resources professionals and key stakeholders participated in the development of the Strategic Plan and the Human Capital Plan. In addition, the Agency looked beyond its own experience and resources in the development of its human capital strategies. The policy development process for human capital includes environmental scanning to review the policies and practices of other agencies for applicability to FCA. In addition, input from employee groups, such as the FCA Employees' Council and Federal Women's Program Committee, is routinely considered in policy development.

FCA is also using automation and information systems to promote employee self-service and manager access to a broad range of human capital information and indicators. A number of these initiatives has already been accomplished and include the following:

- The National Finance Center Employee Personal Page, which provides employees with access to personal payroll data.
- A web-based Flexible Spending Account Program.
- The FCA Employee Portal, which has links to systems that provide information about retirement planning, flexible spending accounts, personal savings, and health care.
- Network connectivity away from the office.
- An on-line New Employee Orientation (NEO) program.
- FCA Policies and Procedures Manual (PPM), which provides access to policies, services, and information on FCA activities.
- Laptop Computer workstations, which are available for all employees to ensure efficient access to email, PPMs, official

communications and work assignments.

- Human Resources Forms, which are available on the shared Lotus Notes database.
- Electronic access to Thrift Savings Plan (TSP) information.
- Electronic access to Official Personnel Folders (eOPF).
- A web-based Federal retirement calculator.

The Office of Management Services (OMS) has developed a system to assist with the tracking and projections of full time equivalents or FTEs. This system is an effective tool for reconciling FTE usage with the monthly Reports on Civilian Employment (SG-113-G) that are issued to OPM and OMB.

The Human Resources and Training Team (HRTT) regularly interacts with OMS managers and Teams to provide integrated management support.

Line managers seek consultative services from OMS on a regular basis. In addition, OMS has internal status meetings to ensure it is directing its resources to the highest priority issues. During these meetings, alternative strategies are explored to determine the most effective method of meeting the customer's needs.

Line managers are also involved in the policy development process. The policy development process includes review and input by senior management and staff.

B. Our Vision for the Future

FCA Staff will continue to follow up on human capital commitments made in the context of strategic planning and will ensure that those responsible for human capital planning fully participate as strategic plan updates are developed. As a

result, FCA will institutionalize the processes that have already been developed, continue to cultivate the participation and oversight of Agency leaders, broaden understanding of and participation in human capital efforts at all levels, and improve the data used to monitor and guide the progress in achieving human capital goals (including the implementation of annual employee surveys on human capital.)

Section II – Workforce Planning and Deployment

An agency is citizen-centered, delayed, mission-focused, and leverages e-Government and competitive sourcing.

A. Accomplishments

FCA is mission-focused. To accomplish its mission, FCA focuses on the specific needs of its customers and the public. To efficiently and effectively achieve its mission, FCA leverages e-Government practices as appropriate.

FCA approaches workforce planning strategically, basing decisions on mission needs, customer expectations, workload, and the workforce. The responsibility for position management resides in OMS, which ensures that organizational efficiency and effectiveness are present in all actions taken.

Workforce strategies are based on identified current and future human capital needs, including size and deployment of the workforce. We identified the competencies needed to carry out the mission. We have also established practices for evaluating these competencies when planning for future human capital needs.

FCA has developed and uses multifaceted techniques to close competency

gaps in key areas in the organization (e.g., strategic recruitment, mentoring, and training).

B. Our Vision for the Future

FCA will continue to perform an annual analysis of the workforce. The Agency will ensure that the results of its analyses are broadly publicized and easily accessed so they can form the basis of human capital program revisions and individual human capital decisions. FCA will continue to monitor and facilitate work-force restructuring efforts and publicize the workforce flexibilities that support them. The Agency will also continue its investment in automated systems to support recruitment efforts, training initiatives, benefits counseling, and other human capital activities. In addition, FCA will continue to educate leaders and HRTT staff about using competitive sourcing as a strategic tool.

Section III – Leadership and Knowledge Management

Agency leaders and managers effectively manage people, ensure continuity of leadership, and sustain a learning environment that drives continuous improvement in performance.

A. Accomplishments

Leadership Planning and Implementation

FCA provides tools to Agency leaders and managers to effectively supervise employees. FCA also provides a learning environment through training to help improve employee performance. It identifies leadership competencies and establishes objectives and strategies to address them. Furthermore, FCA provides opportunities to facilitate effective

management, executive development and succession planning.

For supervisory development, FCA documents leadership competencies that are tied to supervisory qualifications. We assess employees against competencies and provide for the identification of developmental needs that are then incorporated into individual development plans (IDPs). FCA uses IDPs as a means of managing and planning employee development activities. Guidance for using IDPs includes both formal and informal training.

Change Management

The Agency has leaders in place who understand what it takes to effectively bring about changes that achieve significant and sustained improvements in performance. FCA leaders also strive to establish a clear vision for change and make necessary commitments to achieve results.

Through strategic and performance planning, leaders establish a clear vision for change and make necessary commitments to achieve results. Annual performance plans, budgets, and performance reports document plans for, and progress toward, achieving change goals.

The accomplishment of human capital objectives, performance plan initiatives, and strategic plan goals are periodically tracked and reported to senior management.

Currently, FCA has policies regarding Violence in the Workplace, Workplace Harassment, disciplinary actions and other guidance that create a clear image of expectations and prohibitions for all employees.

FCA has established competencies for all occupational categories. Requisite

training and development activities are tied to each competency. In addition, training programs have been established to support the needs of the core occupational groups.

FCA conducts Agencywide evaluations and assessments to determine current and future training needs. The results of these evaluations are used to develop, enhance, and if necessary, redirect the Agency's training programs. IDPs are used in the performance review process as a means of managing and planning employee development activities. The annual appraisal process includes consideration of individual development needs and goals for future improvement and career advancement.

FCA has implemented several e-learning initiatives to facilitate its change management practices (i.e., Employee Ethics training, EEO training, NEO, and Computer Security Awareness training). In addition, FCA has implemented a strategy that ensures the technology infrastructure is in place to support the greater utilization of e-learning by ensuring that laptop computers are available to all employees.

Integrity and Inspiring Employee Commitment

Leaders promote teamwork and communicate the shared vision to all levels of the organization. They also seek feedback from employees to gauge the level of understanding and the effectiveness of these initiatives. Employees respond by maintaining high standards of honesty and ethics.

Senior leaders generate high levels of motivation and commitment in the workforce and promote ethical behavior through modeling, communication, training, accountability systems, and disclosure mechanisms. This respect is re-

flected in the high marks senior leader receive in our annual employee surveys.

The Agency's policy on awards helps promote teamwork through the use of group awards and the communication of group successes. The Peer-to-Peer and Time-Off awards also promote teamwork and excellence.

FCA uses the following methods to ensure the fair, ethical, and appropriate use of resources:

Time Tracking. FCA currently tracks all workers' overtime charges and employee annual and sick leave usage. The Agency evaluates this information and uses it to modify or adjust work schedules and initiatives if necessary.

Exit Interviews. FCA conducts exit interviews when employees leave the Agency to retire or accept jobs with other employers. The Agency evaluates and tracks trends in this data.

Financial Disclosures. Senior leaders file financial disclosure statements with the Office of General Counsel, in compliance with the Ethics in Government Act of 1978, as amended.

FCA uses a variety of communication strategies to convey messages from senior leaders to the workforce on Agency programs and initiatives. Examples of the different communication methods that are frequently used include the FCA Home Webpage, the daily newsletter (*FCA Today*), Newsflashes, and All-Employee Meetings or Information Sessions.

Strategic Knowledge Management

FCA systematically provides resources, programs, and tools to facilitate knowledge-sharing across the organization to support mission accomplishment.

In an effort to make the best use of information technology and to gather and share knowledge, FCA provides information to employees through its shared networks, databases and audio and video conferencing. Agency employees also participate in organizations, councils, and workgroups that foster and promote innovations and best practices. Tools FCA uses to facilitate the exchange of information using technology include the use of SharePoint, the PPM Database, the FCA Handbook, Budget Call information, and the shared financial system.

To support the exchange and retention of critical knowledge, the FCA regularly approves hiring a new employee before a departing employee has separated from the Agency. This overlap of the newly hired employee with the experienced employee has allowed for the transfer of critical knowledge.

Continuous Learning and Improvement

Leaders foster a learning culture that provides opportunities for continuous development and encourage employees to participate in that culture. Leaders invest in education, training, and other developmental opportunities to help themselves and their employees build mission-critical competencies.

FCA has devoted considerable resources on training and development initiatives. Specific budget line items exist that demonstrate the investment in employee development programs. FCA also has a documented policy on training.

The Agency annually conducts organizational and individual assessments to determine training needs and uses the results to develop, enhance, and/or redirect its training programs.

FCA utilizes IDPs as a means of managing, planning, and scheduling employee developmental activities. IDPs are linked to the Performance Management System. This practice ensures the shared accountability of employees and managers for planning, budgeting, scheduling, registering, and accomplishing training and development activities.

FCA has implemented a number of e-learning initiatives. For example, the Agency has offered computer training, security courses, NEO, and ethics training on-line. Other training initiatives are evaluated as they occur to determine if e-learning or blended training methods are appropriate for conveying the subject matter.

FCA has provided a laptop computer to every employee to ensure the technology infrastructure is in place to support the increased use of e-learning. In addition, FCA routinely offers all employees courses on the use of the computer systems.

B. Our Vision for the Future

FCA will continue its leadership initiatives in the Human Capital Plan, including training for supervisors and succession planning. FCA will also continue its training and knowledge management programs that will ensure successful succession planning.

Section IV – Results Oriented Performance Culture

An agency has a diverse, results-oriented workforce, and has a performance system that effectively differentiates between high and low performance and links individual, team, and unit performance to organizational goals and desired results.

A. Accomplishments

Performance Management

FCA has a diverse, results-oriented, high performing workforce. To promote a high-quality workforce, the Agency has implemented a performance management system that effectively differentiates between high and low performance. In addition, the performance management system links individual performance to organizational goals and desired results.

The performance management program establishes managerial and individual performance expectations, evaluates results, holds people accountable, and ensures recognition for good performance. The components of the performance management program link performance expectations to key organizational goals, desired results, and the Agency's mission.

FCA's Strategic Plan is published on the web and is accessible to all employees. FCA documents performance goals and standards and tracks performance by regularly reporting actual results identified in the Performance Plan and the Strategic Plan.

FCA has created and fosters a "reward environment" that applies factors beyond compensation and benefits to attract, retain, and motivate employees. FCA's award policy, PPM 818, includes monetary awards and the use of non-monetary forms of recognition (i.e., letters of commendation and appreciation, length of service awards).

PPM 841, Performance Appraisal System, includes information to guide managers in assessing an employee's work performance. FCA's performance ratings scale provides for differentiation between high and low performance. Rating officials also provide performance

feedback, which may include a discussion of appropriate training, development, learning, and knowledge management solutions necessary to improve employee performance. The Agency's procedures also detail steps for addressing poor performance.

Diversity and Inclusion

FCA's diversity management practices include various tools. Some of these tools are focused specifically on improving diversity and its management at FCA. Many of the Agency's efforts to further diversity have centered on the Affirmative Employment Program (AEP), which focuses on the following five areas:

- Building commitment to and developing awareness;
- Establishing accountability and monitoring progress;
- Implementing targeted recruiting;
- Retaining a workforce that reflects the diversity of the nation; and
- Expanding career development programs.

FCA's diversity management practices have continuously improved over the last several years. The Agency has implemented numerous recommendations, including:

- The use of targeted recruitment;
- Announcing most jobs at multiple grade levels;
- Providing diversity training for staff and managers;
- Developing policy direction on EEO, diversity, and workplace harassment; and
- Implementing EEO performance standards for each employee.

Furthermore, some of FCA's EEO demographic statistics compare

favorably with those of the civilian labor force and federal civilian workforce. However, many of FCA's EEO statistics need improvement. While FCA's employment of females and persons with disabilities compares favorably with the federal civilian work-force, it lags when compared to the civilian labor force. Improving FCA's EEO demographics will assist the Agency in its goal to improve workforce diversity.

The Agency strives to maintain an environment characterized by inclusiveness of individual differences and one that is responsive to the needs of diverse groups of employees.

The FCA has an EEO program and employs a Director of EEO and Inclusion. The Director is responsible for establishing and administering a process to resolve employment related disputes alleging prohibited discrimination, in an informal, neutral and confidential way as early as possible to assure minimal disruption in the work place and to promote EEO. The EEO Director is also responsible for establishing and maintaining an EEO program that includes an affirmative employment program for applicants and employees. The EEO Director is also responsible for monitoring the Agency's progress in ensuring a workforce that reflects the diversity of the labor force.

FCA has initiated outreach efforts to diverse groups. FCA has established relationships with a number of potential recruitment sources including Hispanic Association of Colleges and Universities, Inroads, and Workforce Recruitment Program for College Students with Disabilities. FCA's liaison with these organizations involves attending their conferences, briefing parties on the Agency's mission and outreach objectives, as well as explaining the requirements for entry into the federal workforce.

FCA maintains an active EEO program to reach all employees with the aim of increasing communication and understanding among the diverse individuals who comprise the Agency's workforce. The Agency often conducts informational sessions with various groups of employees on EEO topics. Special emphasis programs are also held for all employees to commemorate the following events:

- Black History Month;
- Women's History Month;
- Disability Awareness Month;
- Women's Equality Day;
- Hispanic Heritage Month;
- Native American Heritage Month; and
- Asian American Heritage Month.

FCA has also sponsored events to commemorate Martin Luther King's Birthday and Holocaust Remembrance.

FCA sponsors an annual Diversity Day with guest speakers who focus on different aspects of diversity, employee activities and contests emphasizing diversity and celebrates the day to encourage communication among all its employees in a relaxed setting.

These events educate employees about the diversity of cultures, beliefs, and lifestyles. An increased appreciation of diversity can foster better employee communication and cohesiveness, which can add to the efficiency of the diverse workforce.

Agency training initiatives include regular reviews of diversity-related expectations for supervisors and employees.

FCA's complaint procedures, Workplace Harassment Policy, and Grievance Policy are well publicized and accessible to the entire workforce. These documents are made available to all new employ-

ees through the NEO program and are also available through the Lotus Notes Database.

Data on complaints is gathered, monitored, and analyzed to aid in the awareness or identification of potential problems or concerns. FCA publishes policy statements to communicate its "zero tolerance" for discrimination and workplace harassment to ensure a work environment that is free from fear and abuse and where all employees are valued and treated with respect. Violations of the policy are handled through appropriate FCA procedures.

Employee/Management Relations

FCA and its Employees' Council have jointly addressed workplace issues that affect Agency mission accomplishment since the late 1980s. The Council has a direct link to the Chairman to raise issues of employee concern.

B. Our Vision for the Future

FCA will continue to explore ways to develop programs that will educate and empower supervisors and managers in their performance management responsibilities. FCA will also continue to promote its Agencywide strategy on diversity in the workplace that empowers all employees to embrace diversity.

Section V – Talent

An agency has closed most mission-critical skills, knowledge, and competency gaps or deficiencies, and has made meaningful progress toward closing all.

A. Accomplishments

Because of its statutory authorities, FCA has developed policies on numerous compensation and benefits flexibilities that can be used to help retain employees. These flexibilities include:

- Competitive salaries;
- Enhanced benefits programs;
- Recruitment bonuses;
- Retention allowances; and
- Student loan repayment programs.

The Agency has numerous work/life flexibilities, facilities, services, and programs to make FCA a more attractive place to work. Flexible work schedules and telework policies have been in place for several years. The Agency also offers a variety of work/life programs and services to sustain a productive, supportive work environment. These work/life programs include:

- Employee assistance program;
- Free parking privileges;
- Transit subsidies;
- Pretax health benefits;
- Flexible Spending Accounts;
- Long-Term Disability Program;
- Thrift Savings Plan;
- Leave Bank Program; and
- Leave Transfer Program.

FCA maintains on-going relationships with professional organizations, colleges and universities, outplacement organizations, and other groups to facilitate the recruitment of qualified candidates for Agency positions. Marketing and display materials exist to support FCA's recruiting activities.

FCA's human capital approaches are frequently assessed with respect to the Agency's ability to attract, acquire, promote, and retain quality talent.

The Agency uses a combination of in-house and OPM recruitment. Job an-

nouncements and instructions are developed to ensure the application process is clear and easy to understand. The Agency provides timely and informed responses to questions about application requirements and the hiring process. FCA promptly acknowledges the receipt of all applications and provides regular updates on the status of the hiring decisions.

The following areas are also monitored to obtain insight and information about the workforce:

Employee Assistance Program. Users of FCA's employee assistance programs report satisfaction with client monitoring and follow-up, supervisor consultations, and training.

Exit Interviews. FCA conducts exit interviews when employees leave the Agency to retire or accept jobs with other employers. The Agency evaluates the information and feedback departing employees provide to obtain insight on the effectiveness of human capital strategies. The Agency evaluates and tracks trends in this data as well.

Injury Rates. The Agency tracks and analyzes indicators such as injury rates to measure employee safety.

B. Our Vision for the Future

FCA will continue to document and use effective recruitment and retention strategies to close or reduce anticipated workforce competency gaps.

Section VI – Accountability

Agency human capital decisions are guided by a data driven results-oriented planning and accountability system.

A. Accomplishments

FCA's accountability system is documented and contained in its PPMs. Each PPM includes program goals, objectives, applicability, responsibilities, expected outcomes and measured results, compliance with law and provisions for periodic review to ensure continuous improvement. FCA also has an extensive Audits and Reviews Policy that addresses the evaluation of internal control systems. Various human resource functions are identified by their

vulnerability for risk and have a review cycle tied to the level of risk. FCA has developed and uses checklists to assist with the evaluation process.

B. Our Vision for the Future

FCA will continue to document human capital policies and processes. In addition, we will analyze human capital data to assess results, identify risks, and develop solutions to address problems and modify strategies and activities as necessary.

FARM CREDIT ADMINISTRATION

PART III

HUMAN CAPITAL INITIATIVES

Section I – Strategic Alignment

A. Background

FCA aligns its workforce to accomplish Agency strategic goals and objectives. Strategic Alignment encompasses three components: Human Capital Focus; Government-wide Human Capital Collaboration; and Human Resources Collaboration. FCA's Strategic Plan establishes an Agency wide vision that guides human capital planning and investment activities. To leverage its efforts, FCA will work with other agencies to share best practices and learn about new developments and innovations. Human capital planning involves senior leaders, managers, human resources professionals, and key stakeholders who contribute to the human capital vision and the Agency's broader strategic planning process.

B. Human Capital Plan Strategically Linked with Agency Governance

Components of the FCA Human Capital Plan are incorporated into all of FCA's Strategic, Operating and Performance Plans. For example, FCA's strategic plan for 2011-2016 identifies the following guiding principle affecting human capital management:

- The people who work for and with FCA are a strategic priority. We will continue to invest in hiring, development, and retaining a talented, diverse workforce and to provide employees with the tools they need to be highly effective. Our human capital, technology, and financial plans provide us with the resources we need to be an effective and trusted regulator. We will strive

to keep our work environment positive, innovative, diverse, and family-friendly, and to encourage teamwork and high productivity.

The Human Capital Plan creates an Agency wide system that overcomes common barriers to effective human capital management and applies human resource flexibilities to sustain a high performing workforce. Human capital solutions are shared across FCA offices to achieve maximum efficiency. Accordingly, the Human Capital Plan, which links with other Agency governance, provides FCA a uniform, common perspective to monitor and track the Agency's progress in achieving its human capital initiatives.

B.1. Creation of Human Capital Plan and Structure

Historically, FCA had used the annual operating planning process to develop and accomplish human capital planning. In 2006, an OPM audit found that, while FCA had developed most of the components of a Human Capital Plan, it needed to combine them into one Agency document. The current Human Capital Plan addresses the staffing requirements of each FCA office as well as a comprehensive strategy for accomplishing other Agency human capital initiatives. As a result, the plan not only addresses the needs of each office, but also keeps the big picture in mind – the best interests of the Agency as a whole.

FCA's Human Capital Plan follows a comprehensive framework that is based on guidelines titled "Human Capital Standards for Success" jointly prepared by the OMB, OPM, and the U.S. Government Accountability (GAO). As a result, the plan contains performance indicators that address strategic alignment, work-force planning and deployment, leadership/knowledge management, results

oriented performance culture, talent management, and accountability and takes a corporate approach to human capital management.

B.2. Involvement of Key FCA Stakeholders

To ensure human capital strategies are consistently and cost-effectively integrated throughout the Agency, key FCA stakeholders must participate in human capital planning and implementation efforts. This involvement takes place at the following levels.

- The Chief Operating Officer and Senior Staff members discuss human capital goals and progress at regular meetings.
- The CHCO meets monthly with the Chairman/CEO to discuss human capital strategies and initiatives.
- The CHCO provides information on human capital strategies and initiatives to FCA supervisors in a quarterly newsletter, the FCA Supervisory Connection.
- FCA employees provide input into the Agency's human capital initiatives through the Employees' Council.
- External groups, such as the Financial Institutions Reform Recovery and Enforcement Act (FIRREA) Compensation Group, the Financial Regulatory Agencies Special Emphasis Workgroup and the Small Agency Human Resources Group provide information on new innovations and benchmarking results.

B.3. Human Capital Steering Committee

FCA has established a Human Capital (HC) Steering Committee comprised of the Chief Operating Officer, the Office Directors and the CHCO. The workgroup members examine and evaluate the implications of various human capital initiatives and proposals. Workgroup members also aid in the development of structured, strategic, outcome-oriented human capital plans that not only address the needs of their offices, but the Agency as a whole. They also assist in the development of appropriate human capital implementation, progress, and measurement systems.

B.4. Linking Human Capital Strategies to Performance Plans and Budget

A commitment to integrate human capital initiatives into the Agency business environment has allowed FCA to:

- Align employee performance expectations with the Agency's organizational goals and objectives by linking FCA performance plans to the Agency strategic goals;
- Strengthen communication to employees regarding organizational goals and objectives;
- Establish supervisory and managerial accountability for individual and organizational performance; and
- Link the distribution of awards to organizational objectives and priorities and adequately fund our recognition program to motivate and retain employees.

A commitment to achieving better human capital management requires a willingness to invest time, money, creativity,

technology, and other resources into the process. Leaders and managers within FCA have been charged with making business case justifications for investments in human capital and have been directed to incorporate their funding requests in budget submissions for FY 2013 and FY 2014.

B.5. Human Capital Communication Plan

FCA has developed a communication strategy for ensuring regular and consistent distribution of information to all FCA employees as the Agency implements the strategies identified in the Human Capital Plan. Specific audiences have been identified and internal issues are addressed in a timely and reasonable manner. Communication is primarily achieved by using FCA's Daily Newsletter and periodic News- flashes. Continued interaction with the FCA Employees' Council helps ensure the identification and resolution of human capital issues.

Section II – Workforce Planning and Deployment

A. Background

Workforce planning is the process of forecasting an organization's future employment needs. It is also the process for identifying and addressing the gaps between the workforce of today and the human capital needs of tomorrow. In its simplest terms workforce planning is getting "the right number of people with the right skills, experiences, and competencies in the right jobs at the right time." This shorthand definition covers a comprehensive process that provides managers with a framework for making staffing decisions based on an organization's mission, strategic plan, budgetary

resources, and a set of desired workforce competencies.

Effective workforce planning enables an organization to:

- Align workforce requirements directly to the Agency's strategic and annual business plans;
- Develop a comprehensive understanding of where gaps exist between competencies the workforce currently possesses and future competency requirements;
- Identify and implement gap reduction strategies;
- Make decisions about how best to structure the organization and deploy the workforce; and
- Identify and overcome internal and external barriers to accomplishing strategic workforce goals.

FCA annually conducts a workforce analysis that includes an assessment of the future skill and knowledge capabilities that will be needed to meet expected work and mission requirements for the next five years. While conducting the workforce analysis, the following types of information are reviewed:

- Employee trends;
- Staff projections;
- Staff performance; and
- Resources needed to translate the present workforce capabilities to the future workforce requirements.

Workforce data is obtained from the OPM's Central Personnel Data File and the National Finance Center's Reporting Center. Each FCA office also provides information in response to survey questions prepared and distributed by the OMS.

B. Workforce Profile

B.1. Overall Demographic Profile (Supply Analysis)

At the end of FY 2011, FCA had 294 employees (excluding FCA Board Members under the EX pay scale). FCA is currently organized into nine offices with a workforce that includes professional, administrative, technical, and clerical personnel. Approximately 60 percent of FCA's employees work in the Office of Examination (OE). The remaining employees work in the other eight offices.

FCA employees provide a range of services to ensure the safety and soundness of the FCS including Farmer Mac.

These services include the promulgation of regulations to implement the Act. The services also include the examination of System institutions for compliance with the Act, regulations, and safe and sound banking practices. FCA employees provide other administrative services that include legal counsel, information technology, financial management, and human resource management.

Figure 2.1 provides an overview of FCA's workforce at the end of each fiscal year from 2006 through 2011.

FCA Workforce Characteristics

Figure 2.1

All FCA	2006	2007	2008	2009	2010	2011
Number of Employees	253	254	260	270	284	294
Women	43.1%	43.7%	43.5%	42.6%	41.6%	43.5%
Minorities	17.0%	16.9%	16.9%	17.0%	19.0%	20.4%
Supervisors and Managers	18.2%	16.9%	15.8%	17.0%	15.9%	15.0%
Employees Reporting Disabilities	14.6%	13.0%	11.9%	12.2%	13.0%	12.25
Employees Reporting Targeted Disabilities¹	1.6%	2.0%	2.6%	2.2%	2.1%	2.0%
Veterans	9.5%	9.4%	8.1%	7.4%	7.0%	11.2%
Average Age of Employees	47.16	46.73	45.95	45.58	45.51	45.01
Average Grade of Employees	38.34	38.37	38.34	38.39	38.55	38.41
Average Length of Federal Service Employees	19.90	18.68	17.88	17.57	16.78	16.19
Average Length of FCA Service Employees	14.87	14.76	14.24	14.14	13.54	13.11

The following is a statistical snapshot of the FCA's workforce:

- The 294 employees that make up FCA's permanent and temporary workforce as of September 30, 2011, are classified under 21 different job series. The majority of FCA employees (61.9 percent) are classified under series 1101 as Examiners or Policy Analysts and 570 as Examiners. The

¹ Targeted disabilities include: deafness, blindness, missing extremities, partial paralysis, complete paralysis, convulsive disorders, mental retardation, mental illness, and the distortion of limbs/or spine.

next largest concentrations of FCA employees by job series are the series 301 Program Managers (8.5 percent), series 2210 Information Technology Specialists (6.8 percent) and series 905 Attorney Advisors (4.4 percent).

- Approximately 46 percent of FCA's employees work in our field offices.
- As of September 30, 2011, the percentage of women employed by FCA (43.5 percent) compared favorably with the percentage of women employed by the federal government (44.0 percent).
- The number of minority employees (Hispanics, Blacks, Asian Americans/Pacific Islanders, and Native Americans) increased from 17.0 percent of the workforce as of September 30, 2006, to 20.4 percent as of September 30, 2011. Although the percentage of minorities in the FCA's workforce is below the employment of minorities in the overall federal workforce (34.0 percent), the Agency has made a concerted effort to hire and retain minorities during the past five years.
- There is an average of one FCA supervisor to every 5.68 employees. This ratio has increased from an average of one FCA supervisor to every 5.5 employees as of September 30, 2006.
- The percentage of veterans in FCA's workforce has increased from 9.5 percent as of September 30, 2006, to 11.2 percent as of September 30, 2011.
- The average age of FCA's employees as of September 30, 2011, is 45.9 years. Approximately 41 percent of FCA employees (41.2 percent) are over 50 years of age. Only 25.2 percent of the employees are under the age of 31.
- The average grade of FCA employees is 38.40. Approximately 3 percent of employees are in grades VH-30 through VH-33; 27.6 percent are in grades VH-34 through VH-37; 52.0 percent of employees are in grades VH-38 through VH-40; and 17.0 percent of employees are in grades VH-41 through VH-44.
- The average length of federal service for FCA employees has decreased from 19.9 years as of September 30, 2006, to 16.19 years as of September 30, 2011. The average length of service for all federal employees as of September 30, 2010, was 13.8 years.
- The average length of FCA service decreased from 14.87 years as of September 30, 2006, to 13.11 years as of September 30, 2011.

B.2. Education and Training

FCA employs a highly educated workforce. For example, as of September 30, 2011, approximately 95 percent of FCA's employees had attended and completed some college courses. More specifically, approximately 82 percent of employees had obtained a bachelor's degree and 19.2 percent had obtained a master's degree. In addition, 41 employees have completed, and 2 employees are in the process of completing, graduate degrees in banking from various programs throughout the country.

FCA has also developed and maintains a staff of commissioned examiners to carry out the congressional mandate of examination and regulation of FCS institutions and to support the needs, goals, and objectives of OE and the Agency. FCA administers a Pre-commission Training Program to ensure that employees seeking to become FCA commissioned examiners are prepared to take and pass the commissioning examination and assessment. The Pre-commission Training Program consists of a specific set of formal training, on-the-job examination assignments, and

the commission test. FCA currently employs 113 commissioned examiners in OE. There are also 16 commissioned examiners working in other Agency offices.

As noted in PPM 843, Training and Development, it is FCA's policy to sponsor and pay for training that is consistent with the needs, priorities, and mission of the Agency. With appropriate approval, employees participate in training that is directly related to the performance of their official duties. The objective of all training is to help improve individual and organizational performance to assist FCA in achieving its mission, goals and objectives.

It is also the policy of FCA to encourage the self-improvement and development of employees by sponsoring training and development opportunities to enhance the performance of their official duties and develop knowledge, skills, and abilities (KSAs) that will enable them to successfully perform present or future responsibilities. Figure 2.2 provides a summary of the certifications FCA employees have completed or are in the process of completing.

FCA Employees with Professional Certifications

Figure 2.2

Certifications	Number Complete	Number in Progress
Certified Risk Professional	6	1
Chartered Financial Analyst	6	1
Certified Public Accountant	15	2
Certified Information Systems Auditor	17	2
Certified Financial Services Auditor	9	0
Certified Internal Auditor	3	6
Certified Business Bankruptcy Specialist	1	0

B.3. Age

The average age of the workforce is one of several key factors needed to track staff losses due to retirement and the impact these losses can have on the ability of staff to accomplish FCA's mission. This information is critical in the development of hiring strategies and succession planning.

September 30, 2011. The average age of FCA employees decreased from 47.16 in FY 2006 to 45.01 in FY 2011. The average age of men employed by FCA was 45.69 while the average age of women employed by FCA was 44.13 in FY 2010. For FY 2011, the average age of all federal government employees was 46.8. Figure 2.4 shows a breakdown of the number of FCA employees in several age categories as of September 30, 2011.

Figure 2.3 shows the average age of different groups of FCA employees as of

Figure 2.3

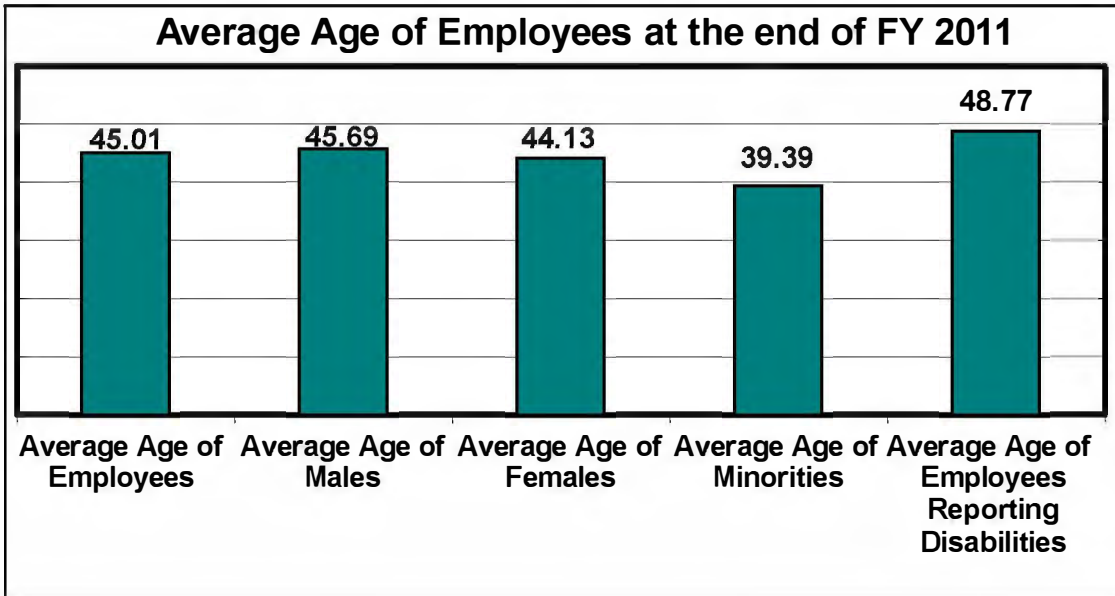
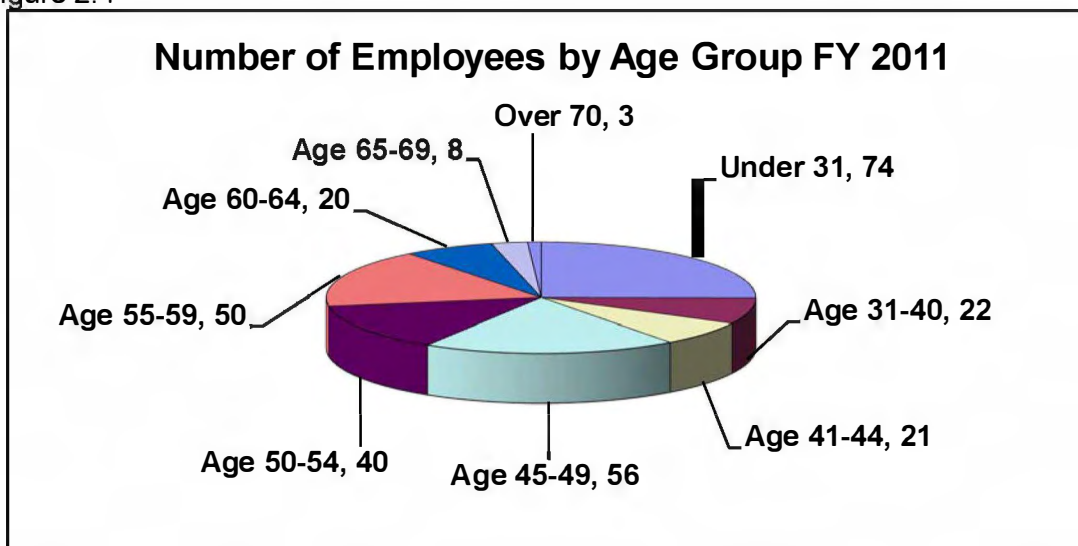


Figure 2.4



B.4. Grade

Grade is a baseline indicator of the qualifications required to perform a specific job. The average grade for FCA employees was VH-38.34 as of September 30, 2011, with 48.29 percent of employees holding positions as VH 39/40/41.

The average grade for General Schedule (GS) employees throughout the federal government was 10.0 during FY 2010. While there is no official linkage, FCA's grade VH-35 equates to a GS-9.

Figure 2.5

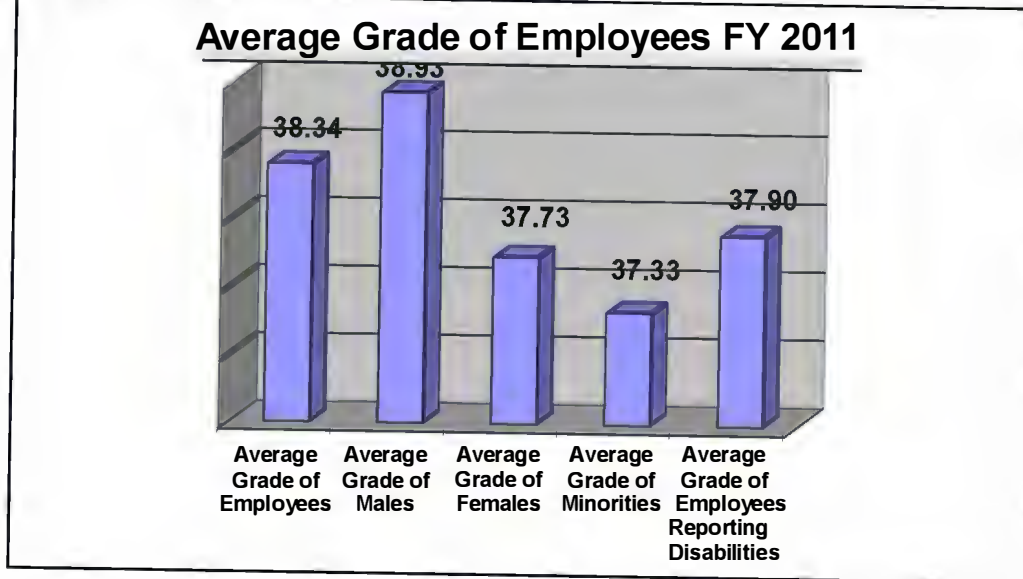
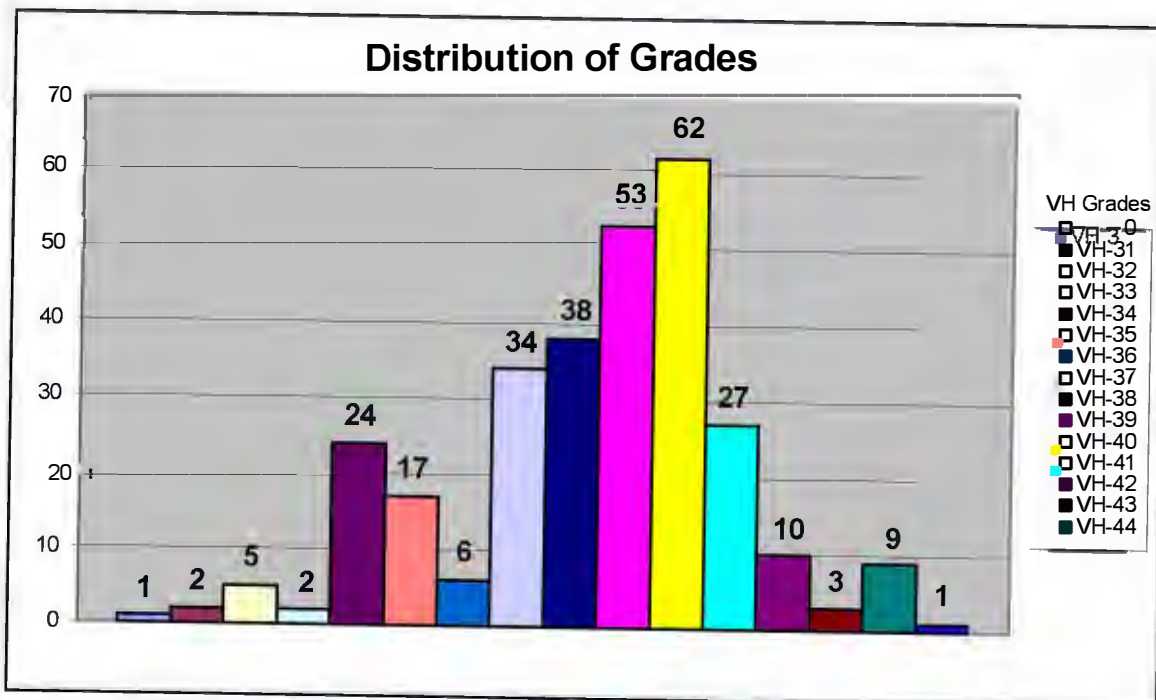


Figure 2.6 shows the distribution of grades throughout FCA as of September 30, 2011.



B.5. Length of Service

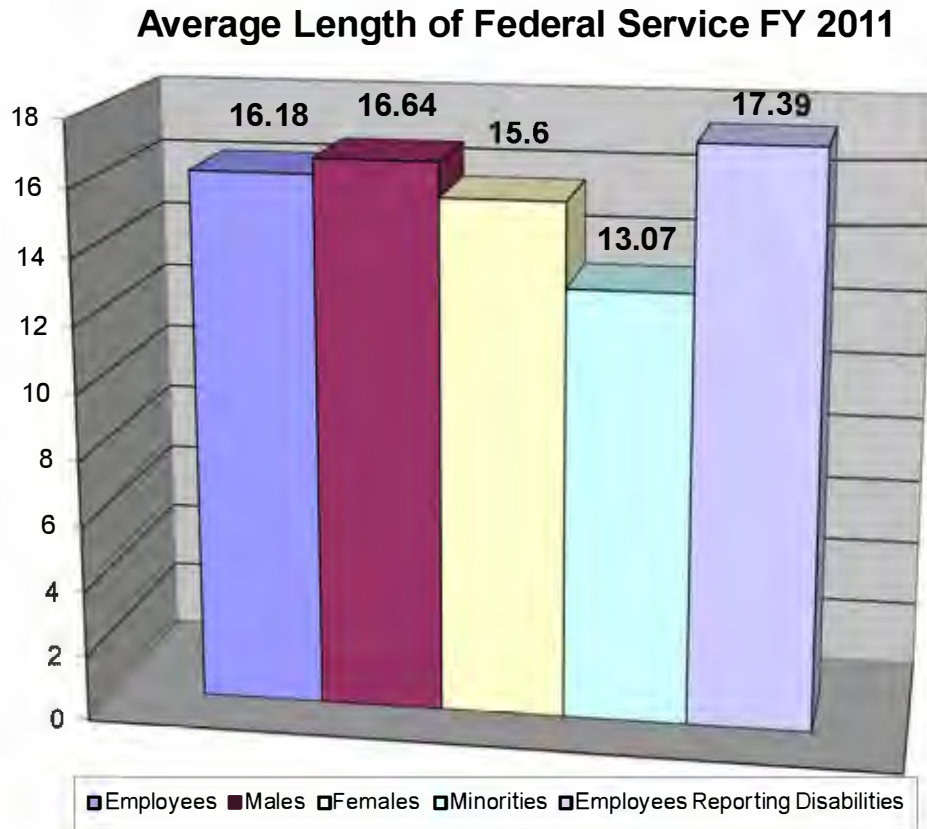
The federal retirement system benefits package is based on a combination of length-of-service and age. Length-of-service is often used as a key predictor of workforce attrition. It can also be used as an indicator of the experience and the general capability of the workforce to meet its mission.

FCA's average length-of-service was 16.19 years as of September 30, 2011, a decrease from September 30, 2006, when the average length-of-service was

19.90 years. The average length-of-service for all federal agencies was 14.3 years in FY 2010.

The average length-of-service of FCA employees classified under series 1101 and 570 as Examiners or Policy Analysts (61.9 percent of the workforce) was 14.23 years. The average length-of-service of employees classified as 301 Program Managers, 2210 Information Technology Specialists, and 905 Attorney Advisors was 22.08, 18.11, and 19.09 years, respectively.

Figure 2.7



B.6. Employee Turnover

Turnover is an important issue in any organization and FCA is no exception. Figure 2.8 shows FCA's employee turnover rate for the last five fiscal years. During the last five fiscal years, FCA's lowest turnover rate was 5.9 percent during fiscal year 2009, and the highest was 8.5 percent during fiscal year 2008. FCA's turnover rate of 8.2 percent compared favorably to the federal government-wide rate of 11.3 percent during fiscal year 2011.

The employees classified as series 570 Examiners and 1101 Policy Analysts are the largest component of the workforce (61.9 percent). Turnover in this group is very costly to FCA because Examiners receive extensive professional training and direct supervision during the first three to five years of employment. This amount of training and supervision requires a substantial monetary commitment by FCA. During fiscal year 2011, the occupational group with the highest turnover rate was series 570/1101 Examiners/Policy Analysts. Fourteen series 570/1101 employees or 4.8 percent of the workforce left the Agency during fiscal year 2011.

B.7. Retirement Eligibility

Under both the Civil Service Retirement System (CSRS) and the Federal Employees Retirement System (FERS), federal personnel can retire if they:

- Are 55-59 years of age and
- Have 30 or more years of creditable service.

or

- Are 60-61 years of age and
- Have 20 or more years of creditable service.

or

- Are 62 years of age or older and
- Have 5 or more years of creditable service.

Under FERS only, federal personnel can retire if they:

- Are 55-61 years of age and
- Have 10 or more years of creditable service.

Figure 2.9 shows the number and percentage of FCA employees that were eligible to retire at the end of FY 2011.

Figure 2.8

All Employee Turnover		
Fiscal Year	Number of Separations	Percentage of Workforce
FY 2011	24	8.2%
FY 2010	21	7.4%
FY 2009	16	5.9%
FY 2008	22	8.5%
FY 2007	21	8.3%

FCA Employees Eligible for Retirement as of September 30, 2011

Figure 2.9

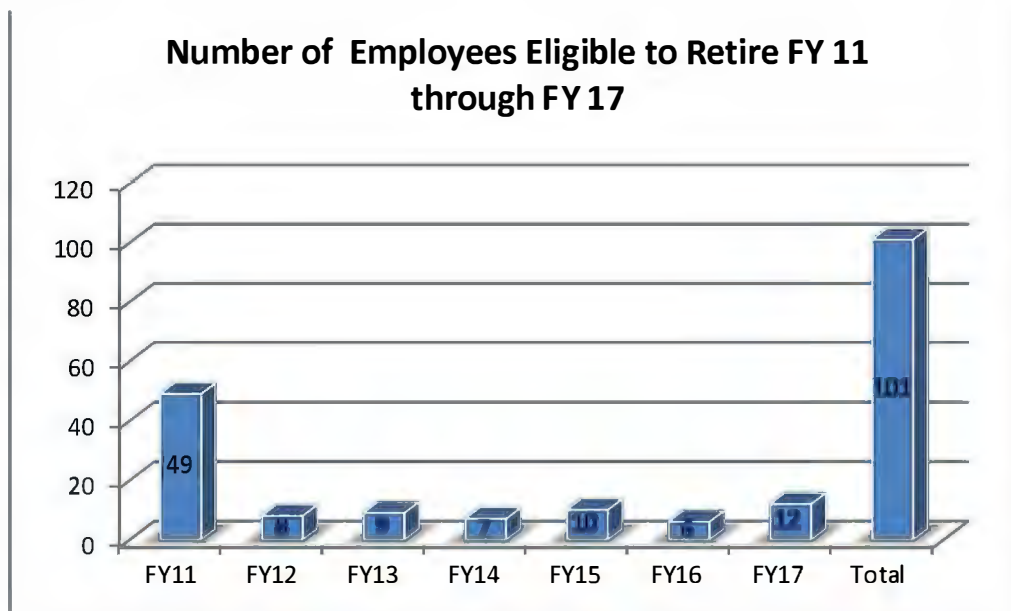
Eligibility Point	Number Eligible	Percent of Total Workforce
Civil Service Retirement System (CSRS)		
Age 55 + 30 Years of Service	14	4.8
Age 60 + 20 Years of Service	4	1.4
Age 62 + 5 Years of Service	10	3.4
Federal Employees Retirement System (FERS)		
Age 55 + 30 Years of Service	7	2.4
Age 60 + 20 Years of Service	2	0.68
Age 62 + 5 Years of Service	12	4.1
Total Eligible	49	16.7

Using the general eligibility formulas for CSRS and FERS, it is apparent that a large portion of the FCA workforce is

currently eligible to retire or is within a five-year window of eligibility (see Figure 2.10).

Number of Employees Eligible to Retire FY 11 through FY 17

Figure 2.10



The average and median retirement age of FCA employees voluntarily retiring over the period FY 2002 through FY 2011 was approximately 60. During the

10 year period FY 1995 through FY 2004², the average retirement age for all federal employees was approximately 58. During the past 10 fiscal years, FCA

employees have stayed on the job an average of 2.91 years after becoming eligible for retirement. The median length of time staying after eligibility for FCA employees voluntarily retiring was 2 years during the same time period. During the 10 year period FY 1995 through FY 2004, the average length of time staying after eligibility for federal employees voluntarily retiring was 3.1 years.

B.8. Gender, Ethnicity and Persons With Disabilities

It is the goal of FCA to employ a workforce that reflects the diversity of our nation at all levels and in all occupations. As noted in the Equal Employment Op-

portunity and Diversity Policy Statement (FCA-PS-62), the FCA Board believes that the employees that comprise the FCA are its most important resource. The FCA Board also values a work environment that is open and accepting of individual differences and encourages employees to maximize their potential and to exhibit a commitment to providing the highest quality service to customers.

In support of the FCA Board's guidance, the Affirmative Employment Plan provides a framework of actions for increasing the Agency's workforce diversity by improving the representation of and opportunities for women, minorities, and the disabled in our workforce.

Race, National Origin and Gender FCA-Wide, FY 2010 and 2011

Figure 2.11

Race/National Origin	Total Strength	% of Total Strength	Total Strength	% of Total Strength	% Change	% of	
						Federal Workers	Civilian Workers
		2011	2010		2005		
American Indian/Alaskan Native							
Female	0	0	1	0.4	-100.0	1.6	Not Available
Male	1	0.3	1	0.4	0		
Asian/Pacific Islander							
Female	10	3.4	8	2.8	25.0	5.9	4.6
Male	11	3.7	8	2.8	38.0		
Black, not of Hispanic Origin							
Female	9	3.1	12	4.2	-33.0	18.3	11.3
Male	17	5.8	14	4.9	21.0		
Hispanic							
Female	7	2.4	4	1.4	75.0	7.5	13.1
Male	5	1.7	6	2.1	-20.0		
White, not of Hispanic Origin							
Female	102	34.7	93	32.7	9.0	66.7	Not Available
Male	132	44.9	137	48.2	-4.0		
Totals	294		284				

²Latest data available from the OPM

As of September 30, 2011, the FCA workforce was comprised of 56.5 percent males and 43.5 percent females (see Figure 2.13). This is comparable to the employment of men and women in the Federal Civilian Workforce (FCW) as of September 30, 2010 (55.9 percent men and 44.1 percent women) (see Figure 2.12). However, the percentage of males employed by FCA is higher than the percentage of employed males identified by the 2010 Civilian Labor Force (CLF) statistics (53.2 percent). The number of females employed by FCA as of September 30, 2010, falls below the 2010 CLF statistic of 46.8 percent. Minorities employed by FCA (i.e., American Indians/Alaska Natives, Asians, Native Hawaiians or Other Pacific Islanders, African Americans, and Hispanics) comprised 20.4 percent of the total workforce at the end of fiscal year 2011. The representation of minorities in the FCA's workforce increased from 55 employees as of September 30, 2010, to 61 employees as of September 30, 2011. The percentage of minorities in the FCA's workforce is significantly below the employment of minorities in the FCW (32.9 percent) as of September 30, 2010, and the 2010 CLF (16.2 percent).

Disabled employees comprised 12.1 percent of the FCA's total workforce as of September 30, 2011. This exceeds the government-wide average for reportable disabilities of 6.8 percent as of Septem-

ber 30, 2009³. FCA employees with targeted disabilities comprised 2.0 percent of the workforce. Targeted disabilities include: deafness, blindness, missing extremities, partial paralysis, complete paralysis, convulsive disorders, mental retardation, mental illness, and the distortion of limbs/or spine. To achieve parity with the estimated availability of U.S. workers with targeted disabilities (3.15 percent), FCA would need to employ 10 people with targeted disabilities. As of September 30, 2011, FCA employed six workers with targeted disabilities. Although the percentage of FCA employees with targeted disabilities falls below the percentage of U.S. workers with targeted disabilities, it compares favorably with the percentage of federal employees with targeted disabilities (0.88 percent) as of September 30, 2009. FCA's percentage of employees with targeted disabilities (2.0 percent) as of September 30, 2011, falls slightly below the Federal high for targeted disabilities of 2.95 percent established as of September 30, 2008.

Under Executive Order 13548, FCA has developed a 5-year plan to improve the employment of individuals with disabilities. This plan can be found in Appendix B.

Figures 2.12 and 2.13 provide information about the CLF, the FCW and FCA's labor force:

Workforce Profile Civilian Labor and Federal Workforce

Figure 2.12

Groups	% 2010 Civilian Labor Force	% Federal Workforce		
		9/30/00	9/30/06	9/30/10
Men	53.2	57.70	55.8	55.9
Women	46.8	42.30	44.2	44.1
Minorities	16.2	32.22	32.3	32.9
Disabled	4.3	6.67	6.8	6.8
Targeted Disabilities*	3.15	1.12	1.0	0.88

* Targeted disabilities include deafness, blindness, missing extremities, partial paralysis, complete paralysis, convulsive disorders, mental retardation, mental illness, and the distortion of limbs or spine.

³Latest data available from the OPM

Workforce Profile Farm Credit Administration

Figure 2.13

Date	Total Employees*	Males		Females		Minorities		Disabled Employees		Targeted Disabilities	
		#	%	#	%	#	%	#	%	#	%
12/31/98	281	167	59.4	114	40.6	32	11.4	10	3.6	2	0.71
9/30/99	301	167	55.5	134	44.5	35	11.6	9	3.0	2	0.66
9/30/00	284	164	57.7	120	42.3	33	11.6	9	3.2	2	0.70
9/30/01	275	157	57.1	118	42.9	40	14.5	39	14.2	6	2.18
9/30/02	280	160	57.1	120	42.9	47	16.8	37	13.2	5	1.79
9/30/03	289	166	57.4	123	42.6	54	18.7	42	14.5	5	1.73
9/30/04	286	167	58.4	119	41.6	53	18.5	39	13.6	5	1.75
9/30/05	261	151	57.8	110	42.2	45	17.2	38	14.6	7	2.68
9/30/06	256	146	57.0	110	43.0	43	16.8	37	14.5	4	1.60
9/30/07	257	145	56.4	112	43.6	43	16.7	33	12.8	4	1.56
9/30/08	263	149	56.7	114	43.3	44	16.7	31	11.9	6	2.28
9/30/09	272	156	57.4	116	42.7	46	16.9	32	11.8	6	2.21
9/30/10	287	168	58.5	119	41.5	55	19.2	37	12.9	6	2.09
9/30/11	297	168	56.6	129	43.4	61	20.5	36	12.1	6	2.02

* These totals include FCA Board Members under the EX pay scale.

B.9. Veterans

Veterans comprised 11.2 percent of the FCA's workforce at the end of fiscal year 2011. Veterans comprised 7.0 percent of the FCA's workforce at the end of fiscal year 2010, 7.4 percent at the end of fiscal year 2009, 8.1 percent at the end of fiscal year 2008, and 9.4 percent at the end of fiscal year 2007. Although veterans comprised 23.1 percent of the federal workforce as of September 30, 2010, the percentage of veterans currently employed by FCA compares favorably with many non-Department of Defense agencies.

Figure 2.14 shows the number of veterans that are currently eligible to retire or that will be eligible to retire through FY 2017. The number of veterans that are currently eligible or are scheduled to be eligible to retire through FY 2017 represents 67.7 percent of all veterans employed by FCA as of September 30, 2011. Therefore, the percentage of veterans employed by FCA will continue to decline unless we are able to recruit qualified veterans and retain this sector of our population.

Retirement Eligibility of Veterans Employed by FCA

Figure 2.14

Number of Veterans Eligible to Retire	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	Number of Veterans Eligible to Retire by FY 2017
	16	1	0	2	3	0	

B.10. Supervisors

A supervisor is "an individual employed by an agency having authority in the interest of the agency to hire, direct, assign, promote, reward, transfer, furlough, layoff, recall, suspend, discipline, or remove employees, to adjust their grievances, or to effectively recommend such action, if the exercise of the authority is not merely routine or clerical in nature but requires the consistent exer-

cise of independent judgment." These individuals play an important role in accomplishing the FCA's mission. Figure 2.15 shows the number of supervisors employed by FCA from FY 2006 through FY 2011. Figure 2.15 also shows information about the average age, grade and length of service of FCA supervisors.

Characteristics of FCA Supervisors

Figure 2.15

Supervisor Characteristics	2006	2007	2008	2009	2010	2011
Number of Supervisors	46	43	41	46	45	44
Number of Female Supervisors	8	9	8	11	13	12
Number of Minority Supervisors	2	2	1	1	1	1
Number of Supervisors Reporting Disabilities	6	4	4	6	6	5
Average Age of Supervisors	52.06	53.04	52.54	52.64	53.84	54.28
Average Age of Female Supervisors	44.58	45.32	46.33	47.85	49.62	49.63
Average Age of Minority Supervisors	56.81	57.81	NA	NA	NA	NA
Average Age of Supervisors Reporting Disabilities	56.04	56.61	57.61	54.81	55.82	55.25
Average Grade of Supervisors	41.41	41.60	41.73	41.5	41.42	41.55
Average Grade of Female Supervisors	41.38	41.22	41.5	40.91	40.69	41.08
Average Grade of Minority Supervisors	38.50	39.00	NA	NA	NA	NA
Average Grade of Supervisors Reporting Disabilities	41.33	42.00	42.00	42.17	42.17	42.00
Average Length of Federal Service Supervisors	24.13	24.43	24.91	25.63	26.75	27.17
Average Length Federal Service Female Supervisors	19.76	20.81	21.53	22.98	25.14	24.99
Average Length Federal Service Minority Supervisors	26.75	27.75	NA	NA	NA	NA
Average Length Federal Service Supervisors Reporting Disabilities	27.04	28.01	29.01	27.81	28.81	26.78
Average Length of FCA Service Supervisors	20.31	20.57	21.41	21.67	22.39	23.66
Average Length of FCA Service Female Supervisors	18.37	19.58	20.28	19.93	19.59	22.19
Average Length of FCA Service Minority Supervisors	15.40	16.40	NA	NA	NA	NA
Average Length of FCA Service Supervisors Reporting Disabilities	23.74	24.52	25.52	25.45	24.81	22.91

Supervisors comprised 14.96 percent of the FCA's workforce at the end of fiscal year 2011. The average age of supervisors has increased from 52.06 as of

September 30, 2006, to 54.28 as of September 30, 2011 (Figure 2.16). The average length of federal service for supervisors has increased from 24.13

years as of September 30, 2006, to 27.17 as of September 30, 2011 (Figure 2.17). The number of supervisors that are currently eligible or are scheduled to

be eligible to retire through FY 2017 represents 57.8 percent of all supervisors employed by FCA as of September 30, 2011.

Figure 2.16

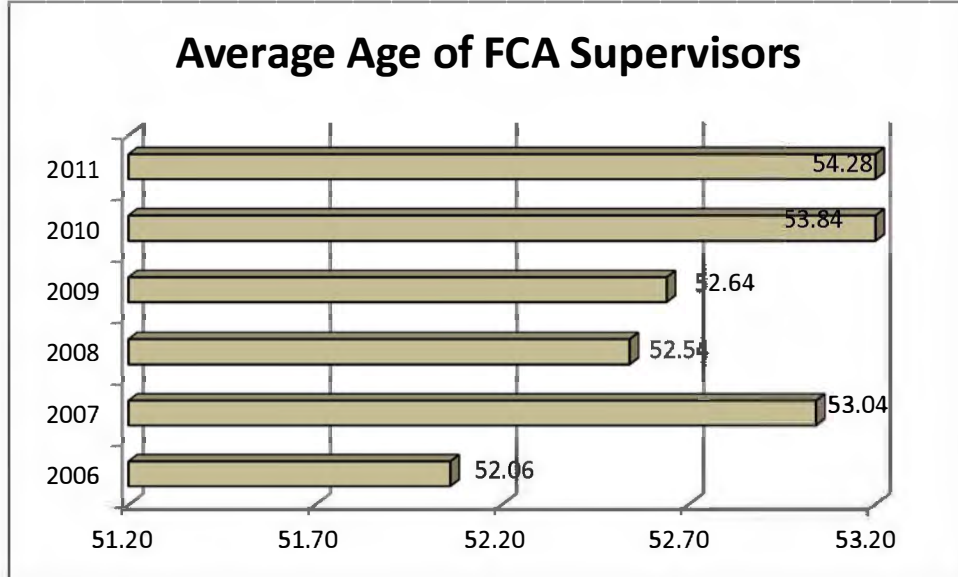
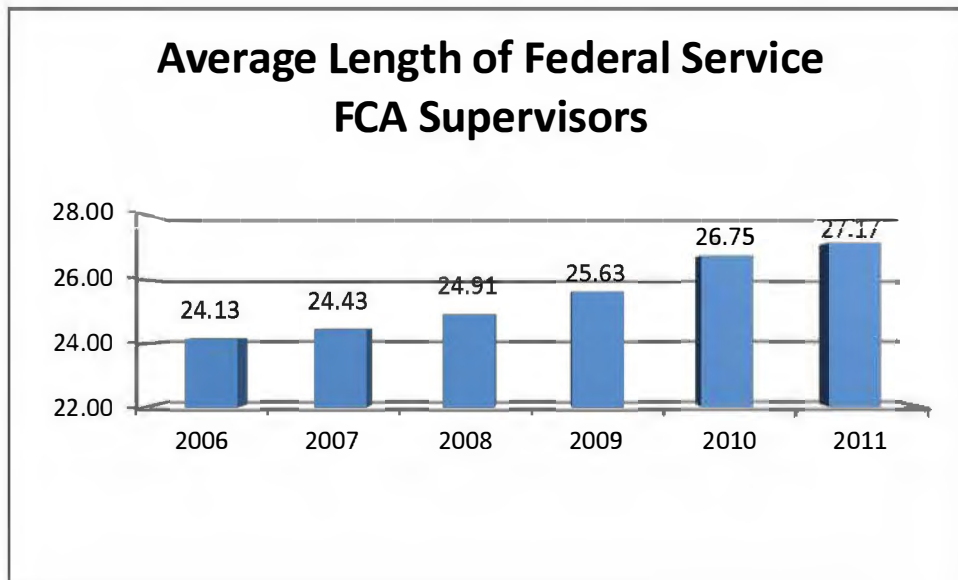


Figure 2.17



B.11. Mission Critical Occupations

FCA employs people in eight of the occupation groups identified in the OPM Handbook of Occupational Groups and Families. FCA's positions are further broken down into 21 series within these eight occupational groups. Many of the positions classified under several of these series are vital for ensuring the safety and soundness of the FCS. As a result, these occupations are "mission critical."

The OPM has defined "mission critical occupations" as "Occupations agencies consider core to carrying out their missions. Such occupations usually reflect the primary mission of the organization without which mission-critical work cannot be completed." FCA's mission critical occupations and series include:

- FCA Examiners/Policy Analysts (1101)
- FCA Examiners (570)
- Program Managers (301)
- Attorney Advisors (905).

The following definitions and descriptions of these mission critical occupations were taken from the OPM's Handbook of Occupational Groups and Families:

- **General Business and Industry, Series 1101** - This series covers all classes of positions the duties of which are to administer, supervise, or perform any combination of work pertaining to and requiring a knowledge of business and trade practices, characteristics and use of equipment, products, or property, or industrial production methods and processes, including the conduct of investigations and studies, the collection, analysis, and dissemination of information, the establishment and maintenance

of contacts with industry and commerce; the provision of advisory services; the examination and appraisal of merchandise or property; and the administration of regulatory provisions and controls.

- **Financial Institution Examining, Series 570** – This series includes all classes of positions the duties of which are to direct, supervise, advise on, or perform examination of financial institutions such as banks, savings or building and loan associations, cooperative banks, home financing institutions, cooperative savings and lending organizations and similar institutions for such purposes as determining financial condition; quality of assets; extent of liabilities; operating results, trends, and policies; extent of compliance with provisions of charters, by-laws, and regulatory laws and regulations; accuracy of financial records; and whether irregularities have occurred. Some positions also include furnishing advice and assistance concerning the organization, operations, and policies of such institutions. Work characteristic of this series requires some, but less than full, professional knowledge of accounting and auditing principles, procedures, and techniques; and knowledge of the laws and regulations controlling the organization and operation of such institutions and the operating methods, procedures, and practices of financial institutions.
- **Miscellaneous Administration and Program, Series**

301 - This series covers positions the duties of which are to perform, supervise, or manage two-grade interval administrative or program work for which no other series is appropriate. The work requires analytical ability, judgment, discretion, and knowledge of a substantial body of administrative or program principles, concepts, policies, and objectives.

- **General Attorney, Series**

905 - This series covers professional legal positions involved in preparing cases for trial and/or the trial of cases before a court or an administrative body or persons having quasi-judicial power; rendering legal advice and service with respect to questions, regulations, practices, or other matters falling within the purview of a federal government agency; preparing interpretive and ad-

ministrative orders, rules, or regulations to give effect to the provision of governing statutes or other requirements of law; drafting, negotiating, or examining contracts or other legal documents required by the agency's activities; drafting, preparing formal comments, or otherwise making substantive recommendations with respect to proposed legislation; editing and preparing for publication statutes enacted by Congress, opinions or discussions of a court, commission, or board; drafting and reviewing decision for consideration and adoption by agency officials. The work of this series requires admission to the bar.

The following descriptions of FCA's mission critical occupations provide greater detail roles and responsibilities these employees have in ensuring the safety and soundness of the FCS:

FCA Examiners

The majority of FCA's series 1101 employees and all series 570 employees are Examiners. FCA Examiners are responsible for carrying out comprehensive programs for examination, oversight, enforcement, accounting interpretations and guidance, and reporting on the operation and condition of the institutions of the FCS. Examiners also examine the National Cooperative Bank (NCB) and provide examination expertise to the Farm Credit System Insurance Corporation (FCSIC) and other federal agencies, such as the United States Department of Agriculture (USDA). FCA examiners plan, organize, and conduct examinations of System institutions in the communities where they are located. They evaluate all facets of an institution's operations, such as financial operations, data processing, management's compliance with federal regulations, and sound business practices. They also review loans to all types of agricultural enterprises. Finally, FCA examiners prepare written and oral reports on their findings for the institution's board of directors and management.

Policy Analysts

FCA also employs series 1101 employees as Policy Analysts in the Office of Regulatory Policy. Policy Analysts develop regulations and policies for the FCA Board's consideration, manage regulatory prior approval activities, conduct analyses of risk affecting the FCS, and manage data collection activities. These employees have primary responsibility for developing regulations and policy positions that implement applicable statutes, promote the safety and soundness of the System, and support the FCS's mission as a

dependable source of credit and related services for agriculture and rural America. Other mission critical functions performed by Policy Analysts include evaluating and recommending regulatory and funding approvals, managing the FCA's merger and chartering activities, providing strategic and systemic analyses that identify and contribute to the effective management of risks facing the System, and administering a data collection program to support the FCA's Consolidated Reporting System.

Program Managers

A number of employees in the 301 series are responsible for the general management of the offices of the FCA. They have broad responsibility for planning, organizing, directing, coordinating, and controlling Agency operations and provide liaison between the FCA Board and professional staff on policy matters. They supervise the development and implementation of operating plans and budgets and ensure that program results fulfill approved budgets and plans and reflect effective and efficient operations. In addition to the broad responsibilities noted above, these mission critical employees are involved in the Agency's planning activities, (e.g., the 5-year Strategic Plan and Information Resources Management Plan; establish management controls for programs, budget expenditures, and vulnerability assessments; respond to internal and external audits of FCA operations; and ensure that appropriate corrective actions are promptly taken).

Attorney Advisors

FCA employs series 905 Attorney Advisors in the Office of General Counsel. Attorney Advisors provide advice to the Chairman and Chief Executive Officer, the FCA Board, and Agency staff on legal, ethical, and policy matters. Attorney Advisors also represent the Agency in enforcement matters and litigation (in coordination with the Department of Justice). Attorney Advisors also provide legal advice, opinions, and support for the development and promulgation of FCA regulations and for Administrative Procedure Act compliance; the review of corporate activities, including charter amendments, mergers, consolidations, and other reorganizations, including terminations; the regulation of the Farmer Mac; and the initiation and coordination of receiverships. They also provide legal counsel, opinions, and support on personnel and Equal Employment Opportunity issues; contracts, procurement, budgetary and financial matters; information and records management, including Freedom of Information Act and Privacy Act compliance; and issues involving the FCS Building Association. They provide legal opinions on technical questions about the Farm Credit Act and other laws applicable to System institutions. They review and analyze legislation, and assist in responding to congressional and public inquiries, including borrower rights inquiries. In addition, FCA Attorney Advisors comprise the Agency's ethics staff and counsel the Board and Agency staff on compliance with the ethics program

Figure 2.18 shows the number of mission critical employees employed by FCA as of September 30, 2011. Figure 2.18 also shows information about the average age, grade and length of service of mission critical employees.

Mission critical employees comprised 74.8 percent of the FCA's workforce at

the end of FY 2011. The average age of Examiners/Policy Analysts was 41.88 as of September 30, 2011. As of the same date, the average age of Program Managers and Attorney Advisors was 49.59 and 50.64, respectively. As of September 30, 2011, the average length of federal service for Examiners/Policy Analysts was 14.23 years. The average

length of federal service was 20.08 years for Program Managers and 19.09 years for Attorney Advisors as of September 30, 2011.

Figure 2.19 shows the retirement eligibility of mission critical employees.

Characteristics of Mission Critical Employees as of September 30, 2011

Figure 2.18

Series Characteristics	Series 570 and 1101 Examiners Policy Analysts	Series 301 Program Managers	Series 905 Attorney Advisors
Number of Employees	182	25	13
Number of Males	121	10	4
Number of Females	61	15	9
Number of Minorities	34	6	0
Number of Employees Reporting Disabilities	18	3	3
Average Age of Employees	41.88	49.59	50.64
Average Age of Males	44.00	52.28	48.40
Average Age of Females	37.68	47.80	51.63
Average Age of Minorities	36.41	37.92	NA
Average Age of Employees Reporting Disabilities	46.53	51.88	49.98
Average Grade of Employees	38.41	38.52	41.46
Average Grade of Males	38.59	40.60	41.50
Average Grade of Females	38.05	37.13	41.44
Average Grade of Minorities	37.41	35.67	NA
Average Grade of Employees Reporting Disabilities	38.56	40.33	41.33
Average Length of Federal Service Employees	14.23	20.08	19.09
Average Length of Federal Service Males	15.82	21.24	17.94
Average Length of Federal Service Females	11.06	19.38	19.62
Average Length of Federal Service Minorities	11.62	15.93	NA
Average Length Fed Service Employees Disabilities	15.20	22.01	19.29
Average Length of FCA Service Employees	12.88	14.15	14.08
Average Length of FCA Service Males	14.31	15.14	10.58
Average Length of FCA Service Females	10.05	13.49	15.65
Average Length of FCA Service Minorities	10.16	14.99	NA
Average Length FCA Service Employees Disabilities	14.23	16.99	10.51

Retirement Eligibility of Mission Critical Employees

Figure 2.19

Mission Critical Occupations	FY 2012	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	Number of Mission Critical Employees Eligible to Retire by FY 2017
Number of Examiners Policy Analysts Eligible to Retire	26	7	3	4	4	5	49
Number of Program Managers Eligible to Retire	9	1	0	1	0	1	12
Number of Attorney Advisors Eligible to Retire	2	0	1	2	1	0	6
Totals	37	8	4	7	5	6	67

The number of mission critical employees that are currently eligible or will become eligible to retire through FY 2017 represents 30.5 percent of all the mission critical employees as of September 30, 2011. This number also represents 66.3 percent of all FCA employees that are currently eligible or that will become eligible to retire by FY 2017.

C. FCA Office Profiles

The CHCO developed a questionnaire to survey the human capital needs of each FCA office. The following is a list of the questions and a summary of the offices' responses. More detailed information about the offices' responses can be found in Appendix C.

Does the Functional Statement accurately describe the duties and responsibilities of your office?

Most offices responded that the office Functional Statements were accurate or generally accurate. OMS and OIG responded that revisions are necessary.

Does your current staff meet the present needs of your office? If not, why?

Several offices expressed a need for additional staff and most offices indicated additional staffing skill sets and/or higher levels of expertise were needed.

Do you anticipate any changes to the duties and responsibilities of your office over the next 5 years? If so, how will the changes affect your staffing needs?

OCPA and ORP indicated that they expect changes to their duties and responsibilities. The other offices did not foresee any changes to the Office duties and responsibilities.

Do you anticipate any changes to the business processes of your office over the next 5 years? If so, how will the changes affect your office's staffing needs?

Several offices indicated that changes in business processes were occurring, mostly resulting from information technology changes.

Do you anticipate changes in the volume of work your office accomplishes over the next 5 years? If so, how will the changes affect your office's staffing needs?

The volume of work is expected to increase in most cases, due to changes in the System and operating environments that have increased the complexity of the work and impacted the required skill sets.

What new competencies (knowledge, skills, or abilities) do you anticipate needing in your office over the next 5 years?

Almost all offices indicated the need for additional competencies due to changes in the System and operating environment. New or enhanced competencies common to one or more office included communications (electronic and traditional), credit, finance, operations, financial analysis and financial modeling.

What accessions (i.e., hiring) are approved for your office over the next 5 years? Please include the following information about the accessions: types and number of positions, series, grades and responsibilities.

Most offices indicated the need to hire new staff over the next 5 years due to projected attrition or skill gaps. OE indicated the need for the most new hires due to the larger staff size.

Please identify any career track promotions you plan to make during the next 5 years? Please include the following information about possible career track promotions: number of promotions, position titles, series, and grades.

Almost all offices anticipated career track promotions with OE, OMS, and ORP projecting the greatest number due to the larger staff size.

What attrition do you anticipate in your office over the next 5 years?

Four offices project a high level of attrition, primarily due to retirements. In all offices, most of the projected attrition will occur at the skilled tenured staff and senior management levels.

What succession plans have you developed to address retirements and attrition over the next 5 years?

Most offices had some type of succession planning activity. Plans included promoting from within, developing a "talent pool", developmental assignments for future managers, hiring outside the Agency and a multi-source approach.

D. Future Workforce Profile (Demand Analysis)

Assessing the future workforce requirements of the FCA encompasses a broad range of issues. These issues have been identified through the Agency's

strategic planning process and the input of Agency management. The evolution of agriculture, rural America, and the financial services industry means that the FCA will need an experienced and qualified professional staff to meet the antici-

pated growth and complexity of the FCS.

D.1. Critical Functions Needed

- Increased complexity of examinations due to greater size of FCS institutions.
- Increased FCS institution examination complexity in the areas of credit, finance, and operations.
- Increased complexity associated with review and approval of FCS products, services, and alliances.
- Increased information technology examination activity at the regulated entity and service provider level.
- Increased demand on supervisory resources due to changes in national, regional, and local economic conditions.
- Increased examination activity in supervision of more sophisticated and complex FCS institutions.
- Continued requests for greater regulatory and policy flexibility to meet the needs of agricultural producers and rural areas.

D.2. Future Workplace Challenges

- Increased use of technology to maximize efficiency of internal operating processes.
- Increased use of technology to better identify and analyze risk.
- Increased use of subject matter specialists.
- Increased level of knowledge base in specialty areas.
- Increased focus on risk-based oversight and examination programs.
- Loss of experienced employees with historical knowledge of the FCA and the FCS.
- Increased number of new employees to replace those leaving

due to normal attrition and retirements.

- Increased use of contracts, shared services, or other non-traditional arrangements to accomplish Agency responsibilities.
- Increased use of training to ensure the transfer of knowledge as employees retire and the proper development of employees hired to replace those retiring.
- Increased need for coaching and mentoring skills to ensure that new employees develop and are able to advance their careers properly.
- Increased emphasis on targeted recruiting to improve the representation of and opportunities for women, minorities, and the disabled in the workforce.
- Increased emphasis on recruiting and hiring veterans to increase their representation in the workforce.

D.3. Critical Workforce Skills Needed

- In-depth knowledge of FCS lending programs and practices.
- In-depth knowledge of credit analysis, credit risk management, credit scoring, and real estate appraisals.
- In-depth knowledge of loan syndications, cooperative lending, international lending, leasing, and direct lending to associations.
- In-depth knowledge of financial risks associated with capital management, interest rate risk, asset/liability management, capital markets, funding derivatives, and secondary markets.
- In-depth knowledge of financial accounting to effectively assess

- capital, earning, liquidity, sensitivity, and financial disclosures.
- Audit and investigative techniques to examine corporate governance, internal controls, accounting practices, financial reporting, information technology, electronic commerce, and the internal audit and review programs.
- Ability to interpret and apply relevant rules, regulations and statutes.
- Enhanced knowledge of secondary market activities, including securitization, derivatives, counterparty risks, and arbitrage activities.
- Risk assessment and financial modeling.
- Database development and maintenance.
- Business process reengineering, analysis and redesign.
- Negotiation and change management.
- Effective written and verbal communication skills.
- Clear, concise, and accurate report and technical writing.
- Contract management skills.
- Interpersonal skills to facilitate and enhance the communication of Agency findings and decisions.
- Project management skills to effectively and efficiently manage Agency projects and initiatives.

E. Gap Analysis

E.1. Anticipated Shortage of Workers or Skills

Gap analysis is the process of comparing information from the supply and demand analyses to identify the differences, or “gaps,” between the supply and demand for human capital. Gap analysis identifies situations when demand exceeds supply such as when critical work demand, number of personnel, or current/future competencies will not meet future needs. Figures 2.20 and 2.21 provide staffing gap projections on the number of employees the FCA will need during the next five fiscal years to accomplish its mission. These projections were made using the most recent information available. For example, retirement calculations were based on known retirement information and the average length of time employees wait before retiring. In addition, average grades were projected for each office and for the Agency as a whole. These average grade projections were based on the information each office provided in response to the human capital survey, retirement trends, and hiring employees to replace departing employees at the lowest grade of each respective career track. Attrition, hiring, and average grade projections for each office can be found in Appendix E.

Projected Staffing and Workforce Needs

Figure 2.20⁴

FCA Office	FY 2013			FY 2014			FY 2015			FY 2016			FY 2017		
	Have	Need	Gap	Have	Need	Gap	Have	Need	Gap	Have	Need	Gap	Have	Need	Gap
OB/CCEO	7	9	(2)	8	9	(1)	9	9	0	9	9	0	9	9	0
OCPA	7	7	0	7	7	0	7	7	0	7	7	0	7	7	0
OE	162	177	(15)	166	178	(12)	164	178	(14)	167	179	(12)	169	180	(11)
OSMO	5	5	0	5	5	0	5	5	0	5	5	0	5	5	0
OGC	13	14	(1)	14	14	0	14	14	0	13	14	(1)	14	14	0
OMS	48	53	(5)	53	53	0	50	53	(3)	52	53	(1)	51	53	(2)
OIG	3	5	(2)	5	5	0	5	5	0	5	5	0	3	5	(2)
ORP	24	31	(7)	30	32	(2)	32	32	0	32	32	0	30	32	(2)
Total	269	301	(32)	288	303	(15)	286	303	(17)	290	304	(14)	288	305	(17)

Figure 2.21

FCA Staff Resource Model*					
	2013	2014	2015	2016	2017
Staff at Beginning of Year	303	301	303	303	304
Attrition / Retirements	-32	-14	-17	-14	-15
Hirings	30	16	17	15	16
Staff at End of Year	301	303	303	304	305
Average Grade at Year End	34.26	34.27	34.27	34.44	34.65
Attrition Rate	11%	5%	6%	5%	5%
Net Attrition Rate	-1%	1%	0%	0%	0%

* Does not include FCA Board Members.

⁴ Projections do not include rotational employees.

As previously noted, workforce need projections were made using the information the offices provided in response to the Human Capital Survey as well as employee retirement eligibility. The projections were broken down by office and were also made using the following assumptions and parameters:

- Current staffing levels were used as the baseline for the projections;
- No crisis or excessive risk in the FCS or in agricultural lending;
- Positions are only filled when they become vacant;
- Employees are projected to leave the Agency approximately two years after they become eligible for retirement unless an employee has provided a specific retirement date.

The projections show that the FCA will need to hire 94 employees during the period FY 2013 through FY 2017. As a result, 31.3 percent of the Agency workforce will turnover during the next five year period. The loss of employees during this period will challenge the Agency to retain historical knowledge and perspectives on the programs, practices and mission of the FCS as well as the FCA. On the other hand, the loss and the subsequent replacement of employees will provide the FCA numerous opportunities to diversify its workforce. For example, FCA will have opportunities to diversify its gender, racial, national origin, and generational profiles. The influx of new employees can also bring about new perspectives and ways of accomplishing tasks. To minimize any additional and unanticipated turnover, the Agency must have appropriate strategies to efficiently and effectively recruit, hire and retain employees.

Other gaps the FCA must address to ensure its workforce is prepared to fulfill the

Agency's responsibilities and mission include the following:

- A large number of employees who are eligible retirees or will become eligible to retire within the next five years, are in mission-critical positions or hold positions that require extensive knowledge of an Agency program. To ensure the FCA is able to successfully administer and fulfill our responsibilities and mission without interruption, these key positions must be targeted for succession planning.
- The retirement of a significant number of employees, including many who are mission-critical, will result in the loss of important skills and historical knowledge. FCA must explore methods for capturing and retrieving these perspectives, experiences and insights before they are lost through retirements.
- Due to the significant number of employees that are currently eligible or will become eligible to retire within the next five years, the FCA could face an experience imbalance. Potential retirements and attrition could force the Agency to hire several new employees within a short period of time. Should this occur, FCA could have a large number of employees without the benefit of historical knowledge and experience. This experience imbalance could negatively impact the FCA's ability to accomplish its mission.
- Sixteen key management employees or senior level officials, including three Office Directors, the Inspector General, and the

Chief Operating Officer will be retirement eligible within the next five years. These individuals have a great deal of knowledge and experience managing FCA programs and operations. FCA must ensure its succession planning initiatives cross-train and expose employees to the duties and responsibilities of key management and senior level officials.

- Twenty-seven supervisors are currently eligible or will become eligible to retire within the next five years. Supervisors play an important role in ensuring the accomplishment of FCA's mission. The FCA's succession planning initiatives must ensure there is a pipeline of employees available with the leadership and management skills necessary to efficiently and effectively manage Agency programs and projects.
- The influx of approximately 94 new employees over the next five fiscal years will present many supervisory and managerial challenges. Many of the new employees will be hired in entry level positions and will more than likely be characterized as members of the millennial generation (i.e., born in 1977 or later). Characteristics attributed to this generation include skepticism, confidence, creativity, and a disregard for bureaucracy and hierarchical structures. It is imperative that supervisors, team leaders and other seasoned employees possess the inter-personal skills necessary to effectively communicate with these new employees as well as others in the System, Congress, other federal agencies and members of the public.
- The growth and complexity of the FCS will require additional and more in-depth skills in the areas of credit, finance, operations, examination and supervision.
- Advancements in information technology will provide new methods to analyze and model the risk in the credit and financial condition of the FCS. Examiners and analysts must be able to understand and use this new technology.
- The increased complexity of FCS institutions, financial instruments, lending programs, and information technology will require enhanced writing and analytical skills to ensure that reports, policies, and regulations clearly and effectively communicate information to readers and users of FCA's products.
- Growth and modifications to the programs administered by FCA require skill in managing change. Supervisors must be able to motivate change, choose a suitable change approach, compare change initiatives to avoid mistakes, and define implementation strategies to support their goals.
- Due to the significant number of employees that are currently eligible or will become eligible to retire and the subsequent hiring of new employees, project management skill and experience will be needed to ensure the accomplishment of FCA initiatives.
- The increased use of shared services and other contract relationships will require greater knowledge of, and experience, in managing contracts. As a result,

the Agency should provide COTR (contract officer's technical representative) training for employees.

- The percentage of minorities in FCA's workforce is currently below the employment of minorities in the federal civilian workforce. The percentage of employees with targeted disabilities is below the availability of U.S. workers with targeted disabilities. The potential for retirements and attrition could have a negative effect on the Agency's minority and disabled employee workforces. Continued efforts to recruit and retain minorities and the disabled should continue.

- Future retirements will have a negative impact on the Agency's veteran workforce. Efforts to recruit and hire veterans should be considered to increase their representation in the FCA's workforce.

F. Strategies to Address Gaps

To address the gaps between the current workforce and future demands, FCA has developed the following goals for the current workforce plan. Our future workforce development efforts can be grouped into these key areas:

Gap	Future loss of knowledge and experience due to retirements.
Goal	Manage the pace and timing of retirements to ensure FCA has sufficient resources to accomplish its responsibilities and mission.
Rationale	Managing the rate and timing of retirements will enable the FCA to ensure the availability of sufficient staff with the knowledge and skills to meet the Agency's goals and objectives.
Action Steps	<ul style="list-style-type: none"> • Evaluate the areas where managing or slowing the pace of employee retirements would benefit the Agency. • Encourage and reward mission-critical retirement eligibles for staying a pre-determined period of time before retiring.

Gap	Potential experience imbalance due to loss of knowledgeable retirees.
Goal	Reduce the potential for having an experience imbalance.
Rationale	Closing or managing the experience gap will reduce the impact of retirements or other loss of experienced personnel on the knowledge base and skill sets and preserve the Agency's ability to fulfill its mission.
Action Steps	<ul style="list-style-type: none"> • Implement a program to train senior personnel to coach less tenured or experienced employees. • Provide mid-level managers assignments that develop their ability to address complex or problem situations. • Record and memorialize historic approaches to complex or problem situations. • Maintain a succession planning process.

Gap	Budget constraints may restrict ability to hire skilled work-
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	ers.
Goal	Increase the number of employees available for critical functions.
Rationale	The availability of a sufficient number of employees is critical to the Agency's ability to meet all of its goals and objectives in an effective and efficient manner.
Action Steps	<ul style="list-style-type: none"> • Develop a "contract examiner assistant" program comprised of recent retirees and employees who have decided to temporarily leave the workforce to care for children or parents. • Communicate the benefits of the program to employees so they are able to incorporate it into their plans for retirement or leaves of absence. • Evaluate the use of shared services, contract services, job shares, term employment, part-time employment to enhance the efficiency and effectiveness of the workforce.

Gap	Retirements and attritions may require the FCA to replace more than 40 percent of its existing workforce during the next five fiscal years.
Goal	Recruit and retain the best employees for FCA positions by becoming an employer of choice within the federal government.
Rationale	Employees are the Agency's most valuable resource. Successful hiring and retention of employees will reduce turnover and improve employee morale.
Action Steps	<ul style="list-style-type: none"> • Train selecting officials how to recruit, select and retain quality staff. • Recruit experienced employees from other agencies or private organizations to reduce training expenses and competency lag. • Maintain recruiting materials that appeal to seasoned applicants as well as entry-level applicants.

Gap	Minorities and employees with targeted disabilities are underrepresented in FCA's workforce.
Goal	Increase the number of minorities and employees with targeted disabilities using targeted recruitment.
Rationale	It is the goal of FCA to employ a workforce that reflects the diversity of our nation at all levels and in all occupations. As noted in the EEO and Diversity Policy Statement (FCA-PS-62), the Board believes that the employees that comprise FCA are its most important resource. The FCA Board values a work environment that is open and accepting of individual differences and encourages employees to maximize their potential and to exhibit a commitment to providing the highest quality service to customers.
Action Steps	<ul style="list-style-type: none"> • Train selecting officials how to recruit, select and retain a diverse staff. • Continue strategies to recruit minorities and applicants with targeted disabilities, such as targeted recruiting at universities. • Develop strategies for assignments and experiences that develop all staff equitably. • Target retention strategies towards diverse talent.

	<ul style="list-style-type: none"> Establish a recruiting plan for every job posting that focuses on diversity.
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Gap	The number and percentage of veterans in FCA’s workforce has increased but is below government wide averages.
Goal	Increase the number of veterans using targeted recruitment.
Rationale	The federal government recognizes the enormous contributions of men and women who have served their country in uniform. By law, disabled veterans or veterans who served on active duty during specified time periods or in military campaigns are entitled to preference over non-veterans both in hiring and retention during reductions in the workforce. Veterans have the training, work ethic and proven skills that can add value to an organization.
Action Steps	<ul style="list-style-type: none"> Train selecting officials how to recruit, select and retain veterans and disabled veterans. Continue strategies to recruit veterans and disabled veterans (i.e., posting applications on Hirevetsfirst.gov or on www.militaryhomefront.dod.mil, or attending career events that target veterans such as a “Salute to Our Hero’s” job fair).

Gap	Employees will need more in-depth skills to ensure the safety and soundness of the FCS.
Goal	Develop and maintain a competent, well-trained workforce.
Rationale	The presence of a well trained workforce is absolutely critical for the success and credibility of the Agency.
Action Steps	<ul style="list-style-type: none"> Expand core training programs to include more in-depth and comprehensive courses in the areas of identified weaknesses or gaps. Develop more subject matter experts in critical areas (i.e., implementation of OE’s Career Path Program). Implement a visiting scholar program to obtain fresh perspectives and expertise in the areas of finance, credit and rural development. Hire mid-career staff with more in-depth skills Use contractors for knowledge transfer

Gap	The influx of new employees during the next five fiscal years will challenge the communication and interpersonal skills of supervisors, team leaders and other seasoned employees.
Goal	Develop and enhance employee communication and interpersonal skills.
Rationale	The most significant part of any job involves interaction with other people. Other skills are brought to bear on an organization only through effective communication, which is a function of the skills of assertiveness, listening, influencing and presenting. Communicating respect for other people or professionals within the workplace will enable one to

	reduce conflict and increase participation or assistance in obtaining information or completing tasks.
Action Steps	<ul style="list-style-type: none"> • Expand core training programs to include more in-depth and comprehensive courses in the areas of active listening, teamwork, professional image, speech skills, professional etiquette, dealing with difficult people, assertiveness, systemic problem solving, and time use management. • Use feedback instruments so employees understand the effectiveness of their communication and interpersonal skills (i.e., 360 evaluations). • Sponsor brown-bag training sessions and Newsletter articles on interpersonal and communication skills.

Gap	Potential loss of Agency leadership and experience.
Goal	Develop employee leadership skills.
Rationale	Ensure a pipeline of employees available with the leadership and management skills necessary to efficiently and effectively manage Agency programs and projects.
Action Steps	<ul style="list-style-type: none"> • Expand existing training programs and opportunities on management techniques such as change management, effective leadership, diversity leadership, negotiations, performance management, and project management, including COTR training. • Ensure the Agency maintains a current Succession Plan for key positions. • Develop future leaders by creating development paths to prepare lower-level staff to move into jobs with higher-level skill requirements. • Provide for long term rotational opportunities.

Section III – Leadership and Knowledge Management

A. Background

The FCA will maintain continuity of leadership and employee skills and competencies through strong knowledge management, employee development programs, and succession planning.

FCA leadership will:

- Plan for and develop employees to meet Agency needs. This is accomplished by providing tools to leaders and managers to effectively manage people, and by providing a learning environment to improve employee performance.
- Establish a clear vision for change and make necessary commitments to achieve results.
- Maintain high standards of honesty and ethics that serve as a model for the workforce.
- Systematically provide resources, programs, and tools for knowledge-sharing across the organization in support of its mission accomplishment.
- Foster a learning culture that provides opportunities for continuous development and encourages employees to participate.

B. Succession Planning

B.1. Executive Succession Plan

FCA's maintains a formal succession plan for its executive ranks ensuring that there is a qualified pool of experienced managers who have met the objectives of the Agency's Leadership Development Program and who can become the FCA leaders of tomorrow.

B.2. Leadership Development Program

Executive development at FCA is critical to maintain a group of experienced supervisors and managers to meet the mission and goals of the Agency. The FCA Training and Evaluations Database contains courses, seminars, conferences and other developmental opportunities for managers and supervisors to assist them in their career development.

FCA plans on establishing a Leadership Development program for executives, managers, aspiring leaders, and other Agency staff. The Program for executives will establish core competencies for FCA Executives and strategies for them to achieve those competencies. The FCA will utilize the competencies identified by OPM for the Senior Executive Service. Through implementation of the Leadership Development Program, the Agency will be able to meet its leadership and management training needs and have a core group of managers available for executive succession.

B.3. Supervisory Development Program

FCA's Aspiring Leaders Developmental Program (ALDP), will help ensure that the Agency adequately prepares for supervisory succession by:

- Identifying/selecting eligible professional staff members from any office in the Agency with the interest and potential to succeed as supervisors;
- Defining the experiences and training essential for participants' development;
- Preparing talented employees for supervisory positions at an early stage of their careers;

- Providing training and developmental experiences that will offer the opportunity to develop the supervisory competencies and effectiveness levels needed by supervisors for successful job performance; and
- Committing the resources to support the program.

Plans are being made to enhance this program so it can be used as an Agency wide management track for new supervisors upon assuming supervisory responsibilities. FCA has already established competencies for supervisors and managers.

B.4. FCA Mentoring Program

The FCA Mentoring Program is designed to capitalize on the experience, knowledge, and expertise of employees who serve, on a one-on-one basis, as mentors to fellow employees to enhance employees' professional growth and development. PPM 854 assigns responsibilities and establishes procedures for the Mentoring Program.

The Program objectives are designed to help:

- Identify and enhance individual employee potential;
- Facilitate better communication among FCA employees through mentoring relationships;
- Support and guide employees in their professional growth and development; and
- Enhance mentors' communication and supervisory skills.

C. Integrity and Inspiring Employee Commitment

C.1. Ethics Training

FCA's Office of General Counsel oversees and coordinates the Agency's ethics training activities on an annual basis. The Agency is in full compliance with 5 CFR 2628.701-706 Subpart G: Executive Agency Ethics Training Programs.

C.2. No FEAR Act

The Notification and Federal Employee Anti-discrimination and Retaliation Act of 2002, also referred to as the *No FEAR Act*, became effective October 1, 2003. The passage of this law holds substantial implications for federal agencies, and has been hailed as the "first civil rights bill of the new century." It specifically requires agencies to provide written information and training for all employees on their rights, protections, and remedies under discrimination, retaliation, and whistleblower laws.

All federal employees are required to take the *No FEAR Act* training every two years. FCA employees took the required training in September 2011 by viewing an on-line presentation. The *No FEAR Act* training is also included in our online training for new employees.

C.3. Whistleblower Protection Act Compliance Certification

In 2003, FCA became the second federal agency to earn certification for successful completion of the Office of Special Counsel's (OSC's) program to educate employees about their rights and remedies under the provisions of the Whistleblower Protection Act (WPA). In order to receive the certification, the Agency implemented an OSC five-step educational program that included placing posters about prohibited personnel practices and whistle blowing in perma-

ment locations in each field office, as well as headquarters.

FCA also provided employees a link to the OSC website, which contains a wealth of information about prohibited personnel practices and whistleblower protections and the Hatch Act.

FCA includes written materials on prohibited personnel practices, the Whistleblowing Protection Act, and OSC's role in enforcing such laws in orientation training packets to all new employees. Every year FCA provides all FCA employees with written materials on prohibited personnel practices, the Whistleblowing Protection Act, and OSC's role in enforcing such laws. And every three years, FCA trains managers and supervisors on their responsibilities under the prohibited personnel and whistleblower protection provisions of title 5 of the U.S. Code. The materials are also included in FCA's NEO.

FCA's most recent certification from OSC was in May 2010 and is valid until May 2013.

D. Continuous Learning

D.1. Learning and Development Framework

The foundation of the FCA Learning and Development Framework rests with the IDP Process. Each year, as follow-up to the annual performance appraisal review, all employees are required to complete IDPs. These IDPs cover the remainder of the current fiscal year and project training needs for the upcoming two fiscal years. The IDPs are developed by employees in collaboration with their supervisors and are updated during the mid-year performance review or at other times during the year, as needed. IDPs cover both long-range career goals and short-range developmental objec-

tives. When appropriate, IDPs also list the career tracks that employees are pursuing. They also list memberships in professional organizations, advanced degrees held by employees, and any certifications employees have obtained. In addition, the IDPs include skills and abilities acquired by employees outside of their current job that could be relevant to FCA.

During the next few years, it is anticipated that IDPs will become even more important in helping ensure that FCA employees have the necessary knowledge, skills, and abilities needed to conduct current job responsibilities as well as future needs that may arise as changes occur within the System.

With the automation of the IDP process, it has become possible to analyze trends and areas of training wanted and needed by Agency staff. This, in turn, allows us to identify training that may be given in-house or at a discounted group rate.

Additionally, FCA has established a system to evaluate periodically the effectiveness of its training efforts to determine how well it meets short- and long-range program needs.

D.2. Learning Management System

FCA uses an on-line Training Request Form for employee training requests. This form is included in the FCA "Training & Evals" Database which provides information on recommended courses and tracks all training taken by FCA employees.

E. Knowledge Management

E.1. Knowledge Sharing

The Aspiring Leaders Developmental and Mentoring Programs are designed to increase knowledge sharing within the Agency.

Corporate knowledge is tracked using numerous electronic shared databases that are available to all Agency staff. These databases capture the organization's processes and procedures and act as a resource guide for future employees to preserve institutional knowledge. Examples of these databases include the:

- FCA SharePoint Site;
- Plans and Reports Database;
- Office of the Board Database;
- FCA Handbook; and
- PPM Database.

FCA has established an overall strategy on knowledge sharing within the Agency. This will help ensure the FCA staff continues to have the knowledge and skills necessary to meet the Agency's goals and objectives.

E.2. Knowledge Retention

Each retiring FCA employee has a base of accumulated experience, wisdom, know-how, and individual best practices that could become their legacy to the Agency when they leave. If any part of the knowledge is captured, the loss of productivity that currently follows each transition is significantly reduced. In addition, capturing the knowledge of departing FCA employees provides a renewed sense of purpose and motivation to the person leaving, further reducing productivity losses.

Employees near retirement have been encouraged to examine specific areas of expertise that they have and develop a plan as to how they can document this knowledge before they retire. Pre-commission training modules have also

captured institutional knowledge of Agency experts.

FCA will continue its knowledge management strategy to utilize, monitor and expand these types of knowledge management tools as an Agencywide human capital strategy for linking knowledge across our organization.

Section IV – Results Oriented Performance Culture

A. Background

FCA encourages a results-oriented workplace through three main areas of concentration:

- Performance management;
- Diversity; and
- Employee relations.

FCA must strive to develop a diverse, results-oriented, high-performing workforce through effective performance management. FCA will strive to maintain an environment characterized by inclusiveness of individual differences and to be responsive to the needs of diverse groups of employees. FCA and its employee groups, such as the Employees' Council and EEO special emphasis groups, will also work to address workplace issues that affect Agency mission accomplishment.

B. Performance Management System

Performance management at FCA is designed to:

- Promote communications to ensure individual and organizational effectiveness;
- Establish and communicate goals, objectives, and specific performance expectations to

- employees through standards identified in performance plans;
- Evaluate employee performance in relation to the written performance standards; and
- Relate pay adjustments, IDPs, and other actions to individual and organizational performance.

Timelines for the performance appraisal systems are identified below:

**10/1 – 9/30
Annual Appraisal Period**

Figure 4.1

10/1	10/1 - 11/30 Develop Performance Plan
11/1	
12/1	
1/1	
2/1	
3/1	
4/1	
5/1	5/1 – 5/31 Mid-Term Review
6/1	
7/1	
8/1	
9/1	9/1 – 9/30 Pre- Appraisal Interview Input
10/1	10/1 – 11/30 Complete and Deliver Annual Performance Rating

B.1. Performance Accountability

Each employee is evaluated on a five-level scale of: Outstanding, Excellent, Fully Successful, Minimally Acceptable, or Unacceptable.

Employees are expected to perform at the Fully Successful level or above. An employee will be assisted in improving performance rated below the Fully Successful level. Such assistance may in-

clude, but is not limited to, formal training, on-the-job training, counseling, closer supervision, more frequent progress reviews, etc.

A FCA employee whose performance is unacceptable may be reassigned, reduced in grade, or removed, but only after being afforded a reasonable opportunity to demonstrate acceptable performance. When performance on an element is identified as being unacceptable, the employee will be informed of the performance standards that must be reached in order to be retained. If, at the conclusion of this opportunity to demonstrate acceptable performance, the employee's performance continues to be unacceptable, the FCA may reassign, reduce in grade, or remove the employee, subject to the provisions of law.

OPM offers a Performance Appraisal Assessment Tool to help agencies assess their appraisal programs to identify their strengths and weaknesses and to provide guidance in developing plans and strategies to make any necessary improvements. FCA uses this Assessment Tool to ensure that performance standards clearly communicate results-focused expectations that use credible measures, are aligned to and support organizational goals, and distinguish between levels of performance.

B.2. Awards and Recognition

FCA supervisors and managers are encouraged to take the initiative to recognize employee accomplishments and contributions. Supervisors exercise their discretion to provide positive feedback to employees through monetary and nonmonetary means.

FCA's awards programs, found in PPM 818, not only include supervisor recognition of employees for deserving acts but also provide for a Peer-to-Peer Awards

program. Each year, employees receive \$200 to award fellow employees for deserving acts.

FCA reviews its awards program annually to ensure best practices are being followed and has implemented a methodology to evaluate the effectiveness of its program to ensure that it continues to be an effective tool in the retention of employees.

B.3. Supervisory Probationary Period

All new supervisors must complete online supervisory training (New Supervisors Orientation) and a one-year probationary period before becoming a permanent FCA supervisor. During this one-year period, each new supervisor is assessed on his/her skill and ability to manage employees in the Agency. At the end of the one-year period, an assessment of the new supervisor's performance is completed and his/her supervisor recommends whether or not to make the new supervisor permanent.

B.4. Supervisory Toolkit

One useful tool that FCA managers have to do their jobs is access to **Manager Advantage**. This is a web resource that provides how-to instruction and guidance on a broad range of workplace issues that federal managers face. It provides fast answers to frequently asked questions, an in-depth overview of key topics, timely and essential guidance, tips to avoid common mistakes, sample letters, forms, and a glossary of key terms. It also provides authoritative support with references to relevant statutes and regulations. Some of the topics covered include:

- Accommodating disabilities;
- Attendance issues;
- Conflict resolution;

- Delegation and work assignment;
- Discipline;
- EEO and diversity;
- Leave;
- Performance problems;
- Recruiting and hiring; and
- Workplace Violence.

Each supervisor has access to this tool.

Additionally, OMS publishes a newsletter, *The Supervisory Connection*, which provides supervisors, new and tenured, with valuable information that will help them in their supervisory role at FCA.

B.5. Differentiating Between High and Low Performance

FCA's performance appraisal system is found in PPM 841 and provides managers and supervisors information about how to differentiate between high and low performance. Every employee has a performance plan in place and is rated annually on elements and standards for which they have had an opportunity to demonstrate performance. Written ratings of record are provided to employees after the end of the appraisal period.

In comparing actual performance against performance standards to determine an appropriate rating level, the rating official considers the cumulative performance of the employee throughout the period covered by the appraisal.

Supporting narrative comments are required for every job element rating except the Fully Successful level. For element ratings above and below the Fully Successful level, narratives clearly evidence performance that meets the defined standards, citing specific examples when possible.

An employee may be rated Minimally Successful on a job element and not fail

in the job; however, an Unacceptable rating on any element results in an overall rating of Unacceptable and failure in the job.

The Agency reviews its performance appraisal system annually for enhancements and refinements to the system and provides recommendations to Senior Management for review.

B.6. Addressing Poor Performance

Most FCA employees work hard, and their performance is considered good or even exceptional. However, at times supervisors are faced with an employee whose performance is not acceptable. Dealing with performance problems is a real challenge for any supervisor. Experienced supervisors often say it is one of the toughest parts of their jobs. Nevertheless, it is a key supervisory responsibility and failure to address poor performance can have a negative impact across the entire organization.

A recurring theme in successful resolution of performance problems is that taking action early is always better than waiting. This statement is definitely true when considering ways to prevent performance problems. The use of early communication and feedback (both positive and negative), and if appropriate, termination during a probationary or trial period, are all good ways to prevent future performance problems. Investing time early is always time well spent.

All supervisors have been given training in addressing poor performance. New supervisors are also required to view an interactive video, produced by the OPM, on addressing and resolving poor performance.

Human Resources specialists are also actively engaged in the performance management process as a partner with supervisory officials.

The Agency plans to continue its efforts to ensure supervisors are provided all the tools and assistance necessary to deal with poor performance.

C. Diversity and Inclusion Analysis

The concept of “diversity” has its foundation in EEO, but is not confined to the limits of race, color, national origin or gender. Diversity applies to everyone in a way that promotes both equality and individuality. The Agency needs to harness the talent within its workforce so that individuals can further their own goals in a way that contributes to organizational goals.

This concept is part of “cultural competence.” Cultural competence is the willingness and ability of an organization to value diversity at all levels of its operations. It is in the Agency’s corporate interest to invest in diversity and be committed to it. In a knowledge-based organization such as FCA, multiple views can bring about multiple solutions to problems.

FCA is invested in diversity initiatives that will bring a better understanding to its workforce in dealing with different diverse groups. Speakers have given presentations at FCA on topics such as “Generational Diversity” and “Unconscious Bias.” Other training opportunities are being explored to further the Agency’s knowledge of and appreciation for diversity.

C.1. Creating a Diversity Workgroup

In June 2006, the Equal Employment Opportunity and Diversity Advisory Committee presented a report to the FCA Board on “FCA Diversity.” Along with the report findings, the Committee recommended that a more formal Diversity Workgroup be established to assist in developing an overall Agency strategy in addressing diversity initiatives at FCA. Plans have begun to create an FCA Diversity Council who would be involved in all diversity initiatives in the Agency.

The agency also hired a new full-time Director for EEO and Inclusion in September 2011.

C.2. Assessing Diversity at FCA

FCA's diversity management practices include various tools. Some of these tools are focused specifically on improving diversity and its management at FCA, while others may have such improvement as an incidental consequence. These tools include:

Guidance, direction, and information through the following documents:

- Policy Statement 62, Equal Employment Opportunity Programs and Diversity;
- Policy Statement 67, Nondiscrimination on the Basis of Disability in Agency Programs and Activities;
- PPM 810, Equal Employment Opportunity;
- PPM 829, AIDS; and
- PPM 849, Antiharassment Policy and Complaint Process.

Targeted strategies to improve diversity through the following activities:

- Recruiting at Historically Black Colleges and Universities and at Hispanic Servicing Institutions;
- Recruiting at disability career fairs, Hispanic career fairs, and Asian career fairs;

- Participating in recruiting programs for college students with disabilities;
- Participating in recruiting programs for veterans; and
- Posting job announcements at multiple grade levels.

Programs and activities that include:

- FCA's Affirmative Employment Program Action Plan;
- FCA's Equal Employment Opportunity and Diversity Advisory Committee;
- EEO and diversity performance standards for managers, supervisors, and employees;
- Agency wide diversity training and awareness programs;
- Periodic workforce analyses;
- Support for special emphasis programs such as the disability program, Hispanic employment program, and the federal women's program; and
- PPM 854, FCA's Mentoring Program.

As a part of the Human Capital Plan, FCA has created an overall diversity strategy for the Agency and has identified ways to measure the success of its diversity initiatives.

Section V – Talent

A. Background

FCA identifies, hires, and retains a diverse workforce, using innovative and progressive tools sanctioned by the OPM for recruitment and retention. FCA has identified mission-critical occupations and related competencies. We also use recruitment and retention strategies to close anticipated workforce competency gaps. Flexible strategies have been developed to attract, hire,

and retain quality employees who possess mission-critical competencies.

B. Recruiting Initiatives

Selecting and retaining top notch staff is a key factor in an organization's success. Talented people who continue to develop skills and increase their value to an organization are its most important resource. FCA strives to recruit the best employees for the organization's needs. FCA wants talented employees who will fit and enhance the organization's culture. As a result, having and implementing effective recruitment strategies are critical to attracting these people.

During the past several years, FCA has worked to target its recruiting efforts to ensure it receives applications from a talented and diverse pool of applicants. FCA strives to identify appropriate target markets for its recruitment efforts. For example, the Agency has targeted colleges and universities with superior academic records and programs that produce graduates in the fields of finance, accounting, economics and agricultural business. Many of the schools are in close proximity to FCA office locations and serve diverse populations. FCA has recruited candidates at Historically Black Colleges and Universities, Hispanic Serving Institutions, as well as land grant universities. Agency representatives have also attended career fairs and employment events that target Asian Americans, Hispanics, veterans, and the disabled.

FCA has also strived to use targeted messages to reach applicants and to create a positive recruitment image for the Agency. For example, FCA uses recruiting materials and its website to provide candidates information about the mission and responsibilities of the Agency. These materials are professional in appearance and provide infor-

mation about the Agency's benefits and work life programs.

FCA's Recruiting Handbook provides: the mission of FCA's recruitment program is to find and attract highly qualified applicants of diverse backgrounds to the Agency, resulting in the creation of a talented and skilled workforce dedicated to ensuring a safe, sound, and dependable source of credit and related services for agriculture and rural America.

FCA has also used the Examiner Career Intern and the Policy Analyst Career Intern Programs to recruit and develop professional trainees. These programs are based on the Federal Career Intern Program, which was designed to help agencies recruit and attract individuals into a variety of occupations. The Federal Career Intern Program was created under Executive Order 13162 and is intended for positions at grade levels VH-34, VH-35, and VH-37. In general, individuals are appointed to a 2-year training program that consists of formal classroom training and on-the-job work assignments. Upon successful completion of an internship, the intern may be eligible for permanent placement within the Agency. The FCA has hired several individuals using the Examiner Career Intern Program and the Policy Analyst Career Intern Program during the period FY 2002 through FY 2009. This program has also been used by OMS to hire Information Technology and Human Resources Specialists.

With the elimination of the Federal Career Intern Program, FCA is waiting for OPM to issue its new Pathways Program, which will replace the Federal Career Intern Program. We are hopeful that Pathways Program will meet our hiring needs.

The Agency's Intern recruiting efforts, as stated in its policy, seek applicants from

multiple sources, with proactive measures to ensure the inclusion of women, minorities, veterans, and persons with disabilities in the applicant population. FCA recruiters establish contacts with colleges and universities with recognized programs in fields relevant to the position, and with professional associations and other organizations that provide employment information services to graduates and professionals. These contacts include targeted outreach to potential applicants who are minorities, women, veterans, and persons with disabilities. The Agency also periodically refreshes its outreach sources to maintain an open system that continues to seek the best sources for candidates.

FCA has also hired a number of mid-career employees across the Agency to increase its subject matter expertise and knowledge base. Recruiting in this area included specific outreach to diverse professional groups to attract minorities, females, veterans and individual with disabilities to apply for our positions.

To emphasize the importance of diversity for the Agency, the CHCO and all HR Specialists who are involved in staffing for the Agency have an agreed upon expectation in their performance plans that require them to “coordinate OMS’ involvement in Agency Recruiting ensuring to the maximum extent possible that diversity goals in the FCA HC Plan are achieved.”

To this end, all HR Specialists collaborate with selecting officials on every recruiting action to ensure we reach out to diverse professional groups, associations and organizations to cast a broad net to attract minorities, females, veterans and employees with disabilities to apply for our positions. The HR Specialists also provide counsel to the selecting officials on promoting the use of diverse panels to interview candidates, the ac-

tual interview process and the selection process with a goal toward increasing the diversity of the Agency.

Additionally, to ensure it is meeting the goals of the Agency EEO Affirmative Employment Program and the FCA Human Capital Plan, every vacancy announcement is approved by the EEO Director and the CHCO.

In addition to traditional recruiting strategies, FCA continues its programs that allow FCA offices to share staff resources by long term rotational assignments. Such assignments allow the Agency to maximize the use of its technical experts among offices.

A complement to FCA’s recruiting strategy is a policy to review whether functions or positions could be better provided by a shared services arrangement or another strategic sourcing method. The goal of this policy is to ensure that FCA regularly considers all staffing options when determining how to meet its goals and objectives.

C. FCA Job Evaluation Plan

FCA has its own Job Evaluation System. It administers a fair and equitable program, which reflects sound management principles, progressive job evaluation practices, and conformance with all applicable personnel statutory and regulatory requirements. The Job Evaluation System provides for a dual track system that gives appropriate credit for Agency technical experts.

The job evaluation process supports several important human resource functions. The factors in the job evaluation plan(s) were derived through input from FCA managers and employees and are intended to reflect and express Agency values. The job evaluation program provides the framework for establishing Agency salary ranges and effecting pay

decisions. The job evaluation process also affords a mechanism for achieving pay equity (i.e., the principle of equal pay for substantially equal work). Accordingly, the basic program objectives are to:

- Promote effective, efficient, and responsible management of Agency resources;
- Establish a job evaluation program which is representative of the Agency's value system;
- Maintain job evaluation criteria and standards which accurately and equitably value job content; and
- Assign grade levels in accordance with an appropriate application of the job evaluation criteria.

FCA's goal to maintain an accurate job evaluation system is accomplished by annual reviews of employees' position descriptions and audits of position grades.

FCA's job evaluation policy and implementing procedures are found in PPM 819.

D. FCA Compensation Program

FCA has a fair and equitable compensation and benefits program that:

- Seeks to maintain comparability with other Federal Bank Regulatory Agencies (FBRAs);
- Fulfills applicable personnel statutory and regulatory requirements; and
- Reflects safe and sound management principles and progressive compensation practices.

By law, FCA is required to seek to maintain total compensation and benefits comparability with the other FBRAs (See Appendix F for a comparison of

FBRA benefits). However, the term comparability is not defined in statute. Achievement of this objective is subject to the availability of funds and Agency budget constraints. The other FBRAs observe a variety of different compensation and benefits practices. FCA has adopted national salary range structures that are adjusted by locality pay differentials as its primary pay system. The combination of base pay and locality pay differentials is designed to maintain average compensation comparability with its FBRA counterparts.

One of FCA's primary program objectives is to compensate employees at the average market rate paid by the other FBRAs. Other objectives are to:

- Effectively attract, retain, and motivate employees.
- Seek to achieve and maintain comparability in compensation and benefits with the other FBRAs.
- Provide base salary compensation at the average market rate provided by the other FBRAs.
- Provide locality pay differentials that are reasonably comparable to those provided by the other FBRAs.
- Adjust pay on the basis of individual performance and position in the salary range, without regard to any nonmerit factors.
- Inform employees about compensation policies and program developments annually, in conjunction with salary adjustments.

Annually, the Director of OMS and the CHCO provide recommendations to the FCA Board on rates of pay and also report on FCA's comparability with the other FBRAs.

FCA's compensation policy and implementing procedures are found in PPM 804.

E. FCA Retention Strategy

FCA's retention strategy focuses on helping employees balance the many different parts of their lives - work, family, and community - with a variety of benefits and family friendly programs. The unique combination of competitive salaries and federal government and Agency benefits helps employees build a rewarding career while enjoying a flexible and well-balanced work life. A number of these benefits are listed below.

As a part of its overall retention strategy, FCA reviews annually its benefits programs to ensure that the programs remain viable and attractive to its employees and that the Agency continues to be competitive with other FBRAs and offers the best variety of programs. Appendix F compares FCA's benefits and worklife policies to the other FBRAs.

E.1. Wellness Initiatives

FCA recognizes that a healthy workforce promotes employee efficiency and productivity. For this reason, it is FCA policy to encourage the maintenance of employee health and well-being by providing certain services and opportunities directed at sustaining or improving the general workforce health level. For example, the FCA Wellness Program consists of the Employee Assistance Program, Agency donations into employee Flexible Spending Accounts, a Life Cycle Fund which reimburses employees for health and fitness related expenses, increased contributions to employees' FEHB benefit, subsidized flu shots, blood drives, a gym at headquarters with subsidized exercise classes, CPR and defibrillator training, educa-

tional Lunch and Learn seminars, and up to 4 hours of excused absence each year for Agency recognized health screenings for employees with fewer than 80 hours of accrued sick leave.

E.2. Benefits Programs

FCA seeks to maintain benefits comparability through annual reviews of benefits provided by other FBRAs. In addition to benefits afforded other Federal employees, FCA benefits include:

E.2.A. Flexible Spending Accounts

The flexible spending accounts (FSA) program allows employees the opportunity to pay out-of-pocket health and dependent care expenses with tax-free dollars. Employees decide how much to deposit in each account (based upon the plan's minimum and maximum allowable amounts) to cover expenses they anticipate during the plan year. In addition, FCA contributes \$900 in Agency funds to each employee's account and employees may elect to add an additional \$400 in lieu of a Life Cycle payment. FCA automatically deducts the money from each pay period before taxes.

E.2.B. Employee Assistance Program

The program provides a variety of confidential services, including counseling and referrals, to employees who are experiencing personal problems, such as family pressures or financial problems, which can adversely affect performance, reliability, and personal health.

E.2.C. Public Transportation Subsidy

All FCA employees who use public transportation to commute between

home and work may receive a monthly benefit up to \$230 for their public transportation expenses. Public transportation includes buses, subways, trains, and eligible commuter highway vehicles (including van pools). A new bicycle subsidy was also recently added in 2011.

E.2.D. Long Term Disability Insurance

Full-time and part-time employees who work a minimum of 30 hours per week are eligible for Long Term Disability (LTD) coverage. LTD coverage becomes effective on the day an employee becomes actively employed. They are automatically enrolled, and the LTD coverage is provided by FCA at no cost to them.

E.2.E. Child Care Subsidy Program

All FCA employees whose adjusted annual gross family income is \$60,000 or less may participate in the Child Care Subsidy Program. The program provides a stipend to help pay for child care expenses.

E.2.F. Federal Employees Health Benefits Program

FCA pays 80 percent of the cost of coverage for all employees. The current Government contribution for health care coverage on average is 72 percent.

E.2.G. Life Cycle Spending Account

A Life Cycle Spending Account is provided to help employees save money for adoption, child care, elder care, fitness/recreation, or insurance premiums not otherwise reimbursed under another program or insurance policy. FCA contributes \$400 to each employee's account. In lieu of the Life Cycle payment,

employees may opt to add \$400 to the FSA account.

E.2.H. Student Loan Program

FCA employees may be eligible for the student loan repayment benefit. The program is limited to student loans authorized by the Higher Education Act of 1965 and the Public Health Service Act, which are federally insured loans made by educational institutions, banks, and other private lenders.

Recently, FCA has used the Student Loan Program as a recruitment incentive for new employees and has offered up to \$9,000 to new employees for student loans. This program is considered for each new position as a part of the Agency's recruiting strategies.

E.2.I. Leave Sharing Programs

These programs allow coworkers to voluntarily transfer some of their annual and sick leave to specific coworkers or to donate to a leave bank to assist coworkers in dealing with personal or family medical emergencies. These programs, unlike other federal agencies' programs, allow employees to donate excess sick leave to FCA Leave Sharing Programs.

E.3. Flexible Work Program

FCA's flexible work schedules allow employees to work several types of workweeks other than the traditional 8 hours per day, 40 hours per week. Hours per day and starting/quitting times each day may vary and, in some cases, employees may be permitted to work fewer than 10 days in a 2-week period.

E.4. Telecommuting Program

Employees may request arrangements for working at a location away from the job site, generally at home. An employee and manager must determine whether telecommuting is appropriate for each particular position, task, or project. The amount of work that an employee performs while telecommuting generally depends on the characteristics of a task or project, the scheduling arrangements, and other variables. The key considerations in determining the general appropriateness of a telecommuting arrangement include effectiveness and efficiency, cost savings, and improved morale.

Telework policies are consistent with the Telework Enhancement Act of 2010 and all supervisors and employees have taken telework training.

Additionally, since all employees are issued laptop computers, the Agency is well poised to enact its Continuity of Operations Plan, which relies on the ability of employees to telework from home.

Agency policies on its operating status during inclement weather also heavily rely on the use of telework for its employees.

F. Capturing Effectiveness

The primary method that FCA uses to determine whether its retention strategies are effective is employee surveys. FCA has conducted Employee Surveys since 2004 and has established a baseline for satisfaction levels at the Agency for its retention strategies.

After the results of the 2009 survey, the FCA HC Steering Committee reached out to all Offices in the Agency to open up a dialogue with employees to identify areas for improvement in the survey results. The Committee has also sought assistance from the FCA Employees' Council to provide an open forum for

suggestions from staff. Three areas that the Steering Committee focused on in 2011 were communications, trust in senior management, and overall job satisfaction.

The 2011 results showed improved satisfaction levels from 2010. Additionally, the Partnership for Public Service recognized FCA as the 5th Best Small Agency in its annual Best Places to Work report. Among the items receiving 80 percent or more favorable responses were:

- their coworkers cooperate to get the job done,
- they are given a real opportunity to improve their skills,
- they like the kind of work they do,
- their supervisors support the balance of work and family issues,
- they understand how their work relates to the agency's goals and priorities,
- physical conditions of the workplace allow them to perform their jobs well,
- they are protected from health and safety hazards on the job,
- the agency has prepared them for security threats,
- they feel that the work they do is important,
- the workforce has the job-relevant knowledge and skills to accomplish organizational goals,
- their training needs are assessed,
- they are satisfied with the training they have received for their jobs,
- they have trust and confidence in their supervisors,
- their immediate supervisors are doing a good, or very good, job, and
- supervisors support employee development.

Comparing FCA's 2011 results with the average results from all federal agen-

cies, FCA is, on average, 11.2% higher in its satisfaction levels.

For 2011, five new questions were added. The satisfaction results were favorable for all:

- Considering everything, 77.0 percent were satisfied, or very satisfied, with their organization.
- 80.4 percent would recommend their organization as a good place to work.
- 90.9 percent agree that their supervisors treat them with respect.
- 98.3 percent agree that, when needed, they are willing to put in extra effort to get the job done.
- 80.8 percent agree that policies and programs promote workplace diversity.

The Steering Committee has begun new discussions on efforts to further improve the Agency's results in 2012.

F.1. Overview of Agency Improvements since 2010 Survey

F.1.A. Personal Work Experiences

Since 2010, FCA has had new Office Directors in three offices. While staffing levels have increased, retirements have created numerous promotional and supervisory opportunities throughout the Agency.

Since 2010, FCA has continued to use a team approach for work assignments and task completion. This approach enhances and improves cooperation among offices. FCA work teams are successful because of the skills and abilities of Agency staff. FCA employees are given opportunities to improve their skills through the IDP process. Established career tracks have also created more training opportunities. The mi-

gration of FCA's processes to electronic databases has allowed staff instant access to information, which improves their ability to do their jobs.

Change processes have been successful because supervisors have requested and used staff input to develop new and better ways of doing things.

F.1.B. Recruitment, Development & Retention

Since 2010, offices have begun to recruit to fill necessary positions. In addition to new hires in all offices of the Agency, there have been numerous promotion opportunities throughout the Agency. Promotion opportunities were available for both supervisory and non-supervisory positions. Nonsupervisory positions reach the VH-41 level in many offices.

Many FCA employees have been given the opportunity to demonstrate their leadership skills with their selection for FCA's supervisory positions. An important message that has been passed on to these new supervisors is that FCA is a firm believer in supporting staff's need to balance work and family issues. This is best illustrated by the family friendly policies and practices that FCA has in place. Reasonable workload demands also contribute to that balance.

F.1.C Performance Culture

There have been numerous promotional opportunities for employees. These promotional opportunities, or positions, were created, announced, and filled using the merit process. Panels were assembled for almost all vacancies to ensure that the most-qualified individual was selected for a particular position.

Many of these new positions were supervisory or team leader positions. A vital message that has been passed on to these new supervisors is that FCA is committed to promoting diversity in the workplace through its policies and programs. A workplace that embraces employees of different backgrounds from all segments of society is a strong workplace.

Over the past several years, the Agency's Awards and Recognition Program has been enhanced. Peer-to-Peer Awards continue to empower staff in their ability to reward fellow employees and the Agency's highest awards – the Chairman's and Distinguished Service Awards – are given at an annual awards ceremony.

FCA's performance management program ensures that differences in performance are recognized in a meaningful way. While the ratings process has mid-term and pre-appraisal discussion requirements, all FCA supervisors know that frequent feedback and counsel to their staff members are both necessary and expected. Such discussions are vital for ensuring that annual performance ratings fairly and accurately reflect an employee's performance. In the unfortunate event that an FCA employee does not live up to his/her performance expectations, supervisors – both new and tenured – have been given training on dealing with performance issues in the workplace. It is important for all staff to understand that each FCA employee is held accountable for achieving Agency goals and objectives.

F.1.D. Leadership

Agency leaders on the FCA Board and Senior Staff strive to generate high levels of motivation and commitment in the workforce. Managers consistently maintain open lines of communication with staff to ensure that everyone understand

the goals and priorities of the Agency. FCA managers constantly review and evaluate progress toward meeting Agency goals and priorities. The proactive approach of our leaders demonstrates high standards of honesty and integrity and has earned the respect of FCA staff and the System.

Over the past several years, new supervisors have been trained in the use of the Agency grievance process and managers have shown their commitment to resolving complaints, disputes, and grievances in a fair and equitable manner. Arbitrary actions, coercion for partisan political purposes, and prohibited personnel practices are not tolerated and all employees should know that they can report any violation of law to the Office of Inspector General without fear of reprisal.

F.1.E. Learning (Knowledge Management)

One of the changes that took place at FCA over the past several years was the implementation of a Lotus Notes database for IDPs. Employees can now create and update IDPs within this database and sign them electronically. IDPs are useful tool for supervisors and employees to discuss job performance and employee development, assess the training needs of staff, and to ensure that all employees receive the training needed to perform their jobs.

Over the last several years, FCA has encouraged staff participation in e-learning and has provided numerous e-learning opportunities. These courses are a convenient and cost-effective method for learning because every employee has a laptop. With regard to information technology, FCA is committed to providing employees with the tools needed to perform tasks and gather and share knowledge. FCA's electronic databases put job-relevant information at

each employee's fingertips. They also allow employees to share job knowledge with each other.

F.1.F. Job and Benefits Satisfaction

Job satisfaction levels are directly tied to the policies and practices of FCA management. These policies and practices have given numerous promotional and supervisory opportunities throughout the Agency, have emphasized training and development for all staff, and have kept FCA competitive with the other FBRAs in pay and benefits.

Regarding employee benefits, FCA continues to compare favorably with other federal agencies in the provision of additional employee benefits and programs. FCA offers a \$900 payment to every employee's Flexible Spending Account, and has a \$400 Life Cycle payment that can also be added to the FSA. The Agency has child care and transit subsidy programs, and it allows employees to use sick or annual leave to donate to our Leave Bank or Leave Transfer programs. (Other agencies only allow the transfer of annual leave.) The Agency pays 80 percent of the cost of FEHB coverage for all employees. FCA's work/life programs are among the best in the federal government as evidenced by awards and special recognition from the OPM. Also, all employees are eligible for alternative work schedules and telework.

F.2. Exit Interviews

FCA has an electronic exit interview questionnaire that all departing employees are encouraged to complete before they separate. On a quarterly basis, the Agency reviews the questionnaires and analyzes the attrition data. Any trends are then identified to be used in the re-

view of the Agency's recruitment and retention strategies.

Section VI – Accountability

A. Background

FCA monitors and evaluates its human capital programs to ensure they are data driven, cost effective, and link program performance to organizational goals.

B. Human Capital Implementation Plan Measures

Through a HC Steering Committee, FCA has established a formal program review process for initiatives in its Human Capital Plan. The process documents program success and provides a formal process for making human capital improvements.

The HC Steering Committee examines and evaluates the implications of various human capital initiatives and proposals. Workgroup members also aid in the development of structured, strategic, outcome-oriented human capital plans that not only address the needs of their offices, but the Agency as a whole. They also assist in the development of appropriate human capital implementation, progress, and measurement systems.

C. Review of Human Capital Policies and Procedures

FCA's primary accountability system is contained in its Policies and Procedures Manual (PPM) and human resources internal procedures (IPs).

Each policy and procedure included in the PPM covers program goals and objectives, coverage areas, responsibilities, expected outcomes and measured results, compliance with law, and provisions for periodic review to ensure continuous improvement. Policies and procedures cover

man resource programs as well as other Agency program goals and objectives.

D. Internal Controls

FCA has an extensive Audits and Reviews Policy that addresses the evaluation of internal control systems. Various human resource functional areas are identified by their vulnerability for risk and have a review cycle tied to the level of risk. Checklists have also been developed to assist the internal control process.

E. Surveys

FCA uses surveys to enhance its accountability process. It surveys new hires regarding the hiring process, current employees on their job satisfaction, and departing employees on why they are leaving and what suggestions they would offer for improving employment at FCA.

FARM CREDIT ADMINISTRATION

PART IV

HUMAN CAPITAL MANAGEMENT REPORT – FY 2011

Human Capital Management Report

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Human Capital Management Report FY 2011

Farm Credit Administration

Contact Information

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HCMR Complete and Ready To Release To OPM

Release Information	Enter Information Below
Is this 2011 HCMR Approved for Release?	
Name and Title of Executive who reviewed and approved this report	Stephen G. Smith, Director, Office of Management Services
Date	December 15, 2011

Section I: Human Capital in Your Agency

Please respond to the following set of questions to describe human capital management in your agency.

How are the HC/R strategies and priorities being integrated into agency strategic and budget planning?

Human Capital Management is a strategic priority of the Farm Credit Administration (FCA) Board – it was a cornerstone of strategic planning and the Board gets regular updates at its meetings. It has been integrated into budgeting. FCA is challenged to have the leadership and technical talent to ensure that the FCS provides a dependable source of capital to American agriculture as financial systems become more interdependent and complex and during times of economic stress.

FCA's Human Capital (HC) Plan and human capital performance goals supported the Agency's work this year. The human capital goals formalized in the HC Plan and the agency's 2011 Performance Budget set the structure for the year. Having clear, well-defined, human capital goals that were strongly supported by senior management gave the Agency clear direction to navigate through challenging times and maintain a top-notch workforce to accomplish the Agency's mission.

What are the agency's successes and how did HC/R programs support the outcomes?

There were many noteworthy accomplishments in the FCA human capital arena during FY11. These accomplishments helped FCA to meet its HC goals of:

Goal 1: Agency systems and organizational structures are well designed and work together to position and support FCA employees in accomplishing the Agency's strategic goals.

Goal 2: FCA attracts and retains a diverse and talented work-force.

Goal 3: FCA employees are highly capable and perform to their potential to support the Agency mission.

Goal 4: FCA employees are result-focused, act with integrity, and help to ensure the safety, soundness, and future of the FCS through innovation and creativity.

Goal 5: Teamwork and collaboration are routinely practiced with internal and external partners.

Some of the key accomplishments include the following:

In a report submitted to Congress, the U.S. Office of Personnel Management recognized FCA for a leading practice in the area of diversity and inclusion. OPM's Fiscal Year 2010 Federal Equal Opportunity Recruitment Program Report recognized FCA and four other federal agencies for their diversity and inclusion practices.

FCA was recognized in particular for fostering accountability in the area of diversity and inclusion. "The Farm Credit Administration created a Human Capital Management Plan (HCMP) that integrates workforce planning and deployment, employee development and recruitment, and retention strategies into the agency's strategic planning process," states the report. "Specifically, the HCMP is designed to ensure the continued development of a results-oriented workforce aligned with the agency's strategic goals and objects and emphasizes the importance of staff possessing the skills, talents, and knowledge necessary to support the agency's mission."

The staffing profile component of the HC plan is updated annually. It has proved essential for FCA's workforce planning, which is a core component of the plan. The profile looks 5 years back and also projects 5 years forward.

In the area of recruiting, the Agency implemented its recruiting strategy with a goal of casting a broad net to attract women, veterans, minorities and individuals with disabilities to apply for FCA positions, consistent with our Human Capital Plan. Consistent with this strategy, the Agency improved its overall diversity profile.

The Office of Personnel Management (OPM) assessed FCA's human resources program during FY2011. The assessment was conducted to make sure the agency is complying with merit system principles, complying with related laws and regulations, and administering human resource programs and systems effectively. The assessment focused on three human capital management systems in OPM's Human

Capital Assessment and Accountability Framework: Leadership and Knowledge Management, Results-Oriented Performance Culture, and Talent Management. OPM found that:

1) FCA empowers its workforce by promoting learning and leadership development at every level. The agency's career and leadership development programs support this commitment. Presently, FCA uses a formal evaluation system to assess the training program's impact on learning, performance improvement, and mission accomplishment.

2) Employees understand the importance of their work in relation to the agency's mission, and managers communicate the agency's goals and objectives regularly. The consistently positive responses of FCA employees in all categories of the FCA Employee Survey, as compared with government-wide rates, indicate a well-run organization. While FCA staff continues to make improvements to increase the positive responses to the survey, agency programs are able to make these improvements with few barriers.

3) Overall, FCA's recruitment and staffing program meets the agency's operational needs and complies with federal laws, regulations, and merit system principles. In all case files OPM reviewed, human resource staff adjudicated veterans' preference properly and selected from the highest ranked candidates on certificates.

FCA was recognized as the fifth best place to work of all small agencies in the federal government. Every year, the Partnership for Public Service issues its rankings for the best places to work in the federal government—the most comprehensive and authoritative rating of employee satisfaction and commitment in the federal government. At a ceremony hosted by the Partnership for Public Service, Chairman Strom accepted the award for FCA.

In the area of staffing, FCA obtained approval to use the 570 Bank Examiner Job Series. This will allow for more targeted recruited for our FCA Examiner Training Program.

FCA added bicycles to its transit subsidy program for employees who use bicycles to commute to work.

We issued the first Annual Employee Report that included pictures, quotes from employees and highlights on some of the Agencies accomplishments during the year. The Report was distributed at the Annual Awards Ceremony and included the following categories: New Staff, Goodbyes, How We've Changed, Newly Commissioned Examiners, Awards/Honors/Years of Service Awards, FCA in Action – Hard at Work, Learning, Balancing Work and Family, Attracting New Talent, Giving Back to the Community, and Fun at Work.

Results from the 2011 FCA Employee Survey improved. The Agency had 19 questions with a satisfaction rating of 80% and 13 questions (out of a total of 45) where FCA improved its satisfaction rating by 3.5%. Overall satisfaction levels for FCA employees were, on average, 11.2% greater than the average of the federal government.

On December 22, 2010, President Obama signed legislation prohibiting statutory pay adjustments for most federal employees and freezing base pay for senior executives for 2 years. Consistent with its authority to provide performance-based increases "in lieu of" a general (i.e., across-the-board) increase,

FCA approved pay adjustments for its nonexecutive staff in 2011. This action was consistent with advice received by the Office of Personnel Management and the Office of Management and Budget.

Training was provided to all staff on ethics, the Hatch Act, the No Fear Act, and Whistleblower Protection.

The following is FCA's account of the results achieved during FY11 in each of the HCAAF Systems and with respect to the agency's strategic human capital goals and objectives. Questions regarding the content of the report may be directed to FCA Chief Human Capital Officer (CHCO), Philip Shebest at (703) 883-4146 or shebestp@fca.gov .

What are the primary areas of focus for HC/R in 2012?

The Accountability Plan addresses each of the five Human Capital Assessment and Accountability Framework (HCAAF) Systems to ensure that human capital management policies, programs, and operating procedures meet required and suggested metrics as outlined in 5 CFR 250. The Accountability Plan is directly linked to the agency's mission, strategic plan, annual performance goals, and supports the development of the FCA Human Capital Plan for FY11. The Plan will be updated annually.

See Attachment 1 for our Accountability Plan.

What are the three major HC/R challenges the agency faces in the next 1 to 3 years?

Changing workforce. The FCA workforce will change over the next five years because a growing number of employees will become eligible for retirement. At the same time, FCA will need new skills to assess risk in more complex financial institutions. Staff retention is critical to the continued success of the Agency and requires a careful assessment of staffing needs; promotion opportunities; and recruiting, training, and staff development efforts. We will manage the FCA workforce to ensure we retain the knowledge, skill, and expertise to accomplish our goals.

Recruiting of New Talent. In the past, FCA used the Federal Career Intern Program (FCIP) as its primary tool to recruit and train the majority of its entry-level Examiners, Policy Analysts, and IT specialists. With the elimination of that program and OPM's delay in implementing a new program to replace it, FCA has struggled to recruit, attract and select high caliber individuals with the qualifications and skills needed to successfully address the Agency's mission responsibilities.

Maintaining Competitive compensation (salary and benefits). FCA is required by both the Farm Credit Act of 1971, as amended, and the Financial Institutions Reform, Recovery, and Enforcement Act of 1989 to seek to maintain employee compensation comparability with other Federal bank regulatory agencies (FBRAs). Since the FCA compensation strategy defines "pay comparability" as the average market rate paid by other FBRAs, the Agency periodically conducts compensation surveys of the FBRAs to determine comparability. Additionally, the Agency remains on the forefront in providing family-friendly programs. Offering a unique combination of competitive compensation and a flexible, well-balanced work life help employees build rewarding careers and desire to remain employed by the Agency. As smallest of the

FBRAs, our challenge is to maintain our comparability with agencies that have much larger staffs and budgets to compensate their employees.

Section II: Planning, Implementation, and Evaluation of the Human Capital Life Cycle

The Human Capital life cycle of planning, implementing programs, and evaluating for results provides continuous framework for the achievement of major program outcomes and process improvement.

Strategic Alignment - Agency human capital management strategies are aligned with mission, goals, and organizational objectives and integrated into its strategic plans, performance plans, and budgets.

Strategic Alignment

Program/Initiative	Planning	Implementation	Evaluation and Outcomes	Next Steps	Outcome Alignment with Agency Mission
See Attachment 2					

Please answer these additional Workforce Planning questions:

How are you using workforce planning to inform work and budget priorities?

FCA approaches workforce planning strategically, basing decisions on mission needs, customer expectations, workload, and the workforce. The responsibility for position management resides in OMS, which ensures that organizational efficiency and effectiveness are present in all actions taken.

Workforce strategies are based on identified current and future human capital needs, including size and deployment of the workforce. We identified the competencies needed to carry out the mission. We have also established practices for evaluating these competencies when planning for future human capital needs.

FCA has developed and uses multi-faceted techniques to close competency gaps in key areas in the organization (e.g., strategic recruitment, mentoring, and training).

FCA continues to perform an annual analysis of the workforce. The Agency ensures that the results of its analyses are broadly publicized and easily accessed so they can form the basis of human capital program revisions and individual human capital decisions. FCA continues to monitor and facilitate work-force restructuring efforts and publicize the workforce flexibilities that support them. The Agency also continues its investment in automated systems to support recruitment efforts, training initiatives, benefits counseling, and other human capital activities. In addition, FCA continues to educate leaders and HR staff about using competitive sourcing as a strategic tool.

How is the MCO Competency Profile Chart used to plan and evaluate the effectiveness of workforce planning efforts?

Workforce planning is the process of forecasting an organization's future employment needs. It is also the process for identifying and addressing the gaps between the workforce of today and the human capital needs of tomorrow. In its simplest terms workforce planning is getting "the right number of people with the right skills, experiences, and competencies in the right jobs at the right time." This shorthand definition covers a comprehensive process that provides managers with a framework for making staffing decisions based on an organization's mission, strategic plan, budgetary resources, and a set of desired work-force competencies.

Effective workforce planning enables FCA to:

Align workforce requirements directly to the Agency's strategic and annual business plans; Develop a comprehensive understanding of where gaps exist between competencies the work-force currently possesses and future competency requirements; Identify and implement gap reduction strategies; Make decisions about how best to structure the organization and deploy the workforce; and Identify and overcome internal and external barriers to accomplishing strategic workforce goals.

FCA annually conducts a workforce analysis that includes an assessment of the future skill and knowledge capabilities that will be needed to meet expected work and mission requirements for the next five years. While conducting the workforce analysis, the following types of information are reviewed:

Employee trends; Staff projections; Staff performance; and Resources needed to translate the present workforce capabilities to the future workforce requirements.

Workforce data is obtained from the OPM's Central Personnel Data File and the National Finance Center's Reporting Center. Each FCA office also provides information in response to survey questions prepared and distributed by the OMS.

How are competency assessment results used to inform workforce plans?

FCA has established competencies for all occupational categories. Requisite training and development activities are tied to each competency. In addition, training programs have been established to support the needs of the core occupational groups.

FCA conducts Agencywide evaluations and assessments to determine current and future training needs. The results of these evaluations are used to develop, enhance, and if necessary, redirect the Agency's training programs. IDPs are used in the performance review process as a means of managing and planning employee development activities. The annual appraisal process includes consideration of individual development needs and goals for future improvement and career advancement.

Leadership & Knowledge Management (LKM) - Focuses on identifying and addressing agency leadership competencies so that continuity of leadership is ensured, knowledge is shared across the organization, and an environment of continuous learning is present.

Leadership and Knowledge Management

Program/ Initiative Name	Planning	Implementation	Evaluation and Outcomes	Next Steps	Outcome Alignment with Agency Mission
See Attachment 3					

Talent Management - The organization addresses competency gaps, particularly in mission-critical occupations, by implementing and maintaining programs to attract, acquire, develop, promote, and retain quality talent.

Talent Management

Program/Initiative Name	Planning	Implementation	Evaluation and Outcomes	Next Steps	Outcome Alignment with Agency Mission
See Attachment 4					

Please answer these additional Talent Management questions:

Briefly describe agency process for identifying and updating mission critical occupation (MCO) information.

FCA employs people in eight of the occupation groups identified in the OPM Handbook of Occupational Groups and Families. FCA's positions are further broken down into 20 series within these eight occupational groups. Many of the positions classified under several of these series are vital for ensuring the safety and soundness of the FCS. As a result, these occupations are "mission critical."

The OPM has defined "mission critical occupations" as "Occupations agencies consider core to carrying out their missions. Such occupations usually reflect the primary mission of the organization without which mission-critical work cannot be completed." FCA's mission critical occupations and series include:

FCA Examiners/Policy Analysts (1101)

FCA Examiners (570)

Program Managers (301)

Attorney Advisors (905)

The following definitions and descriptions of these mission critical occupations were taken from the OPM's Handbook of Occupational Groups and Families:

General Business and Industry, Series 1101 - This series covers all classes of positions the duties of which are to administer, supervise, or perform any combination of work pertaining to and requiring a knowledge

of business and trade practices, characteristics and use of equipment, products, or property, or industrial production methods and processes, including the conduct of investigations and studies, the collection, analysis, and dissemination of information, the establishment and maintenance of contacts with industry and commerce; the provision of advisory services; the examination and appraisal of merchandise or property; and the administration of regulatory provisions and controls.

Accounting and Budget Group, Series 570 - This group includes all classes of positions the duties of which are to advise on, administer, supervise, or perform professional, technical, or related clerical work of an accounting, budget administration, related financial management, or similar nature.

Miscellaneous Administration and Program, Series 301 - This series covers positions the duties of which are to perform, supervise, or manage two-grade interval administrative or program work for which no other series is appropriate. The work requires analytical ability, judgment, discretion, and knowledge of a substantial body of administrative or program principles, concepts, policies, and objectives.

General Attorney, Series 905 - This series covers professional legal positions involved in preparing cases for trial and/or the trial of cases before a court or an administrative body or persons having quasi-judicial power; rendering legal advice and service with respect to questions, regulations, practices, or other matters falling within the purview of a federal government agency; preparing interpretive and administrative orders, rules, or regulations to give effect to the provision of governing statutes or other requirements of law; drafting, negotiating, or examining contracts or other legal documents required by the agency's activities; drafting, preparing formal comments, or otherwise making substantive recommendations with respect to proposed legislation; editing and preparing for publication statutes enacted by Congress, opinions or discussions of a court, commission, or board; drafting and reviewing decision for consideration and adoption by agency officials. The work of this series requires admission to the bar.

How is the MCO Resource Chart data used to inform recruitment and retention efforts?

FCA identifies, hires, and retains a diverse workforce, using innovative and progressive tools sanctioned by the OPM for recruitment and retention. FCA has identified mission-critical occupations and related competencies. We also use recruitment and retention strategies to close anticipated workforce competency gaps. Flexible strategies have been developed to attract, hire, and retain quality employees who possess mission-critical competencies.

Performance Culture - The organization promotes a diverse, high-performing workforce by implementing and maintaining effective performance management systems and awards programs.

Performance Culture

Program/Initiative Name	Planning	Implementation	Evaluation and Outcomes	Next Steps	Outcome Alignment with Agency Mission
See Attachment 5					

Performance Culture question:

Performance Culture Index (PCI)? And/or what plans has your agency made to improve on the elements that feed into the Overall PCI?

The Farm Credit Administration (FCA or Agency) participated in the Annual Employee Survey (a human capital survey) conducted by the Office of Personnel Management. The survey responses are grouped into the following broad categories:

- Results-oriented performance culture
- Leadership and knowledge management
- Job satisfaction
- Talent management
- Communication
- Empowerment
- Diversity

After the results of the 2010 survey, the FCA Human Capital Steering Committee, which includes the Chief Operating Officer, the Office Directors, and the Chief Human Capital Officer, continued its dialogue with employees to identify areas for improvement in the survey results. The Committee has also sought assistance from the FCA Employees' Council to provide an open forum for suggestions from staff. Areas that the Steering Committee focused on in 2011 were communications, trust in senior management, and overall job satisfaction.

The 2011 results showed improved satisfaction levels from 2010. Among the items receiving 80 percent or more favorable responses were:

- cooperation among employees,
- employees given a real opportunity to improve their skills,
- employees liking the kind of work they do,
- supervisors supporting a work-family balance,
- understanding of the Agency's goals and priorities,

physical conditions of the workplace,
protection from health and safety hazards,
protection from security threats,
feeling that the work done is important,
satisfaction in job relevant skills necessary to do the job,
satisfaction with the assessment of training needs,
satisfaction with training received,
trust and confidence in supervisors;
satisfaction with the job supervisors are doing, and
supervisors supporting employee development.

For 2011, five new questions were added. The satisfaction results were favorable for all:

Considering everything, satisfaction with organization:	77%
Recommending organization as a good place to work:	80.4%
Respect given to employees by supervisors:	90.9%
Willing to put in extra effort to get job done:	98.3%
Policies and programs promote workplace diversity:	80.8%

Compared to 2010, in 2011, there were 13 questions (out of a total of 45) where positive responses increased by 3.5 percentage points or more.

Comparing FCA's 2011 results with the average results from all federal agencies, FCA is, on average, 11.2% higher in its satisfaction levels. In particular, FCA employees' satisfaction levels are:

20.5% more satisfied than the government norm with FCA physical space; 21.% more satisfied that their training needs are being assessed; 25.3% more satisfied with the training they receive; 25.7% more satisfied that they are protected from health and safety hazards on the job; and 21.4% more satisfied that policies and programs promote diversity in the workplace.

FCA was recognized as the fifth best place to work of all small agencies in the federal government. Every year, the Partnership for Public Service issues its rankings for the best places to work in the federal government—the most comprehensive and authoritative rating of employee satisfaction and commitment in the federal government. At a ceremony hosted by the Partnership for Public Service, Chairman Strom accepted the award for FCA.

The Steering Committee has begun new discussions on efforts to further improve the Agency's results in 2012. The Committee will also discuss what indices will be used to assess Performance Measure 6 of Goal 2 in the FCA Strategic Plan. Performance Measure 6 has a goal for employee commitment and engagement in the Agency's work.

Answer the following questions only if your agency meets the criteria set at the beginning of each question.

Evaluating Non SES Appraisal Program

NOT APPLICABLE

SES/SL/ST Appraisal Programs

The correlation coefficient of the agency's SES members and their performance pay should be at least 0.5.

SES/SL/ST Appraisal Programs - Correlation Coefficient less than .5

NOT APPLICABLE

SES/SL/ST Appraisal Programs - Full Certification

NOT APPLICABLE

Section III: MCO Resource and Competency Profile Charts

Mission Critical Occupation (MCO) Resource Chart (Governmentwide MCOs)

Resource Chart Legend

- (A) Target (To Be) for Number of Employees to reach by the end of FY2011*
- (B) Number of Employees On Board as of October 1, 2010*
- (C) Projected Attrition for FY2011 (enter negative number)*
- (D) Targeted Staffing Gap(-) /Surplus(+) to Close for FY2011*
- (E) Target for Number of Employees to Reach by End of FY2012*
- (F) Projected Attrition for end of FY2012 (enter negative number)*
- (G) Long-Term Target for Number of Employees to Reach by End of FY2016*
- (H) Projected Long-Term Attrition for end of FY2016 (enter negative number)*
- (I) Staffing Gap(-) /Surplus(+) to Close by FY2012*
- (J) Staffing Gap(-) /Surplus(+) to Close Long-term by FY2016*
- (K) Actual Number of Employees On Board on September 30, 2011*
- (L) Actual Attrition of Employees for FY2011 (enter negative number)*
- (M) Was One-Year Target Met for Closing the Gap/Surplus?*

	A	B	C	D	E	F	G	H	I	J	K	L	M
Human Resources Management Series (201)		4			5	-1	5	-2			5	0	
Contracting Series (1102)		1			1	0	1	0			1	0	
Information Technology Management Series (2210)		20			21	0	21	-3			20	-2	
Managers/Supervisors Senior Executive Service (SES) Veterinary Medical Science Series (701)(as applicable)		48			47	-1	47	-12			47	-2	

Mission Critical Occupation (MCO) Resource Chart (Agency-Specific MCOs)

	A	B	C	D	E	F	G	H	I	J	K	L	M
FCA Examiners (1101) (Grades 34-37)	51	46	-6	-11	29	-4	0	-12	7	24	43	-8	-8
FCA Examiners	108	106	-4	-6	100	-7	101	-26	-5	-32	105	-4	-3

	A	B	C	D	E	F	G	H	I	J	K	L	M
(1101) (Grades 38-41)													
FCA Ex-aminers (1101) (Grades 42-44)	8	9	-2	-1	8	-1	8	-5	-2	-7	9	-2	1
Policy Analysts (1101) (Grades 34-37)	0	0	0	0	0	0	0	0	0	0	0	0	0
Policy Analysts (1101) (Grades 38-40)	11	8	-1	-4	13	-2	14	-4	-8	-13	11	0	0
Policy Analysts (1101) (Grades 41-44)	4	7	-1	2	3	0	0	-1	3	5	3	-1	-1
FCA Ex-aminers (570) (Grades 34-37)		0			15	-1	33	-11			6	0	
Program Managers (301) (grades 34-35)	3	2	0	-1	3	0	1	0	-1	1	3	0	0
FCA Ex-aminers (570) (Grades 41-44)		0			0	0	0	0			0	0	
FCA Ex-aminers (570)		0			0	0	14	-2			0	0	

	A	B	C	D	E	F	G	H	I	J	K	L	M
(Grades 38-40)													
Program Managers (301)	10	10	-1	-1	8	-2	10	-2	-1	-5	8	0	-2
(grades 36-38)													
Program Managers (301)	5	4	-1	-2	6	-2	5	-3	-5	-7	6	0	1
(grades 39-41)													
Program Managers (301)	8	8	-2	-2	6	0	6	-3	0	-3	6	-2	-2
(grades 42-44)													
Attorney Advisors (905)	0	0	0	0	0	0	0	0	0	0	0	0	0
(Grades 34-35)													
Attorney Advisors (905)	0	0	0	0	0	0	1	0	0	-1	0	0	0
(Grades 36-38)													
Attorney Advisors (905)	8	8	0	0	9	0	9	-1	-1	-2	8	0	0
(Grades 39-41)													
Attorney Advisors (905)	4	5	0	1	5	0	5	0	0	0	5	0	1
(Grades 42-44)													

Acquisition, HR, Leadership and Agency-specific MCO Competency Profile Chart

Competency Profile Chart Legend

(E) Target for Number of Employees Who Need the Proficiency Level for this Competency by the End of FY2013

(F) Projected Attrition for End of FY2013 from Employees Who Need This Proficiency Level (Enter Negative Numbers for Attrition)

(G) Long-Term Target for Number of Employees Who Need This Proficiency Level on This Competency by the End of FY2015

(H) Projected Long-Term Attrition for End of FY2015 (Enter Negative Numbers for Attrition)

(I) Competency Gap/Surplus to Close by the end of FY2013

(J) Competency Gap/Surplus to Close Long-term by the end of FY2015

(K) As is on Sept 30, 2011. Actual # of Employees on Board Who are at or above the Proficiency Level they need

IT Competency Profile Chart

Critical Competency Name	Proficiency Level	E	F	G	H	I	J	K
Project Management	Awareness							
	Basic							
	Intermediate							
	Advanced							
	Expert							
	Competency Not Applicable/Not Needed							
Information Technology Program Management	Awareness							
	Basic							
	Intermediate							
	Advanced							
	Expert							
	Competency Not Applicable/Not Needed							
Strategic Thinking	Awareness							
	Basic							
	Intermediate							
	Advanced							
	Expert							
	Competency Not Applicable/Not Needed							

Critical Competency Name	Proficiency Level	E	F	G	H	I	J	K
Stakeholder Management	Awareness							
	Basic							
	Intermediate							
	Advanced							
	Expert							
Influencing/Negotiating	Competency Not Applicable/Not Needed							
	Awareness							
	Basic							
	Intermediate							
	Advanced							
Risk Management	Expert							
	Competency Not Applicable/Not Needed							
	Awareness							
	Basic							
	Intermediate							
	Advanced							
	Expert							
	Competency Not Applicable/Not Needed							

Section IV. Human Capital Planning Documents

HC Planning Documents

Document / Plan	Choose Yes or No	If Yes, Date Revised (mmddyy)
Current Workforce Plan	yes	06/01/11
Current Human Capital Strategic Plan	yes	06/01/11
Current Succession Plan	yes	06/01/11
Strategic Recruitment Plan	yes	06/01/11
Routinely Used New Hire Survey	yes	07/01/2009
Routinely Used Exit Survey	yes	01/14/10

Section V: HC Government-Wide Initiatives

Veterans Employment Initiative - What efforts have been implemented to improve hiring rates of Veterans in the agency? Were hiring goals achieved?

In FY11, a major goal of FCA under its HC plan was the development of a recruiting strategy with the goal of casting a broad net to attract women, veterans, minorities and individuals with disabilities to apply for our positions, consistent with our Human Capital Plan.

As a result of the Agency's ongoing recruitment and hiring efforts and a change in the way FCA reports on its veterans' representation, the number of veterans employed by FCA increased commensurate with the increase in Agency employees. The representation of veterans in the Agency's workforce represented 10.9 percent of the FCA workforce at the end of fiscal year 2011. Veterans comprised 8.0 percent of the workforce at the end of fiscal year 2008, 9.4 percent of the workforce at the end of fiscal year 2007, and 9.5 percent of the workforce at the end of fiscal year 2006.

FCA has engaged the following human capital management practices to support our Disabled Veterans Affirmative Action Program:

- 1) The Agency gives full consideration to all applicants who qualify for veterans' preference. Vacancy announcements solicit copies of DD-214's and, if applicable, an SF-15 with a current letter from the Veteran's Administration, dated within 1 year, verifying disability from applicants. In addition, vacancy announcements are worded to encourage preference eligible applicants or veterans who have been separated from the Armed Forces under honorable conditions after 3 or more years of continuous active service to apply for the position.
- 2) FCA supports the National Guard and Reserve. The FCA Board signed a statement entitled "Employer Support of the National Guard and Reserve" on May 2, 2005. The Statement of Support reiterates the commitment of the board members, officials, and managers to employ and provide career opportunities to employees in the National Guard and Reserves.
- 3) The Agency uses the Veterans Recruitment Appointment (VRA) authority to appoint eligible veterans into positions without competition. The appointments may continue for a period of 2 years depending on the veteran's satisfactory performance. At the end of the 2-year period, the Agency may convert the veteran to a career-conditional (permanent) appointment, contingent upon their successful competition of performance requirements.
- 4) The Agency brings well-educated graduates into the workforce through the Student Career Experience Program (SCEP). Students in the SCEP may be noncompetitively converted to term, career, or career-conditional appointments following completion of their academic and work experience requirements.
- 5) FCA uses the Student Temporary Employment Program (STEP) to bring students into the Agency's workforce as examiners or in other positions, as needed.

6) FCA attended the Careers and The Disabled Career Expo as part of the Agency's outreach and recruitment for persons with disabilities, including disabled veterans.

In fiscal year 2011, FCA hired three veterans, including two 30% disabled veterans. FCA also promoted five veterans, including two 30% disabled veterans in fiscal year 2011.

Hiring Reform

Hiring Reform - How has the Government-wide focus on Hiring Reform improved recruiting and hiring in your agency (include supporting data)?

The Farm Credit Administration (FCA) created a hiring reform team in the spring of 2009 to review and evaluate opportunities to streamline the hiring process from end to end. The task force developed and mapped the time lines for hiring and identified the various decision makers involved in each step. Interviews were conducted with recent hires and selecting officials to identify obstacles and request recommendations to improve the hiring process to obtain the best qualified candidates to fill future positions. The one clear message was that hiring is a time consuming and arduous process.

Based on the results of the interviews as well as streamlining efforts by OPM, FCA has for all sources, status and internal announcements:

- 1) Reduced the length of job announcements to 3 -5 pages
- 2) Used plain language in job announcements
- 3) Utilized category rating
- 4) Held managers accountable for meeting hiring goals and objectives through their performance plan expectations

In addition, we have eliminated the requirement for written essay style questions (KSAs) in all sources announcements.

FCA does not maintain a delegated examining unit (DEU) and relies on OPM's Services Branches to help efficiently move applicants through the hiring process. After identifying barriers with the Washington Services Branch in FY 2010, FCA began to utilize the services of the Kansas City Services Branch in FY 2011. Most of the identified barriers from our FY 2010 report have been eliminated with this switch. The one barrier that remains with some of our job announcements is the time between the closing of the announcement and receiving certificates.

FY 2011 was a unique year for FCA, as we had three executive level openings that required planning executive level panels to rate the applicants. It took additional time to schedule panel activities around the other duties and responsibilities of the panel members. In spite of the increased time for this planning and rating process, the average end to end time to hire was reduced to 132 days. The time between starting the hiring process and a selection being made (excluding the entrance of duty date) is on average 87 days. Our time to hire in Fiscal Year 2010 was 145 days with a goal for 2011 of 120 days.

We have identified several internal barriers:

- 1) Assessing applicant applications
- 2) Hiring managers involvement with announcement development and reluctance to take timely action on certificates
- 3) Scheduling interviews
- 4) Delay of entrance on duty date

Our goals for FY12 are:

- 1) Communicate with hiring managers the expectations about the announcement development process and timeframes
- 2) Utilize OPM's assessment tools for certain positions (IT, Admin, etc.) to assess qualifications
- 3) Determine an assessment method for bank examiner and financial analyst positions
- 4) Continue to improve the clarity of the job related factors necessary for the position
- 5) Have an average time to hire of 100 days

Extension of Benefits to Same-Sex Domestic Partners of Federal Employees

Same-Sex Domestic Partner Benefits - Government-Wide Benefits

Governmentwide Benefits	Authority	Employees and Managers have been notified and are able to utilize benefits	Pending Implementation / Expected Implementation Date (mm/dd/yyyy)
FLTCIP	5 CFR 875.213	Yes	
FMLA for birth, adoption bonding or care of domestic partner's child when employee stands in "loco parentis"	CPM 2010-15	Yes	
Sick leave to care for same-sex domestic partners	5 CFR 630.201(b)	Yes	
Sick leave for bereavement	5 CFR 630.201(b)	Yes	
Funeral leave	5 CFR 630.803	Yes	
Emergency leave transfer	5 CFR 630.1102	Yes	

Governmentwide Benefits	Authority	Employees and Managers have been notified and are able to utilize benefits	Pending Implementation / Expected Implementation Date (mmddyyyy)
Leave bank program	5 CFR 630.1102	Yes	
Extension of 24-hour LWOP Family Support	OPM Memo Sep 10, 2010	Yes	
Emergency travel	FTR 301-30	Yes	
Threatened law enforcement /investigative employees	FTR 301-31	N/A	
Relocation allowance by specific type	FTR 302-3	Yes	
Allowance for subsistence and transportation	FTR 302-4	Yes	
Allowances for temporary quarters subsistence expenses	FTR 302-6	Yes	
Agency requirements for payment of expenses connected with the death of certain employees	FTR 303-70	Yes	

Same Sex Domestic Partner Benefits - Retirement Benefits

Retirement Benefits	Authority	Employees and managers have been notified and are able to utilize below benefits.	Pending implementation/ expected implementation date (mmddyyyy)
Joint life and Survivor annuity FEGLI	5 CFR 870.802	Yes	
Death Benefits	5 CFR 831.2005 & 5 CFR 843	Yes	
Death gratuity	5 USC 8133	Yes	
DOL/OWCP Death gratuity (50%)	5 USC 8102a	Yes	
Retirement Survivor Annuity Insurable Interest (CSRS/FERS)	5 CFR 831.613 & 5 CFR 842.605	Yes	

Same-Sex Domestic Partner Benefits - Non-Title 5 Agency Benefits

Non-Title 5 Agency Benefits	Authority	Employees and managers have been notified and are able to utilize below benefits	Pending implementation/ expected implementation date (mmddyyyy)
Health insurance premium reimbursement program		N/A	
Dental insurance		N/A	
Retiree Dental Plan		N/A	
Vision insurance		N/A	
Flexible spending account		No	when IRS allows
Dependent life insurance		N/A	
Business travel accident insurance		N/A	
Employment counseling/ testing for relocating employee's spouse/ domestic partner		N/A	
Reimbursement for fitness center memberships		N/A	
Reimbursement for homeowners insurance		N/A	
Reimbursement for physical exams		N/A	
Access to site information and participation in selection briefings		N/A	

Agency Specific Benefits/Worklife Benefits

Agency Specific Benefits / Worklife Benefits	Authority	Employees and managers have been notified and are able to utilize below benefits	Pending implementation/ expected implementation date (mmddyyyy)
Leave and work scheduling flexibilities including but not limited to child birth and/or adoption		Yes	
Access to Employee Assistance Program (EAP)	5 CFR 792 Subpart A	Yes	

Agency Specific Benefits / Worklife Benefits	Authority	Employees and managers have been notified and are able to utilize below benefits	Pending implementation/ expected implementation date (mmddyyyy)
Child care subsidy/ provider	5 CFR 792 Sub-part B	Yes	
Planning and counseling services (financial)		Yes	
Retirement Planning Programs/ Seminars		Yes	
Family assistance services (i.e. referrals to adoption counseling, parenting counseling, career counseling, etc.)		Yes	
School Age Care program		N/A	
Youth Programs		N/A	
Life Care		N/A	
Parenting and elder care support groups		Yes	
Hardship transfers to maintain or improve the health of a same-sex domestic partner		N/A	
Joint consideration for transfers		N/A	
Family visitation travel		N/A	
Access to lodging or allowance		Yes	
Deployment support		N/A	
Credit Union Benefits		N/A	
Access to fitness facilities		Yes	
Access to medical treatment		N/A	
Family and morale/wellness/recreation (MWR)		N/A	
Awards Ceremony/ representation/ fundraiser events		Yes	
Expression of sympathy/ Letters of Condolence		Yes	
Accidental death and dismemberment insurance		N/A	
Long-Term Disability death benefit		Yes	

**Benefits under Foreign Affairs Manual and its Standardize Regulations
(Administered by State Department)**

Benefits	Authority	Employees and managers have been notified and are able to utilize below benefits	Pending implementation/ expected implementation date (mmdyyy)
Diplomatic passports (U.S. Citizens only)		N/A	
Inclusion on employee travel orders to and from post abroad		N/A	
Shipment of household effects		N/A	
Inclusion in family size calculations for the purpose of making housing allocations		N/A	
Family member preference for employment at post abroad		N/A	
Use of medical facilities at posts overseas/ Embassy health units		N/A	
Medical evacuation from posts overseas		N/A	
Emergency travel for partners to visit gravely ill or injured employees and relatives		N/A	
Inclusion as family members for emergency evacuation from posts abroad		N/A	
Subsistence payments related to emergency evacuation from posts abroad		N/A	
Inclusion in calculations of payments of overseas allowances (i.e. payment for quarters, cost of living etc.)		N/A	
Representation expenses		N/A	
Training at the Foreign Service Institute (space available)		N/A	
OTHER - Actions taken by agency with regard to this benefit	Authority	N/A	Pending implementation/ expected implementation date (mmdyy)
Establish Domestic Partners Benefit Program		N/A	
Updated Agency specific policies		N/A	

Communication

Communication	Authority	Employees and managers have been notified and are able to utilize below benefits	Pending implementation/ expected implementation date (mmddyyyy)
Website		Yes	
E-mail communications		Yes	
Newsletters/ agency notices		Yes	
Information included in employee orientation		Yes	
Working groups (LGBT Group, diversity counsel, etc)		N/A	
Fact sheet on domestic partnership		N/A	
Domestic Partnership helpdesk/ Lead to answer questions / Individual confidential counseling (training)		N/A	
Educating managers and employees		Yes	
Internal Guidance provided (not specified)		Yes	

Supporting Documents -- If necessary, any supporting documentation can be added here.

Attachment 1 – FY 2012 Farm Credit Administration Accountability Plan

HCAAF System: Strategic Alignment

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

Human Capital Goal

- The FCA Human Capital Strategy is aligned with the agency’s mission, strategic performance goals, and organizational objectives, and is integrated with strategic plans, performance plans, and the budget.

Activities/ Objectives	Result	Metric	Timeframe	Responsible Party
Develop the FY 2012 FCA Human Capital Plan	5 CFR 250 Compliant Human Capital Plan	Plan establishes a framework of HC activities that support the FCA mission and strategic performance goals.	By 5/31/12	Chief Human Capital Officer (CHCO)
Address workforce planning within the context of the FCA Human Capital Plan	FCA Human Capital Plan contains Workforce Plan	Workforce Plan captures current workforce data, business, and performance drivers that effect the work of the future, and the gap between current workforce and that needed to meet the agency’s mission and strategic performance goals during FY 2012 and beyond.	By 5/31/12	CHCO and HC Steering Committee
Continue process for considering and including HC activities and investments in the development of the annual performance budget	The agency has a standard for integrating HC strategies into the performance budget that meets 5 U.S.C. 1303 and the CHCO Act of 2002.	The annual performance plan and budget request include consideration of HC needs	In concert with development of the 2013/2014 budget	Chief Financial Officer (CFO) and CHCO
Maintain process to include FCA Diversity Council in development of the Human Capital Plan	FCA Human Capital Plan contains the Agency’s Affirmative Employment Program.	Diversity within FCA is considered more inclusive as measured by the FCA employee survey	By 5/31/12	Chief Human Capital Officer (CHCO)

Attachment 1 – FY 2012 Farm Credit Administration Accountability Plan

HCAAF System: Leadership and Knowledge Management

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

Human Capital Goal

- The FCA succession management strategy promotes leadership excellence, ensures continuity of leadership, and encourages continuous learning.

Activities/ Objectives	Result	Metric	Timeframe	Responsible Party
Establish baseline of FCA leadership competency gaps and plan for addressing them	Competency gaps closed for Management and Leadership	FCA leadership competency gaps are identified and a plan for closing gaps is established	By 9/30/12	CHCO and FCA Training Officer
Establish baseline for survey score related to leadership satisfaction	Employee satisfaction with leadership improved	Improved average score on employee survey for questions related to Leadership	With results of the 2012 Annual Federal Human Capital Survey	All managers – reviewed by OMS
Ensure IDPs are in place for all employees that link to career track competencies needed for employee development.	Continuous learning system that is based on information from IDPs and organizational needs	IDPs are in place for all employees that link to career track competencies needed for employee development.	By 5/31/12	FCA Training Officer
Promote the use of IDPs to track not only training courses but also on-the-job training and team collaboration with outside experts.	Continuous learning system that is based on information from IDPs and organizational needs	System is in place to ensure IDPs are being used strategically to fill knowledge gaps in workforce	By 5/31/12	FCA Training Officer

Attachment 1 – FY 2012 Farm Credit Administration Accountability Plan

Activities/ Objectives	Result	Metric	Timeframe	Responsible Party
Ensure staff is given equal opportunities in assignments.	Increased number of employees who have the experience and knowledge, skills and abilities to apply for promotional opportunities	Increased number of internal candidates eligible to compete for vacancies	By 5/31/12	HC Steering Committee
Establish Leadership Development Program that will enable FCA staff to compete when manager positions are filled.	Increased number of employees who can compete for vacant manager positions	Increased number of internal candidates eligible to compete for manager positions	By 9/30/12	CHCO
Ensure required training in ethics is performed.	Statutory requirement for training met	Report to Chairman and all requirements have been met	By 9/30/12	FCA Ethics Officer

HCAAF System: Results Oriented Performance Culture

System Standard: The agency has a diverse, results-oriented, high-performing workforce and a performance management system that differentiates between high and low levels of performance and links individual/team/unit performance to organizational goals and desired results effectively.

Human Capital Goal

- FCA has a Performance Management System (PMS) that links individual performance goals to agency performance goals, differentiates between levels of performance, rewards high performers, and effectively handles poor performance issues and employee relations issues.

Activities/ Objectives	Result	Metric	Timeframe	Responsible Party(is)
Apply the Performance Appraisal Assessment Tool (PAAT) to the FCA PMS	Identify and correct weaknesses in the PMS	PAAT applied to PMS and action plan for improvement developed.	By 9/30/12	CHCO
Complete analysis of employee PMS results against organizational performance	Identify baseline and trends in individual performance as related to organizational performance	Report shows trends in employee performance and how individual performance relates to organizational performance	By 3/30/12	CHCO

Attachment 1 – FY 2012 Farm Credit Administration Accountability Plan

HCAAF System: Talent Management

System Standard: The agency has closed skills, knowledge, and competency gaps/deficiencies in mission-critical occupations, and has made meaningful progress toward closing skills, knowledge, and competency gaps/deficiencies in all occupations used in the agency.

Human Capital Goal

Activities/ Objectives	Result	Metric	Timeframe	Responsible Party
Review compensation strategies to ensure statutory requirements regarding comparability are met.	Competitive compensation program with other FBRAs will attract and retain quality employees with mission-critical skills	Analysis from other FBRAs is conducted to ensure FCA is comparable to other FBRAs in compensation	By 12/15/11	CHCO
Review benefits programs to ensure statutory requirements regarding comparability are met.	Competitive benefits program with other FBRAs will attract and retain quality employees with mission-critical skills	Analysis from other FBRAs is conducted to ensure FCA is comparable to other FBRAs in benefits	By 6/30/12	CHCO
Track number of targeted groups hired for vacancies against FY 2011 baseline	Agency will have Return- On-Investment metrics for recruitment activities	Capture and analyze data on the number of targeted groups per vacancy and the hiring of targeted groups that are referred for vacant positions	Begin 1/1/12	CHCO
Improve end-to-end time to hire for all source vacancies	Agency will improve its time to hire metric to decrease a hiring barrier	Capture and analyze data on each vacancy to compare time to hire with prior year.	Begin 1/1/12	HR Staffing Specialists
Track promotion and retention of targeted groups against FY2010 baseline	Agency will have Return- On-Investment metrics for development and retention of targeted groups with a goal of increasing diversity	Capture and analyze data on the number of promotions and separations of targeted groups.	Begin 1/1/12	CHCO

Attachment 1 – FY 2012 Farm Credit Administration Accountability Plan

Review IDPs to establish FCA baseline of Mission Critical Occupation competency gaps	Baseline will establish training and development needs for closing gaps	Analysis that identifies MCO gaps for FCA	By 9/30/12	FCA Training Officer
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- FCA recruits, hires, and retains a highly skilled, diverse workforce while closing competency gaps and meeting performance goals.

Attachment 1 – FY 2012 Farm Credit Administration Accountability Plan

HCAAF System: Accountability

System Standard: Agency human capital management decisions are guided by a data-driven, results-oriented planning and accountability system. Results of the agency accountability system must inform the development of the human capital goals and objectives, in conjunction with the agency's strategic planning and performance budgets. Effective application of the accountability system contributes to agencies' practice of effective human capital management in accordance with the merit system principles and in compliance with Federal laws, rules, and regulations.

Human Capital Goals

- FCA's Human Capital decisions are documented, data driven, and results oriented, ensuring accountability for Human Capital management.

Activities/ Objectives	Result	Measure	Timeframe	Responsible Party
Implement the FCA Accountability Plan	Roadmap and schedule of human capital activities for establishment of FCA during FY 2012	The activities identified in the FCA Accountability Plan (this plan) were executed, tracked, and measured for success	By 9/30/12 all activities are complete	CHCO
Conduct the full annual human capital program assessment	5 CFR 250 compliant assessment of FCA HCAAF Systems	The annual Human Capital Management Report is complete and addresses performance and compliance in each of the HCAAF Systems	By 12/15/12	CHCO
Track Improvements from the Employee Survey Action Plan	Survey improvement strategy is implemented as scheduled and published.	Actions from plan are tracked and managers throughout the agency that are responsible parties are reminded of their commitments and due dates.	Ongoing	CHCO and HC Steering Committee

Strategic Alignment System

STANDARD: The agency human capital (HC) management strategies are aligned with mission, goals, and organizational objectives and integrated into its strategic plans, performance plans, and budgets.

The Strategic Alignment System includes the following Critical Success Factors:

- HC Planning
- Workforce Planning
- Human Resources (HR) as Strategic Partner

Expected Outcomes of Critical Success Factors	Assessment	Findings/Required or Recommended Actions
<i>HC Planning:</i>		
Human resources (HR) policies and programs are aligned with organizational mission, strategic goals, and performance outcomes.	X Met	The Human Capital Plan and performance goals have a direct link to the FCA Strategic Plan, Annual Performance Budget, and Strategic Performance Goals.
Systems exist to continually assess and improve HC planning and investment and their impact on mission accomplishment.	X Met	The agency monitors and reports regularly on the progress of meeting human capital goals and objectives through the Human Capital Implementation Plan, the PAR reports, and the evaluation of the agency’s HCAAF System. These are the means by which continuous assessment and impact on mission accomplishment is conducted.
<i>Workforce Planning:</i> The organization identifies the HC required to meet organizational goals, conducts analyses to identify competency gaps, develops strategies to address HC needs and close competency gaps, and ensures the organization is appropriately structured.		
Workforce planning is approached strategically and in an explicit documented manner based upon workforce analysis and assessment of future needs to support mission accomplishment.	X Met	The Human Capital Plan addressed workforce demographics, retirement eligibility, and MCO vacancies. The Agency uses this information for its decisions about hiring, training, and organizational structure to address business and performance requirements, competency gaps, and succession planning for leadership positions.
MCOs (including leadership positions) and competencies, including competency gaps, are identified and documented, providing a baseline of	X Met	FCA documented MCO and leadership competency gaps and established a baseline to measure the closure of competency gaps in the future.

Attachment 2 – Fiscal Year 2011 Farm Credit Administration Strategic Alignment

information to develop strategies to recruit, develop, and retain talent needed for program performance.		
<p>Workforce planning & management practices include strategies such as:</p> <ul style="list-style-type: none"> – restructuring – competitive sourcing – technology solutions 	X Met	FCA identifies all competencies required for its primary MCO, FCA Examiner, and has a competency tracking system for its Associate Examiners to be used during the pre-commission training program.
<p><i>HR as Strategic Partner:</i> HR professionals act as consultants with managers to develop, implement, and assess HC policies and practices to achieve the organization’s shared vision. Senior leaders, managers, HR professionals, and key stakeholders contribute to the HC vision and the agency’s broader strategic planning process.</p>		
HR professionals and key stakeholders are involved in strategic and workforce planning efforts.	X Met	One of several examples includes the involvement OMS had in the development of the FY11 budget, including the establishment of worksheets to be completed by managers to predict workforce needs to be included in HC Plan.
The HR function is adequately staffed and prepared, in competencies and resources, to proactively collaborate and consult with line managers.	X Met	The FCA Personnel and Purchasing Team (PPT) is fully staffed with 3 seasoned HR Specialists, one senior Training Officer, and 2 junior Training Specialists. PPT is currently aligned to maximize an HR consultative environment.

Leadership/Knowledge Management System

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

The Leadership and Knowledge Management System includes the following Critical Success Factors:

- Leadership Succession Management
- Integrity and Inspiring Employee Commitment
- Continuous Learning
- Knowledge Management

Leadership Succession Management: The organization identifies leadership competencies and establishes objectives and strategies to ensure there is a continuous pipeline of available leadership within the organization.

Expected Outcomes	Assessment	Findings/Required or Recommended Actions
Continuity of leadership is ensured through succession planning and executive development programs which address needs identified through competency gap analysis and result in a diverse pool of qualified internal, other Government, and non-Government sources for all mission-critical leadership positions.	X Met	FCA has an Agency Succession Plan and plans to enhance its Leadership Development Program for Executives and Managers in FY11 to identified leadership competency gaps.
A comprehensive management succession program provides training to employees to develop them as managers for the agency.	X Met	FCA has an Agency Succession Plan and uses it in combination with its IDP process to develop future Agency managers.

Attachment 3 – Fiscal Year 2011 Farm Credit Administration Leadership/Knowledge Management

<p><i>Integrity and Inspiring Employee Commitment:</i> Leaders maintain high standards of honesty and ethics which serve as a model for the whole workforce. Leaders promote teamwork and communicate the organization's shared vision to all levels of the organization and seek feedback from employees. Employees respond by maintaining high standards of honesty and ethics.</p>		
Leaders and employees maintain high standards of honesty and ethics.	X Met	The 2010 Annual Employee Survey (AES) results show a 64.1% favorable rate for question #25, "I have a high level of respect for my organization's senior leaders."
Leaders promote teamwork and communicate the organization's shared vision to all levels of the organization, and seek feedback from employees.	X Met	The 2010 Annual Employee Survey (AES) results show a 71.4% favorable rate for question #31, "Managers communicate the goals and priorities of the organization."
The organization meets the training requirements of the Ethics in Government Act; maintains a system for identifying violations and taking corrective actions.	X Met	This requirement was fully met. FCA's Ethics Officer has responsibility and tracks and monitors this area.
<p><i>Continuous Learning:</i> Leaders foster a learning culture which provides opportunities for continuous development and encourages employees to participate. Leaders invest in education, training, and other developmental opportunities to help themselves and their employees build mission-critical competencies.</p>		
The organization fosters a culture of continuous learning and high performance through investments in education, training, and other developmental opportunities which help employees build mission-critical competencies.	X Met	All FCA employees have IDPs that are updated annually. MCOs have learning and development guides to map employee development and provide training sources. FCA participates in the Small Agency Council training program. Additionally, FCA has a uniform standard for all courses developed in-house. These standards emphasize the importance of adult learning techniques and link classroom and e-learning training to on-the-job performance expectations. All in-house training is "branded" with a similar look and is in compliance with Section 508 of the Disabilities Act.
Training and development initiatives and strategies support mission-critical competencies, are linked to the agency mission, and have demonstrated a positive impact on agency mission accomplishment.	X Met	Training is linked to performance through the IDPs and competency gaps. All training instances are tracked in the Training and Evals Database and are available to all employees.
The organization uses appropriate learning technology and innovative learning strategies to meet the training and development needs of the workforce.	X Met	FCA utilized a number of traditional training venues during FY10 including off-site classroom training, on-site classroom training, attendance at conferences and subject forums.

Attachment 3 – Fiscal Year 2011 Farm Credit Administration Leadership/Knowledge Management

<p>The organization administers a process to evaluate training and development program impact in terms of learning, performance, work environment, and contribution to mission accomplishment.</p>	<p>X Met</p>	<p>The AES results for 2010 reflect that employees believe they have ample opportunities to receive developmental training. A training system to evaluate the effectiveness and accomplishment of training is used for FCA’s primary MCO, FCA Examiner.</p>
<p>Training programs comply with the provisions of 5 U.S.C. 4101 and 5 CFR 410 and 412.</p>	<p>X Met</p>	<p>The FCA training program meets all regulatory requirements.</p>
<p>Knowledge Management: The organization systematically provides resources, programs, and tools for knowledge sharing across the organization in support of its mission accomplishment.</p>		
<p>The organization’s knowledge-management process provides a means to share critical knowledge across the organization and supports appropriate investments in training and technology.</p>	<p>X Met</p>	<p>FCA formally shares knowledge through postings on the Intranet, an agency wide daily newsletter, the use of a Shared Drive for posting documents, and regular email communications to all employees.</p> <p>We also capture and document the knowledge of subjective matter experts throughout the Agency, ensuring knowledge transfer before our subjective matter experts retire.</p> <p>And to address a knowledge gap identified by the Office of Examination, FCA developed a Contract Examiner Assistant Program, which uses recent retirees as contract employees. This temporary workforce will help fill OE’s knowledge gap while they build up their internal staff numbers and skills through career intern and mid-career hiring.</p>
<p>Information technology tools which facilitate gathering and sharing knowledge within and outside the agency are available to employees to improve individual and organizational performance.</p>	<p>X Met</p>	<p>The agency utilizes collaboration software to manage projects, document control software to track work documents, and an oracle product to capture time spent on specific strategic performance goals.</p>

Talent Management System		
Standard: The agency has closed skills, knowledge, and competency gaps/deficiencies in mission-critical occupations, and has made meaningful progress toward closing skills, knowledge, and competency gaps/deficiencies in all occupations used in the agency.		
<p>The Talent Management System includes the following Critical Success Factors:</p> <ul style="list-style-type: none"> • Recruitment • Retention 		
<p>Recruitment: The workforce plan drives the aggressive and strategic recruitment of diverse and qualified candidates for the agency’s workforce.</p> <p>Retention: Leaders, managers, and supervisors create and sustain effective working relationships with employees. The workplace is characterized by:</p> <ul style="list-style-type: none"> • a motivated and skilled workforce • attractive and flexible working arrangements • compensation packages and other programs used to hire and retain employees who possess mission-critical skills, knowledge, and competencies. 		
Expected Outcomes of Critical Success Factors	Assessment	Findings/Required or Recommended Actions
Workforce competency gaps are closed through the use of effective recruitment and retention strategies, creating a high-performing workforce.	X Met	FCA identified Mission Critical Occupation (MCO) competencies, established a baseline of MCO and leadership competency gaps, and has implemented strategies to close gaps.
Senior leaders and managers are involved in strategic recruitment and retention initiatives, ensuring the necessary organizational focus is provided and resources are allocated to achieve recruitment and retention goals.	X Met	Office Directors and hiring managers worked closely with OMS staff by helping to recruit candidates, attend job fairs, advertise vacancies, and use innovative language in vacancy announcements. Retention strategies include the use of generous benefits programs, flexible working conditions, and attractive pay.
Recruitment strategies are appropriately aggressive and multi-faceted to ensure a sufficient flow of quality applicants to meet staffing needs identified in the workforce plan.	X Met	FCA experienced ample applicants for vacancies as a result of a number of recruitment activities including attending job fairs, establishing liaisons with professional organizations, print advertising, etc. Due to high unemployment in the field, FCA is receiving an abundance of applications for most all positions.

Attachment 4 – Fiscal Year 2011 Farm Credit Administration Talent Management

<p>Flexible compensation strategies are used as needed to attract and retain quality employees who possess mission-critical competencies.</p>	<p>X Met</p>	<p>FCA’s pay and compensation packages are more generous than most agencies and when appropriate other flexibilities such as recruitment bonuses were utilized.</p>
<p>Quality of work/life programs is provided, and obstacles to recruitment and retention of a quality workforce have been addressed, positioning the agency to be successful in acquiring and retaining the talent needed for program goals and objectives.</p>	<p>X Met</p>	<p>In addition to the many advantages FCA offers its employees, under our Flexible Spending Account Program, FCA added the use of debit cards to its program.</p> <p>To aid in retention, the Agency issued a Supplemental Benefits Statement to all employees discussing FCA’s benefits beyond the normal benefits provided to most Federal employees. The statement includes, among other things, FCA’s enhanced health benefits, additional leave benefits, technology provided to employees, subsidies, travel benefits, employee recognition and work/life balances that are offered to FCA employees.</p> <p>FCA also decided to retain its monthly transit subsidy of \$230 a month, for employees who use public transportation to commute to work, after the expiration of legislation increasing the subsidy.</p> <p>Finally, the Chairman approved a new benefit for FCA employees; an Agency-sponsored Sunshine Fund. The policy allows the Agency to recognize the significance of personal events in the lives of its employees. Through the FCA Worklife Program, FCA acknowledges these events, with the consent of the employee, and works to celebrate, honor, or comfort employees as these events occur.</p>
<p>Recruitment, hiring, and merit promotion processes adhere to the merit system principles in 5 U.S.C. 2301 and follow other pertinent legal and regulatory requirements, including other congressionally mandated enabling legislation.</p>	<p>X Met</p>	<p>All other recruitment, hiring, and merit promotion practices fully met regulatory requirements.</p>
<p>Retention policies and practices adhere to merit system principles and other Federal laws, rules, and regulations.</p>	<p>X Met</p>	<p>FCA’s policies and practices for retaining employees meet all regulatory requirements.</p>

Results-Oriented Performance Culture System		
<p>STANDARD: The agency has a diverse, results-oriented, high-performing workforce and a performance-management system which differentiates between high and low levels of performance and links individual/team/unit performance to organizational goals and desired results effectively.</p>		
<p>A Results-Oriented Performance Culture includes the following Critical Success Factors:</p> <ul style="list-style-type: none"> • Communication • Performance Appraisal • Awards • Diversity Management • Labor/Management Relations <p><i>Communication:</i> The agency has a process for sharing information and ideas about the organization with all employees. This vital process includes eliciting employee feedback and involvement so all employees play an appropriate role in planning and executing the mission.</p>		
Expected Outcomes of Critical Success Factors	Assessment	Findings/Required or Recommended Actions
<p>The strategic plan has been shared with and/or is accessible to all employees. Employees are knowledgeable about the strategic plan and their role in supporting the agency’s mission and performance goals.</p>	<p>X Met</p>	<p>Employees’ performance Results are clearly linked to the agency’s performance goals. The Strategic Plan and annual Performance Plan and goals are distributed to employees and placed on the Internet and Intranet. Employees report biweekly on how much of their time is spent on achieving performance goals.</p>
<p><i>Performance Appraisal:</i> The agency has a process under which performance is reviewed and evaluated.</p>		
<p>Employees have a direct line-of-sight between performance elements (performance expectations) and the agency mission. These links have been communicated to and are understood by employees, enabling them to focus their work effort on those activities most important to mission accomplishment. All employees are held accountable for achieving results which support the agency’s strategic plan goals</p>	<p>X Met</p>	<p>FCA utilizes an automated performance tracking system which ensure the linkage of employee performance Results to the agency’s performance goals. All supervisors receive mandatory annual training on how to develop performance plans and appraise performance.</p>

Attachment 5 – Fiscal Year 2011 Farm Credit Administration Results-Oriented Performance Culture

and objectives.		
The performance-management system differentiates between high and low levels of performance. Organizations with a high percentage of outstanding ratings also demonstrate a high level of achievement of their strategic goals and objectives and/or program accomplishments as reflected in the agency annual performance plan.	X Met	The FCA PMS is a five level system. The agency tracks trends in ratings across the organization. Disparity between employee performance and organizational performance is monitored and reported.
Supervisors and managers use performance results to offer feedback, identify developmental needs to help improve employee performance, and address instances of poor performance.	X Met	Managers explain performance appraisals, develop IDPs in conjunction with the annual budget cycle, and work with employees to set performance results for the year.
The performance appraisal system(s) are established and administered in accordance with 5 U.S.C. chapter 43 or other congressionally mandated enabling legislation.	X Met	The agency Performance Management System (PMS) meets all regulatory requirements.
Pay adjustments, cash awards, and levels of pay are based on the results of the appraisal process, and accurately reflect and recognize individual performance and/or contribution to the agency’s performance.	X Met	FCA is a pay for performance agency. Employee’s performance determines the amount of the merit pay increase the employee receives.
Awards: The organization takes actions to recognize and reward individual or team achievement which contributes to meeting organizational goals or improving the efficiency, effectiveness, and economy of the Government.		
The organization has created a “reward environment” beyond compensation and benefits which contributes to attracting, retaining, and motivating employees.	X Met	FCA has a robust awards program that includes an annual formal awards ceremony and awards including the Chairman’s Award, Distinguished Service Award, Special Act Awards, On the Spot Awards and Peer-to-Peer Awards.
Awards programs for employees reflect adequate funding, and awards are justified based upon	X Met	The annual budget earmarks funds for the awards program and award justifications clearly identify appropriate accomplishments and achievements.

Attachment 5 – Fiscal Year 2011 Farm Credit Administration Results-Oriented Performance Culture

accomplishments.		
Awards and recognition are processed according to law and U.S. Office of Personnel Management (OPM) and agency regulations and procedures.	X Met	All regulatory requirements were met for the awards program during FY10.
Diversity-Management: The agency maintains an environment characterized by inclusiveness of individual differences and responsiveness to the needs of diverse groups of employees.		
The organization’s diversity management program shows positive results in creating a diverse workforce.	X Met	FCA had a 13% increase in targeted group (women, minorities, veterans, and individuals with disabilities) applicants for career intern vacancies in FY10 over FY09. In addition, 9 out of 13 new hires were selected for the Agency OE Career Intern Program.
The organization is responsive to the needs of diverse groups, resulting in a positive work environment conducive to all employees achieving their potential without fear or abuse.	X Met	During FY10, the agency conducted special emphasis programs and continued the work through an agency EEO Director.
The organization implements the Federal Equal Opportunity Recruitment Program, the Disabled Veterans Affirmative Action Program, and other special emphasis programs in accordance with 5 U.S.C. 7201.	X Met	FCA carried out a robust recruitment program during FY10 to recruit its targeted groups with great success.
Labor/Management Relations: The organization promotes cooperation among employees, unions, and managers. This cooperation enhances effectiveness and efficiency, cuts down the number of employee-related disputes, improves working conditions, all of which contribute to improved performance and results.		
Workplace conflicts are resolved fairly, promptly, and effectively; and managers, union officials, and employees work together to accomplish the agency’s mission through effective communication and problem solving.	X Met	On several occasions, FCA utilized informal processes to handle employee issues at the lowest level. The CHCO personally served as a communications link between employees and managers to successfully resolve employee problems in a number of situations.

FARM CREDIT ADMINISTRATION

PART V

HUMAN CAPITAL IMPLEMENTATION PLAN – FY 2012

HUMAN CAPITAL IMPLEMENTATION PLAN

I. STRATEGIC ALIGNMENT

New Initiatives	Proposed Dates	Accomplish Dates	Comments/Updates
A. Establish Human Capital Working Group		12/7/06	
B. Monitor activities in support of human capital commitments		On-going	
C. Develop communication strategy to disseminate Human Capital Plan initiatives		12/31/06	Progress on Human Capital initiatives are reported in OMS monthly report.
D. Implement communication strategy		1/31/07	

HUMAN CAPITAL IMPLEMENTATION PLAN

II. WORKPLACE PLANNING AND DEPLOYMENT

New Initiatives	Proposed Dates	Accomplish Dates	Comments/Updates
A. Implement a Visiting Scholar Program		5/02/08	
B. Develop programs to retain retirement eligible employees with mission critical skills		10/31/08	
C. Develop a methodology for developing average grade projections to assist in the Agency's budgeting process		03/31/07	
D. Create a "contract examiner assistant" policy and program		06/30/08	
E. Develop a recruiting handbook for FCA recruiters		01/26/09	

HUMAN CAPITAL IMPLEMENTATION PLAN

III. LEADERSHIP AND KNOWLEDGE MANAGEMENT

New Initiatives	Proposed Dates	Accomplish Dates	Comments/Updates
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A. Succession Planning

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|--|----------|----------|--|
| A1. Establish Agency Succession Plan | | 09/30/09 | |
| A2. Expand and continue FCA Mentoring Program | | 12/31/06 | |
| A3. Establish Leadership Development Program for Executives and Managers | 12/31/12 | | |
| A4. Establish new Aspiring Leaders Developmental Plan | 12/31/12 | | |

B. Integrity

- | | | | |
|--|--|---------------|--|
| B1. Conduct Annual Ethics Training and Hatch Act Training | | Annually | |
| B2. Continue No Fear Act Training | | Every 2 years | |
| B3. Provide annual notice raising awareness about Whistleblower Protection Act | | Annually | |

C. Continuous Learning

- | | | | |
|--|--|----------|--|
| C1. Develop Training Focus Areas for Agency | | 5/30/07 | |
| C2. Establish a system to evaluate the effectiveness of FCA training efforts to determine how well it meets short- and long-range program needs. | | 12/31/06 | |
| C3. Develop Enhancements to Training and | | 5/30/07 | |

HUMAN CAPITAL IMPLEMENTATION PLAN

III. LEADERSHIP AND KNOWLEDGE MANAGEMENT

New Initiatives	Proposed Dates	Accomplish Dates	Comments/Updates
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Evaluations Database to assist supervisors and employees in the development of their career development plans and IDPs.

D. Knowledge Management

- | | | | |
|---|--|----------|--|
| D1. Develop Knowledge Management Strategy for Agency that addresses Knowledge Sharing and Knowledge Retention | | 11/30/10 | |
| D2. Implement SharePoint to improve knowledge Sharing and transfer | | 12/31/10 | |
| D3. Design curriculum for commission training using Subject matter expert knowledge | | 12/31/10 | |

HUMAN CAPITAL IMPLEMENTATION PLAN

IV. RESULTS ORIENTED PERFORMANCE CULTURE

New Initiatives	Proposed Dates	Accomplish Dates	Comments/Updates
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A. Performance Management

A1. Use OPM Performance Appraisal Assessment Tool to assess Performance Appraisal System for Enhancements		Annually	
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A2. Review Agency ratings distribution for consistency		Annually	
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A3. Review Awards Program for desired effect		Annually	
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A4. Develop and implement a methodology to evaluate the effectiveness of the Award Program		12/31/06	
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B. Supervisors

B1. Monitor probationary periods for new supervisors		On-going	
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B2. Develop New Supervisor Orientation		9/30/12	
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B3. Review supervisory tools for effective management		Annually	
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B4. Formal performance management training for Human Resources staff		Annually	
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C. Diversity

C1. Create Diversity Workgroup		12/7/06	
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C2. Develop overall strategy to address diversity initiatives at FCA		12/31/08	
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HUMAN CAPITAL IMPLEMENTATION PLAN

IV. RESULTS ORIENTED PERFORMANCE CULTURE

New Initiatives	Proposed Dates	Accomplish Dates	Comments/Updates
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C3. Develop means to measure success of diversity initiatives			
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		12/31/08	
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HUMAN CAPITAL IMPLEMENTATION PLAN

V. TALENT

New Initiatives	Proposed Dates	Accomplish Dates	Comments/Updates
A. Complete review of all position descriptions using FCA revised job evaluation system		12/30/06	
B. Develop recruiting strategy for Agency		12/31/08	
C. Develop policy on long-term rotational assignments		05/02/08	
D. Develop policy on considering strategic sourcing as a part of FCA's recruiting strategy		03/25/09	
E. Review Agency Compensation Program for effectiveness and enhancements		Annually	
F. Review Agency Benefits Programs for effectiveness and enhancements		Annually	
G. Review Exit Interviews for trends		Quarterly	

HUMAN CAPITAL IMPLEMENTATION PLAN

VI. ACCOUNTABILITY

New Initiatives	Proposed Dates	Accomplish Dates	Comments/Updates
A. Establish review schedule for Agency PPMs	12/30/12		
B. Establish review process for Human Capital Plan Initiatives		Annually	

FARM CREDIT ADMINISTRATION

APPENDIXES

APPENDIX A – REFERENCE DOCUMENTATION

The following documents were used to develop the FCA's Human Capital Plan:

SECTION I: STRATEGIC ALIGNMENT

1. FCA Strategic Plan
2. FCA Operating Plan
3. FCA Performance Plan

SECTION II: WORKFORCE PLANNING AND DEPLOYMENT

1. Office of Personnel Management's Central Personnel Data File
2. OE Pre-commission Training Program
3. PPM 843, Training and Development
4. EEO and Diversity Policy Statement (FCA-PS-62)
5. Affirmative Employment Program Action Plan
6. OPM Handbook of Occupational Groups and Families
7. FCA Office Profile Questionnaires
8. OE Career Path Program
9. PPM 853, Supervisory Development Program

SECTION III: LEADERSHIP AND KNOWLEDGE MANAGEMENT

1. PPM 853, Supervisory Development Program
2. PPM 854, FCA Mentoring Program
3. FCA Ethics Training Program
4. FCA No Fear Act Training
5. Whistleblower Protection Act Training
6. PPM 843, Training and Development
7. Individual Development Plan Database
8. Training and Evaluations Database

SECTION IV: RESULTS ORIENTED PERFORMANCE CULTURE

1. PPM 841, FCA Performance Appraisal System
2. PPM 818, FCA Awards and Recognition Program
3. Smart Answers for Federal Managers Website
4. FCA Supervisory Connection
5. Addressing Poor Performance Supervisory Training
6. FCA Diversity Report

SECTION V: TALENT

1. PPM 819, FCA Position Management and Job Evaluation Program
2. PPM 804, FCA Compensation Program
3. PPM 828, Employee Assistance and Wellness Program
4. Flexible Spending Account Program
5. PPM 846, Public Transportation Subsidy
6. Long Term Disability Insurance
7. PPM 847, Child Care Subsidy Program
8. PPM 850, FCA Life Cycle Fund Program
9. PPM 852, Student Loan Program
10. PPM 823, Voluntary Leave Bank Program
11. PPM 824, Voluntary Leave Transfer Program
12. Physical Exam Reimbursement
13. PPM 821, Hours of Duty and Alternative Work Schedule Program
14. PPM 820, Flexiplace Program
15. PPM 834, FCA Exit Interview Database Procedures

SECTION VI: ACCOUNTABILITY

1. FCA Policies and Procedures Manual

**Human Capital Survey
Questionnaire Results**

Functional Statements.

Most offices responded that the office Functional Statements were accurate or generally accurate. OMS and OIG responded that revisions are necessary.

Question #1	Does the Functional Statement accurately describe the duties and responsibilities of your office?	
Office	Response	Comments
OCPA	Yes	While the functional statement remains fundamentally accurate, the scope of duties and responsibilities and volume of work has expanded.
OE	Yes	
OSMO	Yes	
OGC	Yes	
OMS	No	The OMS functional statement will need slight revisions due to movement of functions within teams and new services being provided.
OIG	No	OIG has prepared a submission for update to include statutory changes from the 2008 Amendments to the IG Act and the Dodd Frank legislation.
ORP	Yes	However, the scope of activities has expanded to include things such as pre-Regulatory Enforcement Committee (REC) and REC committee support, enforcement support, examination policy development support, examination assistance, and risk analysis support.

Current Staffing

Several offices expressed a need for additional staff and most offices indicated additional staffing skill sets and/or higher levels of expertise were needed.

Question #2	Does your current staff meet the present needs of your office? If not, why?	
Office	Response	Comments
OCPA	No	For the past seven years OCPA has used contract employees to meet staffing needs. OCPA now has authority to hire two FTEs, but have had difficulty attracting qualified candidates.
OE	No	Through aggressive recruiting and staff development over the last 5 years and contingent upon meeting our 2012 hiring goal, OE projects to achieve the target level by 2017. We will focus on sustaining staff levels through routine hiring of entry-level staff to replace projected attrition and retirements over the 6-year planning horizon, supplemented by hiring a small number of mid-career commissioned examiners and specialists.
OSMO	Yes	With the addition of new resources, an OE Examiner-in-Charge on detail and a new financial analyst (shared with ORP), we continue to successfully meet our staffing needs by supplementing our core staff with outside expertise within FCA as well as external resources.
OGC	No	Immediate and long-term needs require that additional staff be hired in 2012 and considered for subsequent years.
OMS	No	OMS is currently 5 FTEs below its approved level however 2 FTEs were unfunded. We have job announcements out that will substantially fill our funded FTEs. Our current staffing needs are for a journeymen helpline staff member, CSCT Team Leader, and Supervisory Human Resources Specialist.
OIG	Yes	
ORP	No	We currently are 2 FTEs below our approved level in ORP, which represent the Deputy Director and Team Leader vacancies; consequently, current staff is insufficient to meet the present needs of our Office. We intend to fill those positions in the near future.

Duties and Responsibilities

OCPA and ORP indicated that they expect changes to their duties and responsibilities. The other offices did not foresee any changes to the Office duties and responsibilities.

Question #3	Do you anticipate any changes to the duties and responsibilities of your office over the next 5 years? If so, how will the changes affect your staffing needs?	
Office	Response	Comments
OCPA	Yes	OCPA's interaction and communication with Hill staff and Members of Congress has increased in both volume and complexity as a result of legislative debate over financial institutions and GSE regulatory reform. That workload will continue to grow, especially now that work is underway on the 2012 farm bill.
OE	No	We expect institution risk to remain elevated and complexity should continue to increase. Since the number of staff with significant System examination experience will continue to decline, OE must remain focused on implementing risk-based examination principles and direct the limited and most experienced resources at the most significant risks.
OSMO	Possibly	The evolving business model of Farmer Mac and additional authorities granted in the 2008 Farm Bill present opportunities for Farmer Mac to pursue new product lines that will likely increase the volume of work and breadth of expertise needed to fulfill OSMO's responsibilities. If OSMO's oversight responsibilities increase significantly, we would consider requesting and acquiring additional staff.
OGC	Yes	As the volume and complexity of the work continues to increase and with the need to train newer staff members, we will consider promoting one or more of our Senior Counsel's to Assistant General Counsels. As work permits, our office will remain open to taking on outside collateral duties.
OMS	No	Primary duties and responsibilities are expected to remain unchanged. However, as duties and responsibilities change in other FCA Offices, OMS also needs to change to support the activities of those Offices. This is particularly acute in the area of data collection, analysis, and modeling.
OIG	No	Not expected, however, Congressional mandates may have an impact.
ORP	Yes	We anticipate changes in the area of economic analyses and funding. We expect that our analyses will shift from a macroeconomic to a more microeconomic focus. We have developed a model to stress test each System association under various financial scenarios. Also, we are developing a model to stress test System banks. In addition, we may need to further modify the funding approval process to more closely monitor the System's funding activities such as the retail bond program recently approved by the FCA. Another area where we anticipate changes is in the area of data support.

Business Processes

Several offices indicated that changes in business processes were occurring, mostly resulting from information technology changes.

Question #4		
Do you anticipate any changes to the business processes of your office over the next 5 years? If so, how will the changes affect your office's staffing needs?		
Office	Response	Comments
OCPA	No	OCPA does not anticipate any major changes to their business processes other than process changes as a result of the adoption of new technology which we anticipate will increase our workload demands.
OE	Yes	Consistent with FCA Board Policy Statement 53, OE has established "risk-based" oversight and examination programs that strategically address the System's safety and soundness, proactively address risks, and promote effective communications with System institutions. We will continue to focus on implementing OE's oversight and examination program through innovative tools, processes, and approaches to enhance the overall effectiveness and efficiency of our operations.
OSMO	Yes	We anticipate the need to rotate the examination team sourced from OE to ensure that we periodically gain fresh perspective on issues and risks. This might include adding an additional commissioned examiner as well as training and deploying our current policy analysis staff in examinations. Additionally, we are re-evaluating our needs for contracting services, in the area of risk-based capital modeling and stress testing.
OGC	No	However, with work permitting, our office will continue to consider taking on outside collateral duties that would help the Agency accomplish the same or increased level of quality work with less staff.
OMS	Yes	We anticipate that when fully implemented, the new technology infrastructure will allow us to change our business processes to become more efficient and effective. While many of the anticipated business changes will make OMS more efficient and effective in the long-term, the short-term affect will be an increased demand on staff resources to revise, develop, and implement the business processes.
OIG	No	More use of information technology, however, no anticipation of different staffing needs.
ORP	No	We anticipate that when fully implemented, the new technology infrastructure will allow us to change our business processes to become more efficient and effective. We will continue to support the REC committee. We anticipate that we may need to develop processes for additional staff support for the pre-REC and REC committee activities and enforcement actions. As the loan database project moves into phase II, new business processes will need to be developed and implemented in order to take full advantage of the database. Finally, as we further implement stress testing for associations and develop a stress test for banks, we may need to refine our business processes to support those activities.

Volume of Work

The volume of work is expected to increase in most cases, due to changes in the System and operating environments that have increased the complexity of the work and impacted the required skill sets.

Question #5		
Do you anticipate changes in the volume of work your office accomplishes over the next 5 years? If so, how will the changes affect your office's staffing needs?		
Office	Response	Comments
OCPA	Yes	OCPA is receiving more media inquiries and requests for interviews. Borrower complaints are increasing in number, many of which are due to pending foreclosures, lending practices of FCS institutions, and the failure of FCS institutions to follow provisions of FCA regulations. Congressional activity has increased because of the many changes in the membership of the Agency's oversight and appropriations' committees. Other factors affecting OCPA workload include legislative activity related to financial institution regulatory reform and hearings related to the 2012 Farm Bill. After OCPA fills the two vacant FTEs the office is authorized to fill, we will need to evaluate our staffing needs.
OE	Yes	There will be a continued increase in OE's workload, at least for the next few years as the System's risk profile changes and we build our examiner workforce for the future. System mergers have been fewer than projected, institutions continue to become more complex, and risk exposure remains elevated. Such changes in the System risk profile will require increased oversight and ongoing examination.
OSMO	Yes	Farmer Mac's business model is evolving and they are actively working to innovate new products and lobby for new program authorities. Growth from recent statutory expansion of program business authorities will likely increase the volume of work for OSMO in the next 5 years.
OGC	Yes	Our current workload is more complex and voluminous than it has been in the recent past, and we anticipate that continuing issues involving legislation, capital, stock issuances, investments, mergers and enforcement work will either remain elevated or increase during the survey period. Training needs will also increase to keep staff abreast of the new and more complex issues.
OMS	Yes	Our current workload is particularly heavy given the recruiting needs of the other Offices, OE's training needs, the Agency's technology needs, and the Agency's increasing demand for analysis of FCS-related data and the need for metrics to measure the Agency's performance in a variety of areas.
OIG	No	The volume of work should remain relatively constant.
ORP	Yes	We anticipate our workload will remain heavy and likely will increase over the next 5 years as the System works its way through the current economic crisis and as the Agency deals with the attendant policy matters. The increase in workload will require additional support from other Agency offices, contracting with external experts, and an increase in permanent professional staff.

Competencies

Almost all offices indicated the need for additional competencies due to changes in the System and operating environment. New or enhanced competencies common to one or more office included communications (electronic and traditional), credit, finance, operations, financial analysis and financing modeling.

Question #6	What new competencies (knowledge, skills, or abilities) do you anticipate needing in your office over the next 5 years?
Office	Response
OCA	More members of the staff will need skill in updating and maintaining the content of the Agency's Web site. Currently, this responsibility is handled by only one member of the staff. We plan to explore use of new media (Twitter, etc.) and other Web 2.0 tools, which we will need to train staff in how to effectively use these communication tools. For the long term, OCA needs a career congressional and public affairs specialist with Capitol Hill experience.
OE	The depth and breadth of competencies and skills needed by the average examiner will continue to increase. A greater proportion of OE staff must have sophisticated, expert-level skill sets and technical expertise. OE will continue to need strong technical skills in the areas of credit, finance, and operations. OE also needs to further develop and maintain skills in the following areas: EIC/Project Management Skills, Supervisory Skills, Management and Leadership Skills.
OSMO	The ongoing oversight and supervision of Farmer Mac will require continued enhancement in skill sets for the future. OSMO continues to advance its efforts in the areas of the analysis and modeling of financial data as critical decision-support tools on policy matters related to capital. Moving forward, we anticipate the potential for additional skills in these areas and/or additional staff working in support roles to current staff that might be allocated more intensively in these risk analysis efforts.
OGC	Any immediate new staff will need to be experienced in at least one or more of the following areas: capital, securities, and the disposition of troubled assets, enforcement and litigation work, financial institution regulatory matters, and administrative law. We may also need, within the survey period, someone with Paralegal or Technical Editor competencies to take over the Federal Register Liaison and potentially other duties should our current Technical Editor retire within the next five years.
OMS	We anticipate the need for new competencies in: project management; plain writing; mobile web technology; business process analysis and design; workflow development; time management; electronic records management; customer relations management; in-depth IT security; and contract management.
OIG	Believe we presently have the core competencies that are needed on staff.
ORP	We do not anticipate the need for any new competencies, but rather the need to develop greater depth in our competencies in several areas. These include the areas of accounting, agricultural credit, banking, capital markets, regulatory capital, corporate structure, derivatives, and financial modeling (economic, capital, liquidity, and credit).

Accessions

Most offices indicated the need to hire new staff over the next 5 years due to projected attrition or skill gaps. OE indicated the need for the most new hires due to the larger staff size.

Question #7	What accessions (i.e., hiring) are approved for your office over the next 5 years? Please include the following information about the accessions: types and number of positions, series, grades and responsibilities.
Office	Response Comments
OCPA	OCPA has approval to hire two FTEs - a clerical position at the VH-35 level and a public affairs specialist at the VH-38/39 level with promotion potential to VH-40.
OE	OE plans to hire individuals to build staff levels to 180 over the planning horizon. We anticipate hiring between 12-14 staff annually to compensate for attrition and achieve our target of 180. Key hiring assumptions for FY 2012 through FY 2017 include: 5 Managers, 10 Mid-Career Commissioned Examiners and technical specialists (Series 1101 or 1160), 10 Entry level staff per year, and 4 Administrative Staff.
OSMO	None.
OGC	We plan to hire one full-time attorney at grades 38/39/40 in FY 2012. Based on current workloads and the expected increases, we anticipate filling any further vacancies that occur through retirement or attrition during the survey period. Vacancies will likely be filled at the VH-38/39/40 level (series 905-Attorney/Advisor).
OMS	Our current staffing level is 49 staff members (1 in a part time position). The proposed level for FY 2013 is also 54 FTEs. We plan to hire 3 people in FY 2012. As retirement plans become more definitive, we will plan to replace staff.
OIG	None. If retirements, replacements will be sought.
ORP	ORP's approved staffing level for FY 2012 is 27.6 FTEs. Our current staffing level is 25.6 FTEs; however, there will be one attrition in May. The proposed level for FY 2013 is 27.54 FTEs. The Deputy Director's position will be filled within the next few weeks. In addition, we plan to hire 2 staff (a policy/financial analyst and a Team Leader) in FY 2012 to reach our approved staffing level. Our long-range staffing target is to increase to and level out at 28 FTEs; accordingly, we plan to add 1 FTE (policy/financial analyst) in FY 2014. In addition, we will be replacing any departing staff.

Career Track Promotions

Almost all offices anticipated career track promotions with OE, OMS, and ORP projecting the greatest number due to the larger staff size.

Question #8	Please identify any career track promotions you plan to make during the next 5 years? Please include the following information about possible career track promotions: number of promotions, position titles, series, and grades.	
Office	Response	Comments
OCA	We propose promoting the assistant director (VH-1035-41) to deputy director (VH-1035-42) in FY 2013. We also propose promoting the public affairs specialist, who will be hired in FY 2012, to the VH-1035-40 grade level during the five-year period FY 2013 to FY 2017.	
OE	OE will need a higher level of skill and increased number of commissioned examiners/technical specialists to achieve our mission. OE has forecasted a gap of 11 positions between FY 2012 and FY 2017. OE will continue developing current staff to fill many of these career opportunities. For example, FCA Examiners (Generalists) and Associate Examiners will fill many of the specialist positions. OE will also consider staff from other Agency offices or external sources to fill some gaps.	
OSMO	We expect the newly hired policy analyst (shared with ORP) will be promoted from VH-38 to VH-39.	
OGC	OGC identified the following promotions: one VH-39 attorney to the VH-40 Senior Attorney level; two VH-40 Senior Attorneys to the VH-41 journeyman Senior Counsel level; one or more VH-41 Senior Counsel attorneys to the VH-42 Assistant General Counsel level; and one secretarial position from a VH-35 to a VH-36 level. As it is likely that a new full-time attorney will be hired at the VH-38/39/40 level, we would anticipate that this staff member would be promoted to the VH-39/40 level within the survey period.	
OMS	OMS identified the following promotions: 1 IT Specialist VH-2210-38 to VH-39 1 Client Com Specialist VH-301-35 to VH-37, 38 1 Client Com Specialist VH-301-37 to VH-38	
OIG	Possibly promotion of Senior Auditor, VH- 511.	
ORP	<p>ORP identified the following promotions:</p> <ul style="list-style-type: none"> • 1 Secretary VH-318-35 to VH-36 • 2 Policy/Financial Analysts* VH-1101-38 to VH-40 • 1 Policy Analyst VH-1101-38 to VH-40 • 1 Assistant to the Director VH-1101-40 to VH-41+ • 2 Expert Policy Analysts VH-1101-40 to VH-41 • 1 Associate Director VH-1101-40 to VH-41 <p>*Anticipated new hires</p>	

Attrition

Four offices project a high level of attrition, primarily due to retirements. In all offices, most of the projected attrition will occur at the skilled tenured staff and senior management levels.

Question #9	What attrition do you anticipate in your office over the next 5 years?	
Office	Response	Comments
OCPA	High	We anticipate significant attrition over the next 5 years. The assistant director is eligible to retire but has no plans to retire before the end of the 5-year horizon. The office's two schedule C positions (director and associate director) will likely change by the end of the 5-year time horizon as a result of a change in the Chairman.
OE	High	We anticipate a total OE attrition rate of 6 to 8 percent per year over the next 6 years. In preparing the resource model and related hiring and attrition assumptions, OE focused on attrition due to planned or likely retirements, and only included general attrition (e.g., resignation, transfer out of OE, death/disability) within the associate examiners group and on a limited basis for other staff.
OSMO	None	
OGC	Moderate	We will have 7 staff members who will be first eligible for retirement during the survey period, with one or two possibly considering retirement within the next five years.
OMS	Moderate	Approximately 25% or 12 positions of OMS employees will be eligible to retire within the next 5 years. Additionally, OMS plans for 5 non-retirement attritions.
OIG	High	About 60% or 3 staff are eligible to retire over the next five years, specifically 1 Inspector General.
ORP	High	ORP estimates attrition of about 50% of existing staff over the next 5 years, or 13 total positions. Eligible retirements include 11 staff, or 42% of ORP. Many of those eligible to retire are senior staff.

Succession Plans

Most offices had some type of succession planning activity. Plans included promoting from within, developing a “talent pool”, developmental assignments for future managers, hiring outside the Agency and a multi-source approach.

Question #10	What succession plans have you developed to address retirements and attrition over the next 5 years?	
Office	Response	Comments
OCA	Outside Agency	To address the eventual retirement of the assistant director, new staff will need to be hired. The yet-to-be-hired public affairs specialist will be groomed to assume the duties and responsibilities of the assistant director. The director is developing a recordkeeping system to ease the transition for his successor. OCA is also creating an office procedures handbook that documents the processes for all tasks and responsibilities performed by each member of the staff.
OE	Develop Talent “Pool”	OE’s overall strategy is to develop a “pool” of candidates who could become successful supervisors and managers, including the Office Director. The greatest developmental need is successors for the OE Divisional Director positions based on the number of EMT members who are retirement eligible. To develop this pool of candidates, OE works closely with OMS to develop and strengthen skills for existing/potential supervisors and managers. OE has initiated several leadership positions (program and portfolio managers, senior examiners, and the SDD supervisor) to broaden the number of staff that could fill manager roles in OE and other offices in the future.
OSMO	Within FCA	There are eligible FCA staff that are qualified to replace unanticipated attrition from OSMO.
OGC	Outside Agency	The new attorney that we hired in FY 2010 is being trained in a number of administrative law and mission-related areas, including ethics, FOIA and enforcement work. We plan to hire one experienced attorney in FY 2012 with capital markets expertise to complement the current expertise in this area and ensure a seamless transition when our current expert in this subject area retires. If work in OGC continues to increase, we may need to seek approval to hire one or two new entry-level attorneys within the survey period, in which case we will also need to develop a more formal mentoring/training program for such attorneys.
OMS	Within OMS	OMS has been anticipating and planning for the listed retirements and attrition for the last several years. OMS’s strategy is to develop and implement employee developmental plans that develop skills so that we have a cadre of individuals with needed skill sets. OMS has also made several hires over the past several years to fill key positions. Additionally, over the long run, OMS is focusing on hiring career interns to train and groom for a long term career at FCA.
OIG	Within FCA	FCA Board, in compliance with the IG Act, will appoint the next IG. OIG has well qualified staff to succeed. If other staffers retire or depart, OIG will announce the positions and replace the vacancy.
ORP	Multi-source	ORP has been planning for attrition using strategies such as employee developmental plans, inter-office rotational program with OE, the use of contractors, possibly hiring outside of ORP.

OCPA Strategic Human Capital Plan Survey FY13–FY17

The Office of Management Services is updating the Human Capital Plan to extend to FY 2017. Please review the following questions and revise or validate based on your responses to the survey conducted last year. Please also extend your responses out to include FY 2017. Your responses will assist in the development of the Agency's Strategic Human Capital Plan. Your responses will also assist you in planning your Office's staffing requirements for the next 5 years.

1. Please review the Functional Statement for your Office.
 - a. Does the Functional Statement accurately describe the duties and responsibilities of your Office?
 - b. If not, what additional duties and responsibilities does your Office have?

The Office of Congressional and Public Affairs' (OCPA) functional statement remains fundamentally accurate in its description of the office's duties and responsibilities; however, the scope of duties and responsibilities and volume of work has expanded.

- In FY 2011, OCPA was tasked with implementing the Plain Writing Act of 2010. We have nearly completed the requirements of this initiative, but to continue carrying out this responsibility will place additional demands on our staff.
- OCPA also serves as the main "switchboard" for the agency. Many people who call into the agency do not use the voice prompts to locate the person with whom they wish to speak. Instead, they dial zero for assistance and OCPA staff forward the call to the appropriate employee.
- The transition from a weekly employee newsletter with news flashes published between issues to a daily newsletter has not resulted in less work for staff.
- Borrower complaints have also increased in number and complexity. Managing the number of complaints we receive by phone, letter, e-mail and by referral from Members of Congress as well as the related administrative work now requires approximately half the time of one FTE.
- Also, the OCPA Director has taken on the additional responsibility of serving as the Executive Assistant to the Chairman. We anticipate there will be additional assignments in support of the Chairman, such as attendance at meetings and travel.
- Also, the significant turnover in Congress with the last election has placed additional demands on staff to meet and educate the new Members of Congress and their staff members about the agency and the Farm Credit System.
- And work has begun on the 2012 Farm Bill, which means there are more hearings and meetings for staff to monitor.

2. Does your current staff meet the present needs of your Office? If not, why?

No our current staff does not meet the present needs of the office. For the past 7 years or longer, we have used contractor writer-editors, public affairs specialists, and secretaries, and interns to meet staffing needs rather than hiring the needed staff. We now have authority to hire two FTEs, but we have had difficulty attracting qualified candidates for the positions.

We will issue a vacancy announcement in the next few weeks for a public affairs specialist. We believe that bringing someone onboard who has the skills needed to perform well will help significantly.

3. Do you anticipate any changes to the duties and responsibilities of your Office over the next 5 years? If so, how will the changes affect your staffing needs?

We anticipate that the duties and responsibilities of OCPA will grow in volume and complexity over the next 5 years. Our interaction and communication with Hill staff and Members of Congress have increased in both volume and complexity as a result of the legislative debate over financial institution and GSE regulatory reform. That workload will continue to grow, especially now that work is underway on the 2012 farm bill.

We anticipate increased media interest in Farm Credit issues, which will increase our media relations work.

During the past two years, we have seen an increase in the number of borrower complaints, which we anticipate will continue to increase because of the growing economic pressures on agricultural producers and rural homeowners.

To meet these demands, OCPA will need to hire skilled staff (described in item 2 above) to handle the increased workload.

4. Do you anticipate any changes to the business processes of your Office over the next 5 years? If so, how will the changes affect you Office's staffing needs?

We do not anticipate any major changes to OCPA's business processes other than process changes as a result of the adoption of new technology. However, we anticipate the adoption of new technology to increase our workload demands. For example, we anticipate that more information will be made available to the public via the FCA website, which will place greater demand on OCPA staff who are responsible for posting content to the website. And we are exploring the use of Twitter and other forms of social media, which will require regular postings of news and information from FCA. As mentioned in item 1 above, we have transitioned from a weekly employee newsletter with periodic News Flashes to a daily employee newsletter, still with periodic News Flashes. The expectation by management and employees of receiving news in real time rather than through a scheduled delivery time has significantly increased the workload and burden on staff. While use of technology has provided savings in duplicating, printing, and mailing costs, it does not provide savings in time and resources to create a message. The transition to information delivery systems that will provide information to both external and internal audiences more quickly will also drive an increase in the volume of information OCPA will be required to create, edit, and distribute. It will remain a constant challenge "to feed the beast."

5. Do you anticipate changes in the volume of work your Office accomplishes over the next 5 years? If so, how will the changes affect your Office's staffing needs?

The volume of work OCPA carries out has already begun to increase. We are receiving more media inquiries and requests for interviews. Borrower complaints are increasing in number, many of which are due to pending foreclosures, lending practices of FCS institutions, and the failure of FCS institutions to follow provisions of FCA regulations. Congressional activity has increased because of the many changes in the membership of the Agency's oversight and appropriations' committees. Other factors affecting OCPA workload include legislative activity related to financial institution regulatory reform and hearings related to the 2012 Farm Bill. After OCPA fills the two vacant FTEs the office is authorized to fill, we will need to evaluate our staffing needs.

6. What new competencies (knowledge, skills, or abilities) do you anticipate needing in your Office over the next 5 years?

More members of the staff will need skill in updating and maintaining the content of the Agency's website. Currently, this responsibility is handled by only one member of the staff. Also, we plan to explore use of new media (Twitter, etc.) and other Web 2.0 tools, which are gaining acceptance across government. We will need to train staff in how to effectively use these communication tools.

For the long term, OCPA needs a career congressional affairs specialist with Capitol Hill experience who has a thorough understanding of processes and procedures of both houses of Congress. A career congressional affairs specialist would play an important role in providing continuity of the Agency's congressional relations during transitions in OCPA leadership and transitions in leadership of the agency.

The secretary/administrative assistant recently hired by OCPA will need the skills and ability to support the director and assistant director with administrative tasks related to preparation of various reports required by OMS.

It will also be important for the individuals hired to fill the two vacant positions with the office — the public affairs specialist and the clerical position — to have experience in working with the press.

7. What accessions (i.e., hiring) are approved for your Office over the next 5 years? Please include the following information about the accessions: types and number of positions, series, grades and responsibilities.

OCPA has approval to hire two FTEs — a clerical position at the VH-35 level and a public affairs specialist at the VH-38/39 level with promotion potential to VH-40. The clerical position will support the assistant director, maintain e-mail distribution lists and distribute news releases and informational memorandums, serve as back-up to the office secretary. The public affairs specialist will be responsible for media relations, internal communication, speech and testimony writing, website postings, and social media. In addition, this person will be trained to handle borrower complaints and will serve as backup for this responsibility. This individual also will be expected to have strong verbal and writing skills.

The individuals hired for these positions will also be responsible for producing the daily news clips.

8. Please identify any career track promotions you plan to make during the next 5 years? Please include the following information about possible career track promotions: number of promotions, position titles, series, and grades.

Based on actual duties and responsibilities, technical knowledge and skills, and knowledge of the organization and its history, we propose promoting the assistant director (VH-1035-41) to deputy director (VH-1035-42) in FY 2013. We also propose promoting the public affairs specialist, who will be hired in FY 2012, to the VH-1035-40 grade level during the five-year period FY 2013 to FY 2017.

9. What attrition do you anticipate in your Office over the next 5 years?

We anticipate significant attrition over the next 5 years. The assistant director is eligible to retire but has no plans to retire before the end of the 5-year horizon. The office's two schedule C positions (director and associate director) will likely change by the end of the 5-year time horizon as a result of a change in the Chairman.

10. What succession plans have you developed to address retirements and attrition over the next 5 years?

To address the eventual retirement of the assistant director, new staff will need to be hired. The yet-to-be-hired public affairs specialist will be groomed to assume the duties and responsibilities of the assistant director.

It is difficult to plan for the departure of the director and associate director, which are key positions in the office. Such changes are always abrupt and disruptive. The key to successful transitions in these positions is to have a skilled deputy director who can oversee and manage the ongoing day-to-day operations and provide orientation for the new political appointees. This responsibility has been carried out by the current assistant director. To address this transition, the director is developing a recordkeeping system to ease the transition for his successor. We are also creating an office procedures handbook that documents the processes for all tasks and responsibilities performed by each member of the staff.

OE Strategic Human Capital Plan Survey FY13-FY17

The Office of Management Services is updating the Human Capital Plan to extend to FY 2017. Please review the following questions and revise or validate based on your responses to the survey conducted last year. Please also extend your responses out to include FY 2017. Your responses will assist in the development of the Agency's Strategic Human Capital Plan. Your responses will also assist you in planning your Office's staffing requirements for the next 5 years.

1. Please review the Functional Statement for your Office.
 - a. Does the Functional Statement accurately describe the duties and responsibilities of your Office?
 - b. If not, what additional duties and responsibilities does your Office have?

OE Response: The Office of Examination (OE) Functional Statement accurately describes OE's duties and responsibilities. In addition, OE has defined its mission as follows:

The Office of Examination ensures a safe and sound Farm Credit System so that it can accomplish its public policy mandate as a government-sponsored enterprise serving agriculture and rural America.

2. Does your current staff meet the present needs of your Office? If not, why?

OE Response: We continue to target total staff of 180 with at least 70 percent commissioned or with specialist credentials. Through aggressive recruiting and staff development over the last 5 years and contingent upon meeting our 2012 hiring goal, OE projects to achieve the target level by 2017. To this end, we will focus on sustaining staff levels through routine hiring of entry-level staff to replace projected attrition and retirements over the 6-year planning horizon, supplemented by hiring a small number of mid-career commissioned examiners and specialists. Attachment 1 provides an analysis of OE's current and projected staffing levels and composition. For further discussion of our planned recruiting, please see our response to question #7.

With our focus on entry level hiring, we have developed a robust program to train and develop staff. Working with OMS, we have established a disciplined and comprehensive training program to develop staff into commissioned examiners. The commission training program has been highly successful in developing a cadre of commissioned examiners to meet OE's oversight and examination responsibilities and serve as a pipeline for staffing in other Offices. Commissioned examiners serve as Examiner-in-Charge (EIC), project managers, portfolio managers, supervisory senior examiners, and technical specialists. The skillsets for commission examiners and technical specialist are substantial and complex. As a result, we must continue to provide opportunities for professional development after commissioning. We must encourage examiners to "invest in themselves" through career-long learning as outlined in OE Operations Directive No. 52. See our response to Questions #6 and #8 for additional comments on staff development and composition.

The following summarizes key aspects of OE's staffing level and composition needs:

- Extensive hiring of entry-level staff over the last 5 years has resulted in a substantial shift in the tenure and experience of our examiner pool. This trend will continue as retirements occur and entry level recruiting continues. About 31 percent of OE's commissioned examiners are eligible to retire within the next 6 years. Correspondingly, over 45 percent of examiners were hired within the past 6 years. This shift to a less

tenured staff drives a need for increased numbers of staff. Experienced staff can typically accomplish a greater and more complex workload in less time than less-experienced staff. Refer to Questions #7 and #9 for additional information.

- It will continue to take an average of 4 years to produce a commissioned examiner. This is comparable to the OCC's program with a similar format that takes about 5 years to complete. Benchmarking efforts also revealed that the OCC views a 40% retention and commissioning rate after 5 years as very successful. We believe our commissioning program will enable us to average about 60 percent retention and commissioning rate after 4 years. Our staffing levels acknowledge the necessary developmental period and likely retention rate of associate examiners, along with the significant resource commitment by experienced examiners for training and knowledge transfer.
- Based on the current risk environment, we need about 125-130 commissioned examiners and technical specialists. Our current staffing level as of March 1, 2012, includes 113 commissioned examiners and technical specialists, leaving a gap of 12-17. We have increased our estimated need for commissioned examiners and specialists slightly now that we can no longer use contractors for examination purposes. Our projections reflect closing this gap by 2015. In the interim, contingency plans include the use of contractors (including recent retirees) for special projects, OE staff redeployment from existing roles for critical needs, and assistance from other Agency offices.

See Question #5 for additional information regarding infrastructure and support needs.

3. Do you anticipate any changes to the duties and responsibilities of your Office over the next 5 years? If so, how will the changes affect your staffing needs?

OE Response: We do not project OE's duties and responsibilities to change materially over the next 5 years. OE's primary mission remains to ensure the safety and soundness of the System. We expect institution risk to remain elevated and complexity should continue to increase, as discussed in Question #5. We will also continue to ensure System institutions fulfill their public mission to provide credit and related services to all eligible, creditworthy customers as reflected in our 2012 Operating Plan. Since the number of staff with significant System examination experience will continue to decline, OE must remain focused on implementing risk-based examination principles and direct the limited and most experienced resources at the most significant risks.

4. Do you anticipate any changes to the business processes of your Office over the next 5 years? If so, how will the changes affect your Office's staffing needs?

OE Response: OE expects to continue enhancing business processes to promote examination effectiveness and efficiencies. Consistent with FCA Board Policy Statement 53, OE has established "risk-based" oversight and examination programs that strategically address the System's safety and soundness, proactively address risks, and promote effective communications with System institutions. We will continue to focus on implementing OE's oversight and examination program through innovative tools, processes, and approaches to enhance the overall effectiveness and efficiency of our operations. The FY 2012 OE Operating Plan details our strategies for maximizing operational efficiency and effectiveness in the coming year. The following identifies several key business processes in various stages of development or implementation significantly influencing OE operations:

- Exam Processes and Scheduling – We have begun to assess ways to improve accountability, and build more consistency and discipline into our scheduling processes.

We are also developing performance metrics and training to clarify expectations and establish accountability for managing the examination process. These processes should improve the effectiveness of our examination program and are intended to address input from staff on areas needing enhancement. It is also necessary to achieve efficiencies to offset the loss of experience and challenges in building our staff levels to the 180 target.

- Lotus Notes to SharePoint Conversion – As the Agency technology platform migrates from Lotus Notes to SharePoint, OE will experience significant change in our examination guidance, tools, and processes. The replacement of the Notes-based Oversight and Examination Database with new SharePoint and web-based Enterprise Documentation and Guidance (EDGE) applications will require significant OE and OMS resources to review/update business processes and guidance and design/program the new tools. There will also be a learning curve for staff to develop skills in using the new software and tools. The SharePoint applications and resulting process changes will improve examiner effectiveness and may result in greater efficiencies.
- Loan Database – Much work remains to further refine this key examination tool and fully integrate into the examination and systemic risk analysis functions. Ultimately, the loan database will improve examiner effectiveness and may result in greater efficiencies.

Refer to the Agency IRM Plan for details on both Agency-level and OE projects to improve our use of technology to increase efficiency and effectiveness. Our long-range resource projections in Attachment 1 reflect consideration of how these improved processes will influence our future staffing needs.

5. Do you anticipate changes in the volume of work your Office accomplishes over the next 5 years? If so, how will the changes affect your Office's staffing needs?

OE Response: There will be a continued increase in OE's workload, at least for the next few years as the System's risk profile changes and we build our examiner workforce for the future. System mergers have been fewer than projected, institutions continue to become more complex, and risk exposure remains elevated. Such changes in the System risk profile will require increased oversight and ongoing examination. We will reinvest any "savings" gained through the more efficient work processes mentioned in Question #4 into more effective oversight and examination processes. Several trends indicate potential for an increased volume of work as summarized below:

- While there will likely be association mergers over the planning horizon, more complexity in those institutions will certainly offset any staff "savings". Troubled institutions will prompt some of these mergers and such mergers do not typically result in an immediate decrease in the volume of work. Even the merger of healthy associations often results in an increased workload as the institution becomes larger and more complex. In addition, the merger of CoBank and US AgBank has already increased workload. To address the increased complexity, OE will need greater leadership, communications, management, and supervisory skills as discussed in Questions #6.
- OE will continue to direct resources to process, administer, and subsequently evaluate compliance with formal supervisory actions. Increased workloads associated with enforcement activity also impact other Offices, particularly OGC and ORP, due to the amount of work necessary to review, develop, and process enforcement recommendations. We have seen the number of institutions under special supervision or enforcement action increase dramatically from none in 2006 to 14 institutions today.

- Implementation of more effective, in-depth examination workprograms, such as the recently issued Loan Portfolio Management modules, will require increased staff resources and technical abilities.

OE will also need to dedicate more resources and expertise to addressing risks from a systemic, or System-wide, perspective. This will include activities such as additional stress testing/modeling, systemic risk analyses, industry studies, and System-wide communications. We will continue to utilize a horizontal examination approach in specific areas well-suited to this approach (i.e., shared assets and compliance). We will also need to focus more attention and resources on updating examination policy, guidance, and tools. This will be necessary to better equip our staff for addressing risk issues, to help improve, automate, and institutionalize our business processes, and to facilitate knowledge transfer to our increasingly large cadre of new staff.

In addition to resources to oversee the FCS, our workload and staffing needs incorporate the necessary resources to address ongoing infrastructure demands and other support functions as listed in Questions #1 and #4, and elevate the competency levels of all examiners as discussed in Question #6. Further, OE continues to dedicate commissioned examiner resources to performing USDA contract examination work based on the value it brings to the Agency and rural America. By increasing staff to 180, we can continue accommodating these and other contract examination needs such as RBIC or SBA. If contract examination demands increase, our workload and needed staff resources would also increase. In addition, when System risk begins to decline, this staffing level may enable us to redirect some resources to meet the increasing demand by other government agencies for performing additional contract work.

6. What new competencies (knowledge, skills, or abilities) do you anticipate needing in your Office over the next 5 years?

OE Response: The depth and breadth of competencies and skills needed by the average examiner will continue to increase. A greater proportion of OE staff must have sophisticated, expert-level skill sets and technical expertise. To address these critical needs, OE implemented a Career Path Program for staff development as detailed in OE Operating Directive No. 52. The program includes specific competencies and skill levels needed for examiners and participants in our specialty programs. We expect the technical and leadership competencies in these programs will support the need for higher grades as discussed in Question #8. OE will continue to need strong technical skills in the areas of credit, finance, and operations. OE also needs to further develop and maintain skills in the following areas:

- **EIC/Project Management Skills** – Examiners need the ability to effectively interact and demonstrate interpersonal skills, including effective communication, creativity, analytical thinking, diplomacy, flexibility, change-readiness, problem solving, leadership, team building, and listening skills. Such skills complement technical skills and become increasingly important as an employee's duties, responsibilities, and influence on strategic direction increases.
- **Supervisory Skills** – Based on our increasingly diverse and geographically dispersed workforce, our supervisory skill sets need to evolve. We must give our future managers the tools to supervise the new generation of staff that is more diverse in background and work-life balance expectations. In addition, our managers need to supervise staff in remote worksites using new technologies.

- Management and Leadership Skills – As part of OE and Agency succession planning, we are preparing to replace retiring managers and supervisors by developing OE staff's leadership and management/supervisory skills. Examples include program manager, portfolio manager, senior examiner, and SDD supervisor positions, which will help to build supervisory skills sets. Refer to Question #10 for additional information on succession plans.
7. What accessions (i.e., hiring) are approved for your Office over the next 5 years? Please include the following information about the accessions: types and number of positions, series, grades and responsibilities.

OE Response: As previously discussed and as outlined in Attachment 1, OE plans to hire individuals to build staff levels to 180 over the planning horizon. As discussed in Questions #6 and #8, the necessity for more expert skill sets also influences the projected accessions. Given the extensive development period needed for associate examiners and projected retention rates, we need to continue hiring on a regular basis over the planning horizon.

As shown in Attachment 1, for the period of FY 2013-2017, we anticipate hiring between 12-14 staff annually to compensate for attrition and achieve our target of 180. Based on hiring and attrition projections, the number of staff ramps up from 173 at the beginning of FY 2012 to 180 over the planning horizon. We will supplement our internally developed examiner staff with some mid-career technical specialists and commissioned examiners, when possible. The timing for achieving the 180 target is contingent on successfully hiring 15 Associate Examiners in 2012. However, the lack of a Federal Career Intern Program makes it unlikely we can hire this number. Since implementation of the new federal program Pathways will probably not occur in time for 2012 hiring, we are developing contingency strategies to address what could be a substantial staffing shortfall. We are considering increasing entry-level hiring in 2013 and beyond above the current plan for 10 per year. We are also considering increased hiring of experienced commissioned examiners and specialists beyond the current plan for 2 per year.

Key hiring assumptions for FY 2012 through FY 2017 include:

- Manager (Executive Management Team Member) – Addition of five managers to replace the six lost through attrition over the planning horizon. We assume management attrition comes through retirements. The net effect of the hiring and attrition is a decline in Management to seven in 2014 and then maintenance of this number through FY 2017. The Series would typically be 1101 and grades would generally be 42 to 44.
- Mid-Career Technical Specialists & Commissioned Examiners – We project hiring six mid-career commissioned examiners and four mid-career technical specialists over the planning horizon. The mix between these two categories could change based on skills needed and availability of qualified commissioned examiners. Series would typically be 1101 or 1160, grades would generally be 38 to 40, and responsibilities would vary.
- Entry-level staff – OE generally assumes it will hire 10 entry-level staff into the Examiner program per year, recognizing we may adjust actual hiring numbers based on attrition across OE, availability of mid-career talent, and an OPM program for hiring entry-level staff. (Note: planned hiring for FY 2012 is 15, though changes in our hiring authorities make this a challenging goal.) This hiring rate is consistent with OE's commissioned examiner resource needs and the relatively high attrition rate associated with entry-level staff. We will train these staff through our internal Commissioning Program. Hiring at grade 34 or 35 and series number is dependent on our hiring authority. OE is hiring

under series 570, financial institution examiner, based on our current hiring authority. OE plans to increase our focus on using the summer intern program as an avenue for entry-level staff.

- Administrative staff – OE assumes hiring a total of four over the planning horizon to replace the three projected attritions and fill existing openings. Series, grades, and responsibilities would vary by position requirements.

If additional, unplanned attrition occurs, OE will likely need to increase its hiring numbers and implement additional strategies accordingly. OE management will make these hiring decisions as the attrition becomes known and in coordination with OMS and Senior Staff through the Agency’s Human Capital Steering Committee.

8. Please identify any career track promotions you plan to make during the next 5 years? Please include the following information about possible career track promotions: number of promotions, position titles, series, and grades.

OE Response: As discussed throughout this survey response, OE will need a higher level of skill and increased number of commissioned examiners/technical specialists to achieve our mission. To obtain and retain a more expert staff, we will need to compete more effectively in the marketplace for such staff and recognize their expertise appropriately. The following table shows the staffing profile that we anticipate will be required. Based on the current gaps and retirement eligibility information, the far right column reflects projected career opportunities for each type of position.

OE Staff Profile - by Position						
Position	Grade Levels	Actual 3/1/2012	Targeted Need for 2017	Gap (Actual vs Targeted Need)	Retirement Eligible thru 2017	Career Opportunities
Management	42-44	8	7	1	6	5
Program/Portfolio Managers	40/41	10	12	-2	6	8
Supervisory Senior Examiners (excl. Specialists)	39/40	12	15	-3	5	8
Non-Supervisory Senior Examiners (excl. Specialists)	39/40	9	10	-1	2	3
Specialists ¹	38-40	31	35	-4	10	14
Analysts	35-40	4	5	-1	1	2
FCA Examiners	38-39	47	55	-8	13	NA
Tier 2 Associate Examiners	37	18	14	4	1	NA
Tier 1 Associate Examiners	34-35	22	18	4	0	NA
Administrative Support	32-36	8	9	-1	3	4
Total		169	180	-11	47	44

¹ For this table, Specialists include both mid-career hires and commissioned examiners who are in a specialist program.

OE has made progress towards achieving the FY 2017 target profile, but we must continue these efforts. OE will continue developing current staff to fill many of these career opportunities. For example, FCA Examiners (Generalists) and Associate Examiners will fill many of the specialist positions. OE will also consider staff from other Agency offices or external sources to fill some gaps.

Opportunities in the Tier 1 and 2 Associate Examiner and the FCA Examiner (Generalist) categories will continue to be based on the existing OE commissioning program. Generally, this involves hiring at grade 34, annual promotions to grade 37, promotion to grade 38 upon

passing the commissioning test, and then promotion to grade 39 based on achievement of generalist examiner competencies as outlined in OE Directive 52.

9. What attrition do you anticipate in your Office over the next 5 years?

OE Response: As shown on the OE Staff Resource Model (Attachment 1), we anticipate a total OE attrition rate of 6 to 8 percent per year over the next 6 years. In preparing the resource model and related hiring and attrition assumptions, OE focused on attrition due to planned or likely retirements, and only included general attrition (e.g., resignation, transfer out of OE, death/disability) within the associate examiners group and on a limited basis for other staff. As previously noted, we have taken a more conservative approach to projecting attrition for planning and budgeting purposes. If we actually experience general attrition in the commissioned examiner closer to our historical average of about 2-3 staff per year, it will increase our hiring needs as discussed in Questions #2 and #7. The following table identifies OE's historical attrition statistics for the commissioned examiner category, where general attrition would be most likely to occur:

Commissioned Examiner Attrition History			
Fiscal Year	Retirement	General	Total
2011	3	1	4
2010	2	1	3
2009	0	0	0
2008	5	3	8
2007	2	4	6
2006	2	2	4
2005	3	1	4
2004	4	3	7
2003	2	3	5
2002	1	4	5
10 Yr. Average	2.4	2.2	4.6

The planned attrition numbers used in Attachment 1 are supported by our analysis of OE attrition history, retirement eligibility, and input from Division Directors on upcoming retirement plans of their assigned staff. As shown in the following table, 28 percent of our total staff is eligible to retire over the next 6 years, with a large number of staff already eligible. The vast majority of those eligible to retire over the next 6 years are tenured commissioned examiners and senior management. With the recent increase in mid-career technical specialist hiring, we believe general attrition and retirements will begin to occur in the Technical Specialist/Analyst category, as well.

RETIREMENT ELIGIBILITY										
CATEGORY	Fiscal Year of Eligibility ¹							Total	% of Total Retirements	% of Total Staff in Category ²
	pre-2012	2012	2013	2014	2015	2016	2017			
Management	3	1	2	0	0	0	0	6	13	75%
Commissioned Examiners	14	4	2	2	1	2	5	30	64	31%
Technical Specialists/Analysts ³	1	0	1	0	3	2	0	7	15	4%
Associate Examiners	0	0	1	0	0	0	0	1	2	2%
Administrative Staff	1	0	1	0	1	0	0	3	6	38%
Total Eligible Staff	19	5	7	2	5	4	5	47	100%	28%

¹ Data does not include staff under FERS who would be eligible to retire, but with reduced annuities.

² Percent based on total OE staff in each category as of 3/1/2012.

³ *Commissioned examiners also in a specialist program are reported in the Commissioned Examiner category for purposes of this table.*

The projected attrition in Attachment 1 reflects that many staff members have deferred their retirements beyond the norm of retiring about 2 years after eligibility. The current economic environment, stress in the housing market, and substantial decline in the stock markets in 2008 have contributed to this trend. As these conditions stabilize and improve, we expect to see eligible staff begin retiring, particularly in FY 2013 and FY 2014.

10. What succession plans have you developed to address retirements and attrition over the next 5 years?

OE Response: OE's overall strategy is to develop a "pool" of candidates who could become successful supervisors and managers, including the Office Director. The greatest developmental need is successors for the OE Divisional Director positions based on the number of EMT members who are retirement eligible. To develop this pool of candidates, OE works closely with OMS to develop and strengthen skills for existing/potential supervisors and managers. OE has initiated several leadership positions (program and portfolio managers, senior examiners, and the SDD supervisor) to broaden the number of staff that could fill manager roles in OE and other offices in the future. Going forward, each EMT member will build succession development into his or her performance plans. OE will develop staff internally for succession, but also will look external to OE. OE recognizes that retirements also create opportunity for diversity and inclusion in management.

As shown in the OE Staff Profile table in Question #8, we plan to increase the number of program/portfolio manager positions during the planning horizon as part of this staff development and succession planning effort. OE will continue to use a number of methods for developing our next group of program managers and leaders. Methods include EIC assignments of more complex institutions, broadening assignments such as special projects, and participation in OE Specialist Programs. Additional tools may include the FCA Supervisory Program and project-based rotations to other Agency Offices. Based on current resource needs, OE will not actively pursue longer-term rotations in other Agency Offices at this time.

OE Staff Resource Model (Budget Scenario)¹

	Planned					
	2012	2013	2014	2015	2016	2017
Management						
Staff at Beginning of Year	8	9	8	7	7	7
Attrition / Retirements	0	(2)	(1)	(1)	(1)	(1)
Hirings	1	1	0	1	1	1
Staff at End of Year	9	8	7	7	7	7
Commissioned Examiners						
Staff at Beginning of Year	92	100	103	106	111	116
Attrition / Retirements	(5)	(8)	(5)	(5)	(5)	(4)
Hirings	2	1	1	1	1	0
New Commissioned Examiners	11	10	7	9	9	6
Staff at End of Year	100	103	106	111	116	118
Technical Specialists/Analysts						
Staff at Beginning of Year	18	15	15	15	15	15
Attrition / Retirements	(3)	(1)	(1)	(1)	(1)	(1)
Hirings	0	1	1	1	1	0
Staff at End of Year	15	15	15	15	15	14
Associate Examiners						
Staff at Beginning of Year	47	46	42	41	36	32
Attrition / Retirements	(5)	(4)	(4)	(6)	(5)	(4)
Hirings	15	10	10	10	10	10
New Commissioned Examiners	(11)	(10)	(7)	(9)	(9)	(6)
Staff at End of Year	46	42	41	36	32	32
<i>Note: Associate Examiner data is tied to the "Pre-Commissioned Examiner Model".</i>						
Administrative Staff						
Staff at Beginning of Year	8	9	9	9	9	9
Attrition / Retirements	0	0	(1)	(1)	0	(1)
Hirings	1	0	1	1	0	1
Staff at End of Year	9	9	9	9	9	9
Total OE Staff						
Staff at Beginning of Year	173	179	177	178	178	179
Attrition / Retirements	(13)	(15)	(12)	(14)	(12)	(11)
Hirings	19	13	13	14	13	12
Staff at End of Year	179	177	178	178	179	180
Average Staff # ²	176.0	178.0	177.5	178.0	178.5	179.5
Budgeted FTEs	176.1	NA	NA	NA	NA	NA
Attrition Rate (calculated)	8%	8%	7%	8%	7%	6%
Attrition Forecast Breakdown:						
Retirement (excl. Associate Examiners)	2	9	7	7	6	6
General (excl. Associate Examiners)	6	2	1	1	1	1
Associate Examiners (general & retire)	5	4	4	6	5	4

The numbers in the above table do not include summer interns.

¹ Attrition statistics are conservative and include likely retirements, with only a limited number of general attritions from outside of the Associate Examiner group; thus, if additional attrition occurs, hiring would likely increase accordingly.

² Average Staff # is a simple average of the beginning and ending head counts. Given the typical timing of hiring actions by OE (e.g., Associate Examiners normally start near the end of Q3), the FTE number is typically somewhat lower. Also, note that Average Staff # would not consider hiring of summer interns (whereas the Budgeted FTEs line does).

OSMO Strategic Human Capital Plan Survey FY13-FY17

The Office of Management Services is updating the Human Capital Plan to extend to FY 2017. Please review the following questions and revise or validate based on your responses to the survey conducted last year. Please also extend your responses out to include FY 2017. Your responses will assist in the development of the Agency's Strategic Human Capital Plan. Your responses will also assist you in planning your Office's staffing requirements for the next 5 years.

1. Please review the Functional Statement for your Office.
 - a. Does the Functional Statement accurately describe the duties and responsibilities of your Office? Yes
 - b. If not, what additional duties and responsibilities does your Office have?
2. Does your current staff meet the present needs of your Office? If not, why? Yes

With the addition of new resources, an OE Examiner-in-Charge on detail and a new financial analyst (shared with ORP), we continue to successfully meet our staffing needs by supplementing our core staff with outside expertise within FCA as well as external resources. We have routinely used examination staff from the Office of Examination, technical expertise from academia and other professional sources to operate the Risk-Based Capital model and provide analytical support for other technical issues. We also use resources from the Office of General Counsel to help implement and evaluate new authorities that Farmer Mac receives and provide legal support for regulation and policy development.

However, at times we do experience challenges in obtaining needed resources; e.g., specific specialist expertise in certain examination areas. During the Plan's 5-year horizon, we anticipate Farmer Mac will continue to grow and possibly engage in new or complex transactions and/or business lines. As result, we may need an additional staff person and may re-examine our organizational structure. We also plan to explore the possibility of hiring a graduate student intern to provide support for policy and risk analysis, which would also contribute to the Agency's broader recruiting efforts with specific focus on capital and secondary markets. We expect this addition and possible changes to the OSMO organizational structure would enhance operations by providing for critical ongoing project management, work-flow organization, as well as strengthen succession planning.

3. Do you anticipate any changes to the duties and responsibilities of your Office over the next 5 years? If so, how will the changes affect your staffing needs?

The evolving business model of Farmer Mac and additional authorities granted in the 2008 Farm Bill present opportunities for Farmer Mac to pursue new product lines that will likely increase the volume of work and breadth of expertise needed to fulfill OSMO's responsibilities. If OSMO's oversight responsibilities increase significantly, we would consider requesting and acquiring additional staff.

The need for ongoing oversight and examination of Farmer Mac may require more advanced skill sets in the future for current duties and the need for specific dedicated examination staff. Further, other FCA offices that have traditionally provided the bulk of OSMO's examination resources may not always be available, and that uncertainty can present challenges for the Office. To address that, we continue to evaluate the need to build a pool of contractors that OSMO can engage to achieve its objectives.

4. Do you anticipate any changes to the business processes of your Office over the next 5 years? If so, how will the changes affect your Office's staffing needs?

We anticipate the need to rotate the examination team sourced from OE to ensure that we periodically gain fresh perspective on issues and risks. This might include adding an additional commissioned examiner as well as training and deploying our current policy analysis staff in examinations.

Additionally, we are re-evaluating our needs for contracting services, in the area of risk-based capital modeling and stress testing. The nature and level of contracting services that we obtain may change or supplement our current business processes.

5. Do you anticipate changes in the volume of work your Office accomplishes over the next 5 years? If so, how will the changes affect your Office's staffing needs?

Farmer Mac's business model is evolving and they are actively working to innovate new products and lobby for new program authorities. Growth from recent statutory expansion of program business authorities will likely increase the volume of work for OSMO in the next 5 years. We anticipate the agricultural economy will present both challenges and opportunities for Farmer Mac, which may create challenges for OSMO to address with current resources. Therefore, we believe it is an appropriate time to begin identifying and preparing additional staff to assist with the potential increase in OSMO's workload due to Farmer Mac's expanding business. We are continuing to work with OE and ORP to provide opportunities for work on Farmer Mac examination and policy development activities with the objective of building an internal talent base that understands Farmer Mac operations.

6. What new competencies (knowledge, skills, or abilities) do you anticipate needing in your Office over the next 5 years?

The ongoing oversight and supervision of Farmer Mac will require continued enhancement in skill sets for the future. OSMO continues to advance its efforts in the areas of the analysis and modeling of financial data as critical decision-support tools on policy matters related to capital. This effort significantly adds to the Agency's training and skill-building efforts in technical areas of risk analysis. Moving forward, we anticipate the potential for additional skills in these areas and/or additional staff working in support roles to current staff that might be

allocated more intensively in these risk analysis efforts as referenced in “2” above.

7. What accessions (i.e., hiring) are approved for your Office over the next 5 years? Please include the following information about the accessions: types and number of positions, series, grades and responsibilities.

None is approved at this time.

8. Please identify any career track promotions you plan to make during the next 5 years? Please include the following information about possible career track promotions: number of promotions, position titles, series, and grades.

We expect the newly hired policy analyst (shared with ORP) will be promoted from VH-38 to VH-39.

9. What attrition do you anticipate in your Office over the next 5 years?

None.

10. What succession plans have you developed to address retirements and attrition over the next 5 years?

There are eligible FCA staff that are qualified to replace unanticipated attrition from OSMO.

OGC Strategic Human Capital Plan Survey FY13-FY17

The Office of Management Services is updating the Human Capital Plan to extend to FY 2017. Please review the following questions and revise or validate based on your responses to the survey conducted last year. Please also extend your responses out to include FY 2017. Your responses will assist in the development of the Agency's Strategic Human Capital Plan. Your responses will also assist you in planning your Office's staffing requirements for the next 5 years.

1. Please review the Functional Statement for your Office.
 - a. Does the Functional Statement accurately describe the duties and responsibilities of your Office?

Yes. The Functional Statement accurately describes the overall functional responsibilities of the Office of General Counsel (OGC).

2. Does your current staff meet the present needs of your Office? If not, why?

No, immediate and long-term needs require that additional staff be hired in 2012 and considered for subsequent years. Currently, staff is stretched to its maximum. We anticipate that the demands on OGC staff will continue to increase both in volume and complexity during the survey period. The current legal staff of 11 attorneys is the smallest legal staff the Agency has had over the last three decades. At the current staffing level, OGC has no cushion for a sudden rise in workload, a long-term illness resulting in a temporary loss of staff, or other unexpected events.

For the foregoing reasons, we intend to hire another full-time attorney this FY 2012 to replace the attrition in our office that has occurred over the past several years. Over the next few years, we may also need to hire one or more other full-time or part-time attorneys should a further increase in work demands or attrition take place.

The enactment of the Dodd-Frank Wall Street Reform and Consumer Protection Act (Dodd-Frank) continues to require our office to devote several attorneys to serve on interagency workgroups with the other prudential regulators to draft necessary regulations implementing the Act. We anticipate that significant staff time will continue to be devoted to Dodd-Frank during the survey period, work that will involve tracking changes to the law and their effect on the Agency, as well as implementing necessary regulations.

As the Farm Credit System (System) continues to explore new ways to raise capital and address the challenges of weakened System institutions, merger, and corporate governance activities will remain active, along with issues involving preferred stock issuances, liquidity, investments and funding. As a consequence of the economic downturn and its stress on the System, rulemakings and policy

guidance will remain significant as the Agency considers ways to strengthen safety and soundness oversight.

Based on the economic downturn and its impact on the agricultural environment, supervisory and enforcement issues involving System institutions continue to remain active. Consequently, we anticipate that staff time devoted to special supervision and enforcement issues will remain elevated during the survey period.

Our work in the area of administrative law, including legal counsel to the Personnel Division and to the EEO Director, Ethics, FOIA, Privacy Act and other administrative matters remains heavy, and we expect it to continue at a high level during the survey period. In particular, significant staff time is being devoted to EEO, diversity issues, and ethics issues. With the upcoming Presidential election and changes in the White House administration after the 2012 elections (changes that will occur even with the reelection of the President), as well as changes in FCA's Chairman and Board Members, we anticipate that administrative law programs and issues will continue to remain significant during the survey period.

3. Do you anticipate any changes to the duties and responsibilities of your Office over the next 5 years? If so, how will the changes affect your staffing needs?

Yes. As the volume and complexity of the work continues to increase and with the need to train newer staff members, we will consider promoting one or more of our Senior Counsel's to Assistant General Counsels. Such promotions would not involve a reorganization of OGC, but would relieve the current Deputy from day-to-day first-line supervisory responsibility for all OGC work and provide an opportunity for promotion, leadership, and autonomy opportunities for our highly experienced and valuable staff. The agency has taken the position that: 1) it is important to promote and retain highly qualified journeyman employees to retain their expertise within the agency; and 2) since not all of them can progress into supervisory roles, the agency will promote them as non-supervisors to retain these highly valuable employees. The current Assistant General Counsel handles several projects directly with the General Counsel, with other Senior Staff and the Board, and is serving as a mentor to the Deputy Ethics Official. A Senior Counsel also serves as a mentor to the FOIA Officer. These opportunities provide leadership roles for the legal staff and ensure that our office is preparing the less experienced attorneys for succession.

As work permits, our office will remain open to taking on outside collateral duties. We currently have a Senior Counsel serving as the Alternate Secretary to the Board. In the past, an attorney served as an Executive Assistant to a Board Member as a collateral duty. Such duties allow the Agency to accomplish as much or more with fewer employees and provide developmental opportunities for the OGC staff that could put them in stronger positions for promotions. If such collateral duty assignments increase or if additional responsibilities are placed in OGC due to agency staff retirements or other issues, we may need additional staff to accomplish these duties.

4. Do you anticipate any changes to the business processes of your Office over the next 5 years? If so, how will the changes affect you Office's staffing needs?

No. We have no immediate plans to initiate significant changes in our business processes. Our office provides legal support to all offices in the Agency and we will continue to provide such services to all of our Agency clients. However, as mentioned above, and with work permitting, our office will continue to consider taking on outside collateral duties that would help the Agency accomplish the same or increased level of quality work with less staff. Also, we reorganized this year to eliminate a secretarial position, the primary duties of which had eroded due primarily to technological advances. Our existing Office Director level secretary has the ability and room in her workload to absorb any of the remaining duties. Thus, we do not anticipate any business process changes as a result of eliminating the support staff position.

5. Do you anticipate changes in the volume of work your Office accomplishes over the next 5 years? If so, how will the changes affect your Office's staffing needs?

Yes. Our current workload is more complex and voluminous than it has been in the recent past, and we anticipate that continuing issues involving legislation, capital, stock issuances, investments, mergers and enforcement work will either remain elevated or increase during the survey period. Training needs will also increase to keep staff abreast of the new and more complex issues. These shifting duties will need to be undertaken in addition to the significant and continuing work of the office, such as our regulatory and policy work, legal opinions, and administrative law work, including the FOIA and Ethics programs. Moreover, we are accomplishing our work with the smallest legal staff that OGC has had over the last 30 years. Consequently, in addition to the one full-time attorney we plan to hire in FY 2012 and the prompt replacement of any further attrition, OGC may need to hire additional staff during the survey period.

6. What new competencies (knowledge, skills, or abilities) do you anticipate needing in your Office over the next 5 years?

Any immediate new staff will need to be experienced in at least one or more of the following areas: capital, securities, and the disposition of troubled assets, enforcement and litigation work, financial institution regulatory matters, and administrative law.

We may also need, within the survey period, someone with Paralegal or Technical Editor competencies to take over the Federal Register Liaison and potentially other duties should our current Technical Editor retire within the next five years.

7. What accessions (i.e., hiring) are approved for your Office over the next 5 years? Please include the following information about the accessions: types and number of positions, series, grades and responsibilities.

We plan to hire one full-time attorney at grades 38/39/40 in FY 2012. Based on current workloads and the expected increases mentioned above, we anticipate filling any further vacancies that occur through retirement or attrition during the

survey period. Vacancies will likely be filled at the VH-38/39/40 level (series 905-Attorney/Advisor).

If increases continue in OGC's anticipated workload, as described above, we plan to seek approval to hire one or more attorneys within the survey period (these new hires would be in addition to the FTE we plan to hire this FY 2012). If such approval is sought and granted, the attorneys will likely be filled at the entry-level position for the 905 series, but a mid-career hire may be necessary.

8. Please identify any career track promotions you plan to make during the next 5 years? Please include the following information about possible career track promotions: number of promotions, position titles, series, and grades.

The next few years of austerity in Government pay (with a strong possibility that such austerity may continue during the survey period) will possibly make it more difficult for OGC to hire new staff. However, this period of austerity also provides OGC with an opportunity to seek well-deserved promotions of certain staff. Such promotions would help us retain our much needed staff and serve to strengthen morale during these exceptionally busy years. To this end, during the next five years, we anticipate the following career track promotions: one VH-39 attorney to the VH-40 Senior Attorney level; two VH-40 Senior Attorneys to the VH-41 journeyman Senior Counsel level; one or more VH-41 Senior Counsel attorneys to the VH-42 Assistant General Counsel level; and one secretarial position from a VH-35 to a VH-36 level. As it is likely that a new full-time attorney will be hired at the VH-38/39/40 level, we would anticipate that this staff member would be promoted to the VH-39/40 level within the survey period.

9. What attrition do you anticipate in your Office over the next 5 years?

We will have 7 staff members who will be first eligible for retirement during the survey period, with one or two possibly considering retirement within the next five years. Specifically, on our legal staff, a senior counsel became retirement eligible in December 2009, and we expect her to retire by the end of the survey period. Two other senior counsels will become eligible for retirement in January 2015 and January 2016, but we do not expect either of them to retire during the survey period. Our Assistant General Counsel will become eligible for retirement in January 2015, but we do not expect her retirement during the survey period. Our General Counsel will be retirement eligible in January 2014, but we do not expect his retirement during the survey period. On our non-legal staff, our Technical Editor will be retirement eligible in March 2012 and may retire by the end of the survey period. Our secretary will become eligible in March 2017, but we do not expect her to retire during the survey period. In facing a retirement bubble during this survey period and just over the horizon (when more OGC staff members will become first eligible for retirement), it is essential that we begin hiring and training more attorneys.

10. What succession plans have you developed to address retirements and attrition over the next 5 years?

The new attorney that we hired in FY 2010 is being trained in a number of administrative law and mission-related areas, including ethics, FOIA and

enforcement work. We plan to hire one experienced attorney in FY 2012 to replace the second attorney we lost in FY 2009. This attorney will have capital markets expertise to complement the current expertise in this area and ensure a seamless transition when our current expert in this subject area retires (she became eligible in December 2011). If work in OGC continues to increase, we may need to seek approval to hire one or two new entry-level attorneys within the survey period, in which case we will also need to develop a more formal mentoring/training program for such attorneys. With the current legal staff, we do our best to ensure that specific areas of expertise overlap so that, should there be an unexpected departure or loss of an attorney, there will still be one or more attorneys with the requisite knowledge and experience.

During the survey period, and if we have been provided sufficient advance notice, we may hire the replacement for the Technical Editor prior to her retirement so that she can train the new hire before she departs.

These answers reflect our best estimate of our human capital needs. As noted, unexpected attrition or a significant rise in workload may result in the immediate need to re-evaluate the short-term and long-term assumptions built into the plan.

We note that in developing OGC's Human Capital Plan, we have set forth strong justifications for the need for future growth and promotions in OGC. These justifications are based on the fact that the office now functions with a small, core staff of experienced and highly productive attorneys who are able to accomplish outstanding work in a timely manner. In comparison with the Office of Regulatory Policy (ORP) (the office with which our staff works most closely) OGC has nearly one-half the number of employees, with 13 OGC employees (one part-time) compared to approximately 28 ORP employees (three intermittent). The small size of our professional staff is even more extraordinary considering that OGC provides legal services to every office in the Agency. The Office of Management Services (OMS), which also provides services to every Agency office, operates with approximately 50 employees (one part-time), which is almost four times the number of OGC employees.

OMS Strategic Human Capital Plan Survey FY13-FY17

The following responses to the Human Capital Plan survey are intended to assist in the development of the Agency's Strategic Human Capital Plan. These responses are also germane to Office of Management Services' (OMS) staffing requirements for the next 5 years.

1. Functional Statement Office.

The OMS functional statement approved in June 2010 will need slight revisions due to movement of functions within teams and new services being provided.

2. Does your current staff meet the present needs of your Office? If not, why?

OMS is currently 5 FTEs below its approved level however 2 FTEs were unfunded. We have job announcements out that will substantially fill our funded FTEs. Our current staffing needs are for a journeymen helpline staff member, CSCT Team Leader, and Supervisory Human Resources Specialist.

We have experienced a significant increase in demand for administrative staff to respond to requirements placed upon the Agency by other organizations thru laws, regulations, and other administrative issuances. These range from compliance with the President's sustainability initiatives, new OSHA requirements, special emphasis on hiring people with disabilities, meeting the telework enhancement act, FISMA, HSPD-12, etc. These reporting and administrative issues are in addition to meeting the administrative needs of the Agency. In previous years, OMS has been able to meet these requirements with existing resources. However, it is becoming more difficult to do so as more service demands are placed on the office and as we anticipate attrition of experienced and dedicated people who handle much of this work.

As technology becomes more complex and additional services become mainstream (i.e. applications for iPhones), the demands for our services are changing. Our clients are demanding faster and more immediate changes to all aspects of IT. These changes along with the challenge of finding quality, long-tenured employees, make it difficult to meet the needs of our users. Furthermore, future government-wide technology initiatives, increased emphasis on security, overall technology changes, additional IT services, and increased reporting requirements will require additional resources. Thus, while some changes can be dealt with by shifting resources, OMS will need more technical staff in the future. One possible solution may be to supplement needed IT skills with outside expertise. It may also become necessary to outsource more of our IT infrastructure and development. This will give the Technology Team more time to focus on new projects, including the increased demand for institution connectivity.

New expanded projects requested in the Information Resources Management (IRM) Plan will also increase our workload. The impact of this increased demand on staff resources will be that important and longer term projects are delayed to later dates if staffing is not increased. Additional costs are often incurred as well, as our clients change their work requests midstream. As other offices reevaluate their work and present their needs to us, additional staff may be needed to meet these needs. OMS will

continue to evaluate skills across team lines and use those skills accordingly as new projects are presented.

Finally, increased staffing in other Offices will increase the demand for all of our support services, especially human resources. There is also a major demand for a leadership development initiative that will require a significant commitment of resources from our training staff.

3. Anticipated changes to the duties and responsibilities over the next 5 years

Primary duties and responsibilities are expected to remain unchanged. However, as duties and responsibilities change in other FCA Offices, OMS also needs to change to support the activities of those Offices. This is particularly acute in the area of data collection, analysis, and modeling. OMS staff will need to build skills so that it is able to support the gathering and analysis of disparate data to meet the business modeling need of the agency. Additionally we will need to upgrade computer security skills and extend the depth of knowledge in contracting. Finally, we do expect that there will be an increased demand for network services. Initially, we see this in more interconnectivity with the regulated institutions and video technology as video conferencing becomes more common place and as we start to deploy podcasting or similar types of technology.

4. Anticipated changes to the business processes of your Office over the next 5 years

We anticipate that when fully implemented, the new technology infrastructure will allow us to change our business processes to become more efficient and effective. The implementation of SharePoint is expected to greatly improve the workflow processes and the manner in which we work, collaborate, review, approve, and store work products both within OMS and within the Agency. The implementation of unified messaging and meeting technology will improve productivity through better internal and external communication and collaboration with remote resources, which is extremely important to OMS. The greater capability and capacity of the new technology will change our processes for gathering information, which will improve the quality of our analyses and reporting. The use of new technology will permit greater efficiency in supporting on-line meeting collaboration and training on matters internally with FCA staff and externally with System representatives. It will also reduce travel costs. And with Live meeting, impromptu face to face meetings can be held without the use videoconferencing which may reduce costs to the Agency.

While many of the anticipated business changes will make OMS more efficient and effective in the long-term, the short-term affect will be an increased demand on staff resources to revise, develop, and implement the business processes.

5. Anticipated changes in the volume of work over the next 5 years?

Our current workload is particularly heavy given the recruiting needs of the other Offices, OE's training needs, the Agency's technology needs, and the Agency's increasing demand for analysis of FCS-related data and the need for metrics to measure the Agency's performance in a variety of areas.

Government transparency has led to increased demands from oversight entities, i.e. OMB, OPM, FEMA, and EEOC. As reporting requirements from these entities has grown at a rapid pace, it has placed a large demand for our time to keep current on all the new regulations as well as ensuring compliance. There has also been an increase of requirements on all Agencies, including the HSPD-12 ID card program and disposal of computers and printers, which has increased our volume of work. OMS is continuing to determine how a small Agency fits into these reporting requirements as we do not have the given resources larger Agencies do.

We anticipate our workload will remain heavy and likely will increase over the next 5 years as the Agency increases staffing levels and has a high turnover of seasoned, retirement-eligible employees.

To address OMS' volume of work, OMS needs to look for multi-talented employees that have the flexibility to move from skill to skill. Additionally, we plan on exploring rotational and/or detail opportunities for staff in other Offices, who have developed OMS' related skill sets. These opportunities would allow the Agency to fully utilize employees in mission critical offices not performing mission critical functions.

6. New competencies (knowledge, skills, or abilities) needed over the next 5 years?

We anticipate the need for new competencies in:

- Project management
- Plain writing
- Mobile web technology
- Business process analysis and design
- Workflow development
- Time management
- Electronic records management
- Customer relations management
- In depth IT security
- Contract management

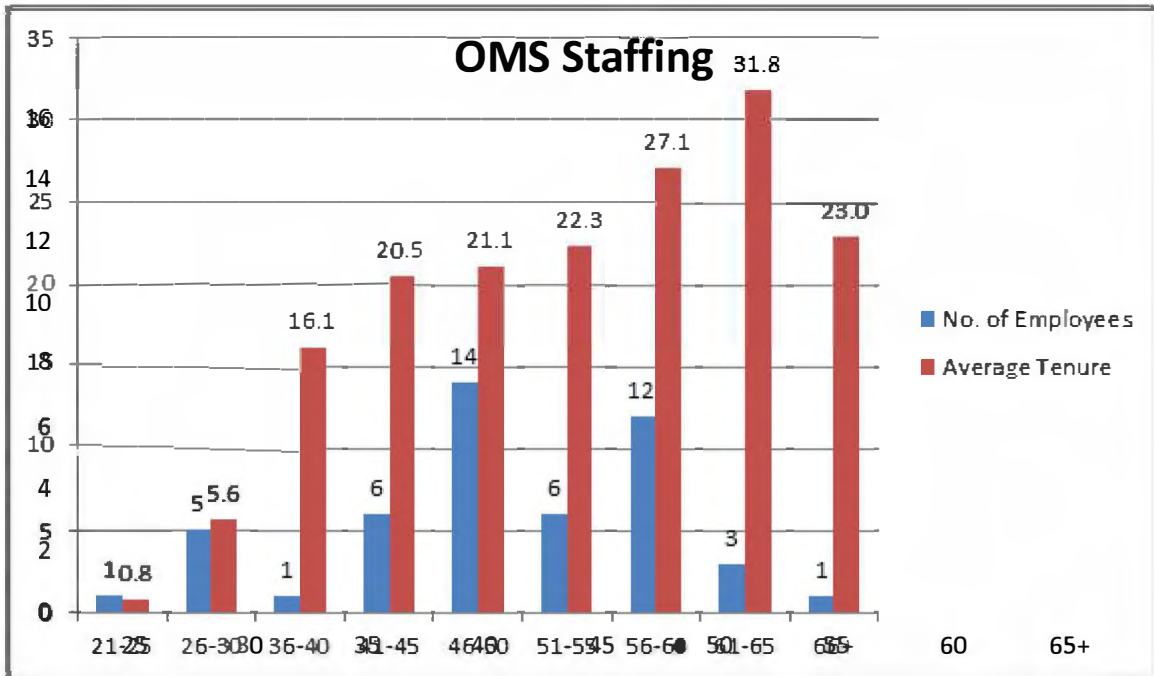
In some of these areas we are developing the skills of current staff so that they can assume responsibilities of senior level staff who may retire within the next five years. Additionally, as technology changes, new skills will be required to facilitate implementation. While contractors can supplement and provide knowledge transfer, technologists will be required to get additional training to meet the demand. In other areas, we plan to recruit to fill skill gaps.

Finally, OMS recognizes that we must have a well thought out training program for staff. We plan to look at OE's model and the competency model created for HRTT as examples. We envision this document will determine competencies for each grade level for our main job series (2210, 201, 510).

7. Anticipated hiring over the next 5 years?

OMS's approved staffing level for FY 2011 is 54 FTEs.

The following chart identifies the current age and experience of OMS:



Our current staffing level is 49 staff members (1 in a part time position). The proposed level for FY 2013 is also 54 FTEs. We plan to hire 3 people in FY 2012. As retirement plans become more definitive, we will plan to replace staff to acquire and develop the skill identified in this survey.

We also plan to better utilize the Pathways program by bringing college students onboard in hopes of full time employment after graduation. We hope to develop relationships with local schools for all service areas of OMS, but especially IT. We recognize the risk that students may not join FCA as a full time employee after graduation but we consider it a risk worth taking.

8. Identify career track promotions planned during the next 5 years?

Number	Position Title	Series	Grade
1	IT Specialist	VH-2210	39
1	Client Com Specialist	VH-301	37, 38
1	Client Com Specialist	VH-301	38

9. Attrition anticipated over the next 5 years?

Listed below are estimated retirements. In addition to the retirements, we estimate that we will have attrition of 5 other employees over the 5 years.

Retirements

FY13

CIO, Deputy Director
Budget Analyst
Senior HR Specialist/Training Officer
HR Systems Specialist
Sr. Info Management Specialist

FY15

Chief Human Capital Officer
IT Specialist (DO)
Mail Clerk

FY16

IT Specialist (CSCT)
Chief Financial Officer

FY17

Sr. IT Specialist (TT)
Secretary

10. What succession plans have you developed to address retirements and attrition over the next 5 years?

OMS has been anticipating and planning for the listed retirements and attrition for the last several years. OMS's strategy is to develop and implement employee developmental plans that develop skills so that we have a cadre of individuals with needed skill sets. OMS has also made several hires over the past several years to fill key positions. Through staff development, lower level staff are preparing for career advancement to step in when the need arises. However, over the long run, OMS is focusing on hiring career interns to train and groom for a long term career at FCA. Most importantly, OMS notes that 3 of its top leadership positions are included in the retirement list above. We have been developing a cadre of individuals who will be prepared to compete for these positions through a combination of formal training and experiences.

OIG Strategic Human Capital Plan Survey FY13-FY17

The Office of Management Services is updating the Human Capital Plan to extend to FY 2017. Please review the following questions and revise or validate based on your responses to the survey conducted last year. Please also extend your responses out to include FY 2017. Your responses will assist in the development of the Agency's Strategic Human Capital Plan. Your responses will also assist you in planning your Office's staffing requirements for the next 5 years.

1. Please review the Functional Statement for your Office.
 - a. Does the Functional Statement accurately describe the duties and responsibilities of your Office?
 - b. If not, what additional duties and responsibilities does your Office have?OIG has prepared a submission for update to include statutory changes from the 2008 Amendments to the IG Act and the Dodd Frank legislation.
2. Does your current staff meet the present needs of your Office? If not, why?
Yes.
3. Do you anticipate any changes to the duties and responsibilities of your Office over the next 5 years? If so, how will the changes affect your staffing needs?
Not expected, however, Congressional mandates may have an impact.
4. Do you anticipate any changes to the business processes of your Office over the next 5 years? If so, how will the changes affect you Office's staffing needs?
More use of information technology, however, no anticipation of different staffing needs.
5. Do you anticipate changes in the volume of work your Office accomplishes over the next 5 years? If so, how will the changes affect your Office's staffing needs?
The volume of work should remain relatively constant.
6. What new competencies (knowledge, skills, or abilities) do you anticipate needing in your Office over the next 5 years?
Believe we presently have the core competencies that are needed on staff.
7. What accessions (i.e., hiring) are approved for your Office over the next 5 years? Please include the following information about the accessions: types and number of positions, series, grades and responsibilities.
None. If retirements, replacements will be sought.
8. Please identify any career track promotions you plan to make during the next 5 years? Please include the following information about possible career track promotions: number of promotions, position titles, series, and grades.
Possibly promotion of Senior Auditor, VH- 511.

9. What attrition do you anticipate in your Office over the next 5 years?
IG may retire. Two other staff members are eligible for retirement.

10. What succession plans have you developed to address retirements and attrition over the next 5 years?

FCA Board, in compliance with the IG Act, will appoint the next IG. OIG has well qualified staff to succeed.

If other staffers retire or depart, OIG will announce the positions and replace the vacancy.



OFFICE OF THE INSPECTOR GENERAL FUNCTIONAL STATEMENT

The mission of the Office of Inspector General (OIG) is to be an agent of positive change, striving for continuous improvement in FCA's management and program operations. The Inspector General Act of 1978, as amended, specifies that the Inspector General will:

- Conduct and supervise independent and objective audits, investigations, and reviews relating to the programs and operations of the FCA;
- Promote economy, efficiency, and effectiveness within the FCA;
- Prevent and detect fraud, waste, and abuse in programs and operations of the FCA;
- Review and make recommendations regarding existing and proposed legislation and regulations relating to programs and operations of the FCA; and
- Keep the FCA Board (Board) and the Congress fully and currently informed of fraud and other serious problems, abuses, and deficiencies relating to the administration of programs and operations administered or financed by the FCA, recommend corrective actions, and report

progress made in implementing corrective actions.

To ensure objectivity, the Inspector General Act of 1978, as amended, empowers the Inspector General:

- With independence to determine the reviews to perform;
- To access any and all information available to the Agency;
- With authority to subpoena and take testimony; and
- To publish reports on the OIG website and to publish findings and recommendations based on reviews in semiannual reports to the Board, Congress, and the public.

ORP Strategic Human Capital Plan Survey FY13-FY17

The Office of Management Services is updating the Human Capital Plan to extend to FY 2017. Please review the following questions and revise or validate based on your responses to the survey conducted last year. Please also extend your responses out to include FY 2017. Your responses will assist in the development of the Agency's Strategic Human Capital Plan. Your responses will also assist you in planning your Office's staffing requirements for the next 5 years.

1. Please review the Functional Statement for your Office.
 - a. Does the Functional Statement accurately describe the duties and responsibilities of your Office?
 - b. If not, what additional duties and responsibilities does your Office have?

The ORP functional statement, which was approved by the Board in May 2007, remains fundamentally accurate in its description of the Office's duties and responsibilities. However, the scope of activities has expanded to include things such as pre-Regulatory Enforcement Committee (REC) and REC committee support, enforcement support, examination policy development support, examination assistance, and risk analysis support. Risk analysis support includes developing internal Agency sensitivity stress testing models of Farm Credit System (FCS or System) institutions and conducting surveillance of credit conditions in the agricultural credit markets. In addition, we anticipate that we will continue to provide additional support to the Farm Credit Administration (FCA or Agency) Board¹ and the Office of Congressional and Public Affairs (OCPA) as the Agency responds to Congressional information needs as the Government Sponsored Enterprise (GSE) and regulatory reform debate occurs. As the technical point-of-contact for the Agency, we will also continue to maintain a heightened level of liaison contact with the Federal Reserve, Treasury, and FDIC. In addition, we will maintain contact with the Commodity Futures Trading Commission and the Securities Exchange Commission while the Dodd-Frank Act regulatory process continues. While these additional responsibilities will require more ORP focus and staff time for the foreseeable future, we do not recommend any specific revision to ORP's functional statement given it does include broad language that envisions additional responsibilities that come and go over time depending on environmental conditions.

2. Does your current staff meet the present needs of your Office? If not, why?

We currently are 2 FTEs below our approved level in ORP, which represent the Deputy Director and Team Leader vacancies²; consequently, current staff is insufficient to meet the present needs of our Office. We intend to fill those positions in the near future. Nonetheless, even at the approved level, staffing may be challenged to meet current needs given the number of regulation and other projects that we have. Therefore, we will continue to consider an interoffice rotational program with the Office of Examination (OE). Under this program, ORP selects OE staff for a 2-year staff development rotation in ORP. The selected staff participates

¹ An ORP staff member serves as a special advisor to the FCA Chairman.

² This does not include the attrition of a financial analyst who will be leaving in early May.

in and leads Agency policy initiatives. In the past, we had planned for 3 FTEs from this source; however, the program has not been used recently due to OE's examination priorities. Over the next 2 years, if our approved staffing level is not sufficient for the work required, we hope to explore continuation of the program and have 1-2 competitively selected participants in the program at all times.

There has been an overall increase in the demand on staff resources. We have seen an increase in the number of significant and time-sensitive requests for support. We are devoting significant resources to projects related to financial regulatory reform brought about by the Dodd-Frank Act. We also expect to see a continued increase in the number of requests we receive related to exam issues such as scope, capital, investments in rural America, executive compensation, board governance, exam policy, pre-REC, REC, etc. Likewise, we expect an increase in the number of requests for support of OE activities such as risk analysis, examination, enforcement, and exam policy. Also, while stress in the financial markets and the general economy has lessened, they remain volatile. Therefore, there has been and likely will be an increase in the number of requests on economic and risk issues, such as farmland values, commodity prices, and agribusiness borrowers such as ethanol. In addition, there has been an increase in the number of requests for support of Board activities such as mission-related issues, local food system issues, Board Member presentations, and external (including System and foreign) visitors. Additionally, we expect that FCA will continue to receive corporate applications that involve significant policy issues and/or require us to address operational and financial weaknesses. The result of this increased demand on staff resources is that important and longer term projects may take longer to complete due to changing priorities for staff resources.

One key strategy that has been effective is the use of intermittent employees during times of unexpected workloads. We also have successfully used contractors and anticipate continued use of contracting to fill skill and other resource gaps on an as needed and flexible basis.

3. Do you anticipate any changes to the duties and responsibilities of your Office over the next 5 years? If so, how will the changes affect your staffing needs?

We do anticipate some changes in the duties and responsibilities of ORP during the next 5 years. Given the current economic environment, we anticipate changes in the area of economic analyses and funding. We expect that our analyses will shift from a macroeconomic to a more microeconomic focus. We have developed a model to stress test each System association under various financial scenarios. We will continue to refine the model and the assumptions for the model. Also, we are developing a model to stress test System banks. We anticipate that stress testing will be an ongoing process. In addition, we may need to further modify the funding approval process to more closely monitor the System's funding activities such as the retail bond program recently approved by the FCA. Another area where we anticipate changes is in the area of data support. Once FCA's System loan database or the loan database being developed by the System becomes fully operational, we anticipate becoming more involved in data mining activities, risk monitoring, risk modeling, and other analytic activities. We expect that this will increase the demand on staff resources. We also expect to continue in a leadership role as the technical liaison and point-of-contact with the Federal Reserve, Treasury,

USDA, and FDIC. Additionally, we will assist the USDA in the review of applications submitted for the licensing of non-leveraged rural business investment companies (RBICs).

4. Do you anticipate any changes to the business processes of your Office over the next 5 years? If so, how will the changes affect you Office's staffing needs?

We anticipate that when fully implemented, the new technology infrastructure will allow us to change our business processes to become more efficient and effective. The implementation of SharePoint is expected to greatly improve the workflow processes and the manner in which we work and collaborate on, review, approve, and store work products both within ORP and within the Agency. The implementation of network meeting software has improved productivity through better communication and collaboration with remote resources, which is extremely important to ORP because of its reliance on rotational staff, use of flexi-place, and geographically diverse staff assignments on policy projects to meet our resource needs. The greater capability and capacity of new technology will change our processes for gathering information, which will improve the quality of our analyses and reporting, and create a greater return on our investment in the Bloomberg and Standard & Poor's subscriptions. For example, the new technology has allowed us to change the manner in which we gather performance data from the System pertaining to young, beginning and small (YBS) farmers and ranchers and how we conduct various surveys of the System, such as YBS questionnaires and monitoring credit conditions through interviews of System institutions. Finally, the use of new technology will permit greater efficiency in supporting virtual meeting collaboration and virtual training on policy-related matters internally with FCA staff and externally with System representatives.

We will continue to support the REC committee. Although the stresses of the current economic environment have lessened, the financial condition of more System institutions may deteriorate, so we anticipate that we may need to develop processes for additional staff support for the pre-REC and REC committee activities and enforcement actions. Another area is the loan database project. As it moves into phase II, new business processes will need to be developed and implemented in order to take full advantage of the database. Finally, as we further implement stress testing for associations and develop a stress test for banks, we may need to refine our business processes to support those activities.

We also are refining the the ORP organizational structure to address the wide span-of-control of the Deputy Director, increased work demands, and develop additional skills for management succession. Specifically, ORP will convert Associate Directors/Team Leaders to supervisory positions.

5. Do you anticipate changes in the volume of work your Office accomplishes over the next 5 years? If so, how will the changes affect your Office's staffing needs?

We anticipate our workload will remain heavy and likely will increase over the next 5 years as the System works its way through the current economic crisis and as the Agency deals with the attendant policy matters. These policy matters include revisions to the capital regulations and other capital issues, scope of lending issues, investment management, liquidity requirements, the investments in rural America

pilot programs, the syndication study, issues related to shareholder disclosures and executive compensation, local food systems, System diversity and inclusion, the System's legislative and regulatory initiatives, YBS initiatives and DFA issues. We also may see another proposal to merge banks and expect that another round of association merger activity will likely occur as smaller associations look to become stronger, more efficient institutions, or will need to address significant financial stress or FCA's supervisory concerns and Farm Credit bank general financing agreement conditions. We also anticipate that more ORP resources will be needed to support OE activities such as examination, enforcement, borrower rights, exam policy, credit condition surveys and risk analysis. Similarly, ORP continues to assist OE in fulfilling the Agency contract with USDA to conduct reviews of activities under the rural business and industry program of USDA. In addition, ORP will devote resources in processing requests to license non-leveraged RBICs in which the System invests pursuant to USDA regulations. ORP's workload is also dependent on outside factors such as Board discretion, the political environment, and requests by the System and other entities for policy-related presentations. In addition, we anticipate increased support to OCPA as it addresses Congressional information needs relating to GSE and regulatory reform and the upcoming Farm Bill. We also expect to support both OCPA and the FCA Board as they consider System legislative and other initiatives in response to the financial and economic turmoil as well as related Government actions. Finally, we anticipate there will be an increase in the amount of support provided for Board activities such as ad hoc requests, Congressional inquiries, and presentations to external parties.

The increase in workload will require additional support from other Agency offices, contracting with external experts, and an increase in permanent professional staff. However, before increasing FTEs, we will proceed cautiously to ensure we only add personnel after fully utilizing existing staff and other flexible/temporary sources (i.e., rotational assignments, contracting, and temporary help). We are extremely sensitive to maintaining the staffing levels needed to remain flexible in the face of uncertain and variable demand for ORP's products and services.

6. What new competencies (knowledge, skills, or abilities) do you anticipate needing in your Office over the next 5 years?

We do not anticipate the need for any new competencies, but rather the need to develop greater depth in our competencies in several areas. These include the areas of accounting, agricultural credit, banking, capital markets, regulatory capital, corporate structure, derivatives, and financial modeling (economic, capital, liquidity, and credit). In some of these areas we are developing the skills of current staff so that they can assume the responsibilities of senior level staff who may retire within the next 5 years. We will also share an employee with the Office of secondary Oversight to improve our financial modeling capability. In the other areas, we plan to recruit mid-career and senior level staff to fill skill gaps. However, mid-career and senior level hires still need to learn about the System before they can apply their skills effectively and independently to projects. In addition, we will develop greater management depth at the Associate Director/Team Leader positions to ensure management succession and spread the supervisory work load to make it more manageable for the Office.

7. What accessions (i.e., hiring) are approved for your Office over the next 5 years? Please include the following information about the accessions: types and number of positions, series, grades and responsibilities.

ORP's approved staffing level for FY 2012 is 27.6 FTEs. Our current staffing level is 25.6 FTEs; however, there will be one attrition in May. The proposed level for FY 2013 is 27.54 FTEs. The Deputy Director's position will be filled within the next few weeks. In addition, we plan to hire 2 staff (a policy/financial analyst and a Team Leader) in FY 2012 to reach our approved staffing level. Our long-range staffing target is to increase to and level out at 28 FTEs; accordingly, we plan to add 1 FTE (policy/financial analyst) in FY 2014. In addition, we will be replacing any departing staff (see No. 9 below).

8. Please identify any career track promotions you plan to make during the next 5 years? Please include the following information about possible career track promotions: number of promotions, position titles, series, and grades.

<u>Number</u>	<u>Position Title</u>	<u>Series</u>	<u>Grade</u>
1	Secretary	VH-318	36
2	Policy/Financial Analyst*	VH-1101	39 & 40
1	Policy Analyst	VH-1101	39 & 40
1	Assistant to the Director	VH-1101	41
2	Expert Policy Analyst	VH-1101	41
1	Associate Director	VH-1101	41

* New hires listed in #7

9. What attrition do you anticipate in your Office over the next 5 years?

<u>Retirements</u>	<u>Attrition</u>
Director	2 persons
Chief Economist	
Assistant to the Director	
Senior Accountant	
Senior Economist	
Senior Financial Analyst	
Senior Policy Analyst – 2	
Policy Analyst – 2	
Secretary-Typing	

10. What succession plans have you developed to address retirements and attrition over the next 5 years?

ORP has been planning for the listed retirements and attrition for the last several years. ORP's strategy is to develop and implement employee developmental plans that satisfy the skill needs of ORP staff. Through staff development, other staff are preparing for career advancement to step in when the need arises. Another succession strategy is the interoffice rotational program with OE to recruit experienced examiners for a term of 2 years. The term rotational program is

designed to provide a staff development opportunity for the examiner while providing ORP with experienced professional staff on a short-term basis. Ultimately, we anticipate that some past rotational participants may apply to become full-time policy analysts through some future career opportunity. As retirements occur, we anticipate continued use of contracting for resources to fill skill and other resource gaps on an as needed and flexible basis. If a specific skill set is needed on a permanent basis and not available within the Office, ORP would address the need through a vacancy announcement. We will also develop broader supervisory skills at the Associate Director/Team Leader level. The development of broader management skills across ORP will allow for the smooth transition and succession if and when key ORP management decides to depart for whatever reason.

OB/OCEO Staff Resource Model*

	2013	2014	2015	2016	2017
Staff at Beginning of Year	9	9	9	9	9
Attrition / Retirements	-2	-1	0	0	0
Hirings	2	1	0	0	0
Staff at End of Year	9	9	9	9	9
Average Grade at Year End	40.0	40.0	40.0	40.0	40.0
Attrition Rate	22%	11%	0%	0%	0%
Net Attrition Rate	0%	0%	0%	0%	0%

*Does not include FCA Board Members

OCPA Staff Resource Model

	2013	2014	2015	2016	2017
Staff at Beginning of Year	7	7	7	7	7
Attrition / Retirements	0	0	0	0	0
Hirings	0	0	0	0	0
Staff at End of Year	7	7	7	7	7
Average Grade at Year End	39.4	39.6	39.6	39.6	39.6
Attrition Rate	0%	0%	0%	0%	0%
Net Attrition Rate	0%	0%	0%	0%	0%

OGC Staff Resource Model

	2013	2014	2015	2016	2017
Staff at Beginning of Year	14	14	14	14	14
Attrition / Retirements	-1	0	0	-1	0
Hirings	1	0	0	1	0
Staff at End of Year	14	14	14	14	14
Average Grade at Year End	40.4	40.4	40.4	40.4	40.8
Attrition Rate	7%	0%	0%	7%	0%
Net Attrition Rate	0%	0%	0%	0%	0%

OIG Staff Resource Model

	2013	2014	2015	2016	2017
Staff at Beginning of Year	5	5	5	5	5
Attrition / Retirements	-2	0	0	0	0
Hirings	2	0	0	0	0
Staff at End of Year	5	5	5	5	5
Average Grade at Year End	0	0	0	0	0
Attrition Rate	40%	0%	0%	0%	0%
Net Attrition Rate	0%	0%	0%	0%	0%

OSMO Staff Resource Model

	2013	2014	2015	2016	2017
Staff at Beginning of Year	5	5	5	5	5
Attrition / Retirements	0	0	0	0	0
Hirings	0	0	0	0	0
Staff at End of Year	5	5	5	5	5
Average Grade at Year End	39.25	39.75	39.75	39.75	39.75
Attrition Rate	0%	0%	0%	0%	0%
Net Attrition Rate	0%	0%	0%	0%	0%
Staff at Beginning of Year	303	301	303	303	304
Attrition / Retirements	-32	-14	-17	-14	-15
Hirings	30	16	17	15	16
Staff at End of Year	301	303	303	304	305
Average Grade at Year End	34.26	34.27	34.27	34.44	34.65
Attrition Rate	11%	5%	6%	5%	5%
Net Attrition Rate	-1%	1%	0%	0%	0%

OE Staff Resource Model

	2013	2014	2015	2016	2017
Management					
Staff at Beginning of Year	9	8	7	7	7
Attrition / Retirements	-2	-1	-1	-1	-1
Hirings	1	0	1	1	1
Staff at End of Year	8	7	7	7	7
Average Grade at Year End	42.57	42.57	42.57	42.57	42.57
Planned Attrition Rate	25%	14%	14%	14%	14%
Commissioned Examiners					
Staff at Beginning of Year	100	103	106	111	116
Attrition / Retirements	-8	-5	-5	-5	-4
Hirings	1	1	1	1	0
New Commissioned Examiners	10	7	9	9	6
Staff at End of Year	103	106	111	116	118
Average Grade at Year End	39.66	39.66	39.66	39.66	39.66
Planned Attrition Rate	8%	5%	5%	4%	3%
Technical Specialists/Analysts					
Staff at Beginning of Year	15	15	15	15	15
Attrition / Retirements	-1	-1	-1	-1	-1
Hirings	1	1	1	1	0
Staff at End of Year	15	15	15	15	14
Average Grade at Year End	38.37	38.37	38.37	38.37	38.37
Planned Attrition Rate	7%	7%	7%	7%	7%
Associate Examiners					
Staff at Beginning of Year	46	42	41	36	32
Attrition / Retirements	-4	-4	-6	-5	-4
Hirings	10	10	10	10	10
New Commissioned Examiners	-10	-7	-9	-9	-6
Staff at End of Year	42	41	36	32	32
Average Grade at Year End	35.23	35.23	35.23	35.23	35.23
Planned Attrition Rate	10%	10%	17%	16%	13%
Administrative Staff					
Staff at Beginning of Year	9	9	9	9	9
Attrition / Retirements	0	-1	-1	0	-1
Hirings	0	1	1	0	1
Staff at End of Year	9	9	9	9	9
Average Grade at Year End	33.89	33.89	33.89	33.89	33.89
Planned Attrition Rate	0%	11%	11%	0%	11%
Total OE Staff					
Staff at Beginning of Year	179	177	178	178	179
Attrition / Retirements	-15	-12	-14	-12	-11
Hirings	13	13	14	13	12
Staff at End of Year	177	178	178	179	180
Average Grade at Year End	38.5	37.93	37.93	38.93	39.93
Attrition Rate	8%	7%	8%	7%	6%
Net Attrition Rate	-1%	1%	0%	1%	1%

OMS Staff Resource Model

Management and Team Leaders	2013	2014	2015	2016	2017
Staff at Beginning of Year	8	8	8	8	8
Attrition / Retirements	-1	0	-1	-1	0
Hirings	1	0	1	1	0
Staff at End of Year	8	8	8	8	8
Average Grade at Year End	41.75	41.75	41.75	41.75	41.75
Planned Attrition Rate	13%	0%	13%	13%	0%

Program Analysts	2013	2014	2015	2016	2017
Staff at Beginning of Year	9	9	9	9	9
Attrition / Retirements	-1	0	0	0	0
Hirings	1	0	0	0	0
Staff at End of Year	9	9	9	9	9
Average Grade at Year End	37.50	37.50	37.50	37.50	37.50
Planned Attrition Rate	11%	0%	0%	0%	0%

Information Technology Specialists	2013	2014	2015	2016	2017
Staff at Beginning of Year	20	20	20	20	20
Attrition / Retirements	0	0	-1	0	-1
Hirings	0	0	1	0	1
Staff at End of Year	20	20	20	20	20
Average Grade at Year End	38.60	38.60	38.60	38.60	38.70
Planned Attrition Rate	0%	0%	5%	0%	5%

Other Analysts and Specialists (Personnel and Finance)	2013	2014	2015	2016	2017
Staff at Beginning of Year	12	12	12	12	12
Attrition / Retirements	-3	0	0	0	0
Hirings	3	0	0	0	0
Staff at End of Year	12	12	12	12	12
Average Grade at Year End	38.36	38.36	38.36	38.36	38.67
Planned Attrition Rate	25%	0%	0%	0%	0%

Administrative Staff	2013	2014	2015	2016	2017
Staff at Beginning of Year	4	4	4	4	4
Attrition / Retirements	0	0	-1	0	-1
Hirings	0	0	1	0	1
Staff at End of Year	4	4	4	4	4
Average Grade at Year End	32.75	32.25	32.25	33.5	33.5
Planned Attrition Rate	0%	0%	25%	0%	25%

Total OMS Staff	2013	2014	2015	2016	2017
Staff at Beginning of Year	53	53	53	53	53
Attrition / Retirements	-5	0	-3	-1	-2
Hirings	5	0	3	1	2
Staff at End of Year	53	53	53	53	53
Average Grade at Year End	37.79	37.69	37.69	37.94	38.02
Attrition Rate	9%	0%	6%	2%	4%
Net Attrition Rate	0%	0%	0%	0%	0%

ORP Staff Resource Model

	2013	2014	2015	2016	2017
Management and Team Leaders					
Staff at Beginning of Year	6	6	6	6	6
Attrition / Retirements	-1	-1	0	0	0
Hirings	1	1	0	0	0
Staff at End of Year	6	6	6	6	6
Average Grade at Year End	41	41	41	41	41
Planned Attrition Rate	17%	17%	0%	0%	0%

	2013	2014	2015	2016	2017
Policy Analysts					
Staff at Beginning of Year	12	12	12	12	12
Attrition / Retirements	-3	0	0	0	-2
Hirings	3	0	0	0	2
Staff at End of Year	12	12	12	12	12
Average Grade at Year End	39.4	39.9	40.0	40.1	40.1
Planned Attrition Rate	25%	0%	0%	0%	17%

	2013	2014	2015	2016	2017
Financial Analysts/Accountants					
Economists					
Staff at Beginning of Year	11	11	12	12	12
Attrition / Retirements	-2	0	0	0	0
Hirings	2	1	0	0	0
Staff at End of Year	11	12	12	12	12
Average Grade at Year End	39.6	39.6	39.6	39.6	39.6
Planned Attrition Rate	18%	0%	0%	0%	0%

	2013	2014	2015	2016	2017
Administrative Staff					
Staff at Beginning of Year	2	2	2	2	2
Attrition / Retirements	-1	0	0	0	0
Hirings	1	0	0	0	0
Staff at End of Year	2	2	2	2	2
Average Grade at Year End	34.5	34.5	34.5	34.5	35.5
Planned Attrition Rate	50%	0%	0%	0%	0%

	2013	2014	2015	2016	2017
Total ORP Staff					
Staff at Beginning of Year	31	31	32	32	32
Attrition / Retirements	-7	-1	0	0	-2
Hirings	7	2	0	0	2
Staff at End of Year	31	32	32	32	32
Average Grade at Year End	38.67	38.79	38.82	38.88	39.13
Attrition Rate	23%	3%	0%	0%	6%

WORK/LIFE PROGRAMS - COMPARISON CHART – 2012						
Programs	OCC	FDIC	Fed Reserve	NCUA	Farm Credit	FHFA
Size	3600	7982	2361	1182	274	400
Child Care	Referral services and free membership to Sittercity.com	Onsite in DC and in Virginia Square only; Referral services	Referral services	Referral services	Referral services	Referral services
Childcare Subsidy	No, but see FSA contribution	No	Yes, up to \$1,000 depending on employee's income	No	Yes, percentage paid ranges from 25% to 70% of total childcare costs depending on adjusted gross family income up to \$60,000.	No
Elder Care	Elder care case assessments, referral services and free membership to Sittercity.com; plus discount on emergency response system.	Elder care case assessments, on-site geriatric care management sessions, referral services, and discount on emergency response system	Referral services	Referral services	Referral services	Referral services
Flexible Spending Accounts (FSA)	Yes	Yes	Yes	Yes, federal plan; NCUA pays admin costs of plan	Yes	Yes, federal plan; FHFB pays admin costs of plan
Does agency contribute to account--how much?	Yes, \$1,000 towards health or dependent care max contribs (see Lifecycle Account) plus subsidizes employee share of biweekly health insurance premiums by \$60.	No	No, but see Childcare Subsidy	No	Yes, \$900 toward health and/or dependent care maximum contribution. Employees may also add \$400 from their Lifecycle Account for a total of \$1,300.	No
Lifecycle Account	Yes, \$1,000 is provided to all employees as either a contribution to one of their FSAs or as a cash payout.	No	No	No	Yes, \$400 is available to all employees to use toward childcare, eldercare, medical and wellness expenses or as a contribution to their FSAs.	Yes, \$600 is available to all employees to use toward personal medical and wellness expenses.

WORK/LIFE PROGRAMS - COMPARISON CHART – 2012						
Programs	OCC	FDIC	Fed Reserve	NCUA	Farm Credit	FHFA
Compressed Work Schedules	5/4/9 and 4/10	5/4/9 and 4/10	5/4/9 and 4/10	5/4/9	No	5/4/9
Flexible Work Schedules ¹	Flexitour; Maxiflex program includes Gliding Schedule, Credit Hours, 5/8, 5/4/9, and 4/10 schedules	Flexitour; Credit Hours	Flexitour	Flexitour; Gliding; Maxiflex; Maxiflex 5/4/9; Compressed; Variable day for managers	Flexitour; Variable Day; Variable Week; Maxiflex; Maxiflex 5/4/9 and 4/10; Credit Hours	Flexitour; Credit Hours
Telework	Regular and Situational Task-Based Telework programs plus Temporary Medical Telework are available to all eligible employees with supervisory approval.	Regular telework program in place for all employees with supervisory approval; field examiners have an option to work from home.	Regular telework available to all employees with supervisory approval	Regular, episodic and remote duty telework available to all employees with mgt approval. Field examiners are not included in telework because of unique working arrangements, which meet OPM's definition of mobile workforce.	Regular telework available to all employees with supervisory approval	Episodic telework available to all employees and remote duty telework for out-stationed examiners.
Does agency provide any telework subsidies? If so, what?	No, but most employees have laptops and others may obtain a loaner laptop. Executives, managers, examiners, and other qualified employees are provided BlackBerries.	At lease renewal, examiners electing full-time telework are provided a one-time maximum reimbursement of up to \$500 for equipment not provided by the FDIC, and annual reimbursement of up to \$480 for multiple telephone lines and/or high-speed network access. Execs are provided with equipment (e.g., laptops and BlackBerries) and high-speed network access.	No, but computer equipment is loaned to teleworking employees. When telework arrangements are concluded, equipment must be returned to the Board.	Agency provides laptops to all employees for telework or travel purposes (docking stations for office employees). Remote-duty teleworkers are partially reimbursed up to \$50/mo. For broadband. No subsidy for local teleworkers.	With supervisory approval, employees may receive up to 100% of their broadband costs. All employees use laptops and are given routers, upon request. Managers and executives are provided Blackberries.	Yes, out-stationed bank examiners receive a one-time office set-up payment of \$1,600 and a quarterly stipend of \$500 for operating expenses incurred to maintain a home office. Additionally, most employees have laptops and others may obtain a loaner laptop.

WORK/LIFE PROGRAMS - COMPARISON CHART – 2012						
Programs	OCC	FDIC	Fed Reserve	NCUA	Farm Credit	FHFA
Part-time	Yes	Yes	Yes	Yes	Yes	Yes
Job Sharing	Yes	Yes	Yes	Yes	Yes	No
EAP	Yes	Yes	Yes	Yes	Yes	Yes
Work Life Info and Referral Services	Yes	Yes	Yes, through the Board's EAP	Yes	Yes	Yes
Employee Discount Program	Yes, on health & wellness services and products, tax software, recreation, travel, movies, gifts, etc.	Yes, on health & wellness services and products, ID theft protection and software.	No	No	No	No
Leave Transfer	Yes (annual leave transfer)	Yes (annual leave transfer)	Yes (annual leave transfer)	Yes (annual leave transfer)	Yes (both annual & sick leave transfers)	Yes (annual leave transfer)
Leave Bank	Yes (annual leave contribution)	No	Yes (annual leave contribution)	No	Yes (both annual & sick leave contributions)	No
Time-Off Incentive Awards	Yes	Yes	No	Yes	Yes	Yes
Transportation Subsidy	Yes (\$125/month)	Yes (\$125/month)	Yes ² (\$125/month)	Yes (\$125/month)	Yes (\$230/month)	Yes, 100% of commuter cost
Travel Subsidy/ Impact Awards	Yes	No	Yes ³	Yes	Yes	Yes
Business Casual Dress	Yes, all week	Yes, all week	Some divisions	Yes, all week except when meeting with external clients.	Yes, all week except when meeting with external clients.	Yes, all week
Lactation Facilities	Yes	Yes, in health units	Yes, employees use on-site health unit	Yes, private space is provided	Yes, current health room at Headquarters is private	Yes
On-site Defibrillators	Yes	Yes	Yes	Yes	Yes	Yes
On-site Fitness Center	Yes, at Headquarters; employees pay \$20/mo, \$50/quarter, \$90 semi-annually, or \$150 annually.	Yes, at some locations; employees pay \$4 per pay period	Yes; no fee charged to employees	Yes, at Central Office. In Regions, where free fitness facility is not available, fees/costs are subsidized or reimbursed.	Yes, at Headquarters; no fee charged to employees and on-site exercise classes are subsidized by agency wellness program.	Yes (DC only); no fee charged to employees.

WORK/LIFE PROGRAMS - COMPARISON CHART – 2012						
Programs	OCC	FDIC	Fed Reserve	NCUA	Farm Credit	FHFA
Enhanced Leave Policies	No, follow OPM ⁴ and FMLA ⁵ regulations. All executives may carry over per yr up to 720 hrs of annual leave.	Up to 12 mos. LWOP for personal needs or hardships	Follow FMLA, but allow substitution of up to 12 weeks sick or annual leave. Employee annual leave carryover is 360 hrs. Employees with more than 360 hrs at year end will be paid in one lump sum for up to 40 hrs (staff) or 80 hrs (execs) of leave in excess of 360 hrs. Two floating holidays per year; used for any purpose in full-day increments.	No, follow OPM and FMLA regulations Senior Staff (SSP) may carry over up to 720 hours of annual leave per year.	Sick leave for newborn/adoption bonding and 160 hrs. of sick leave for family care/funeral arrangements	No, follow OPM and FMLA regulations
Reimbursement for Physical Exams	Yes, every year up to \$200 (\$300 for executives) for out-of-pocket expenses. Employees choose doctor or facility.	No, however, annual screenings for mammography, prostate, cholesterol, blood pressure, and bone density are available at various times throughout the year.	No, however, contracted physician performs preventive health screenings on a voluntary basis for employees age 35 and over. Also offer cholesterol, blood pressure, glucose, hemocults, bone density (fee) and more.	Yes, every three years for employees age 35-39; every two years for employees age 40-49; every year for employees age 50 and older. Employees may use contracted provider or personal physician.	No, but see agency contribution to flexible spending accounts, which can be used to reimburse out-of-pocket expenses.	Expenses can be claimed under Wellness Benefit.

¹ Flexible work schedules include the following:

- Flexitour - the employee, with supervisory approval, decides on his or her starting time.
- Gliding schedule - the employee may vary starting times within flexible time bands, without prior approval.
- Variable day - the employee may vary the length of the workday, within parameters, if present during core hours. The employee must fulfill the basic work requirement of 40 hours per week.
- Variable week - the employee may vary the length of the workweek, as long as the basic work requirement of 80 hours biweekly, or a multiple thereof, is fulfilled.
- Maxiflex - the employee may vary the length of the workday and workweek, as long as the basic work requirement of 80 hours biweekly, or a multiple thereof, is fulfilled. Core hours may be designated for less than 10 workdays per biweekly period.

² Not a national program. Transportation subsidy provided by Fed Board of Governors to Washington, D.C. employees. Others, if any, would be administered by regional banks.

³ Not a national program. Banks are run independently and have differing programs in terms of eligibility and compensation.

⁴ OPM regulations allow employees to use 104 hours of sick leave for family care/funeral arrangements. Employees are entitled to use up to 12 weeks of accrued sick leave each year to care for a family member with a serious health condition. Up to 240 hours of sick leave may be advanced.

⁵ The Family and Medical Leave Act of 1993 allows employees to take up to 12 weeks unpaid leave for newborn/adoption care, care for family member with serious health condition, and if employee is unable to work due to a serious health condition. Updated in 2008 to include additional options when a family member is in the Armed Forces.

Long-Term Workforce Plan

2019-2024



Maintaining our capacity to deliver...

The Farm Credit Administration's mission is to ensure a safe, sound, and dependable source of credit and related services for all creditworthy and eligible persons in agriculture and rural America. We do this in two ways:

- By creating regulations for FCS institutions to follow
- By examining FCS institutions to ensure their compliance with the Farm Credit Act of 1971 (as amended), FCA regulations, and safe and sound banking practices

FCA's workforce plan (2019-2024) sets out the strategies for recruiting and maintaining a workforce that has the capacity to meet the needs of our stakeholders. The plan is the result of a comprehensive analysis of the factors influencing FCA's workforce and addresses these factors through building FCA's workforce capability and capacity.

The plan, which captures our long-term workforce strategies that will guide our long-term direction, will allow us to:

- **Recruit**
- **Select**
- **Develop, Engage and Retain**

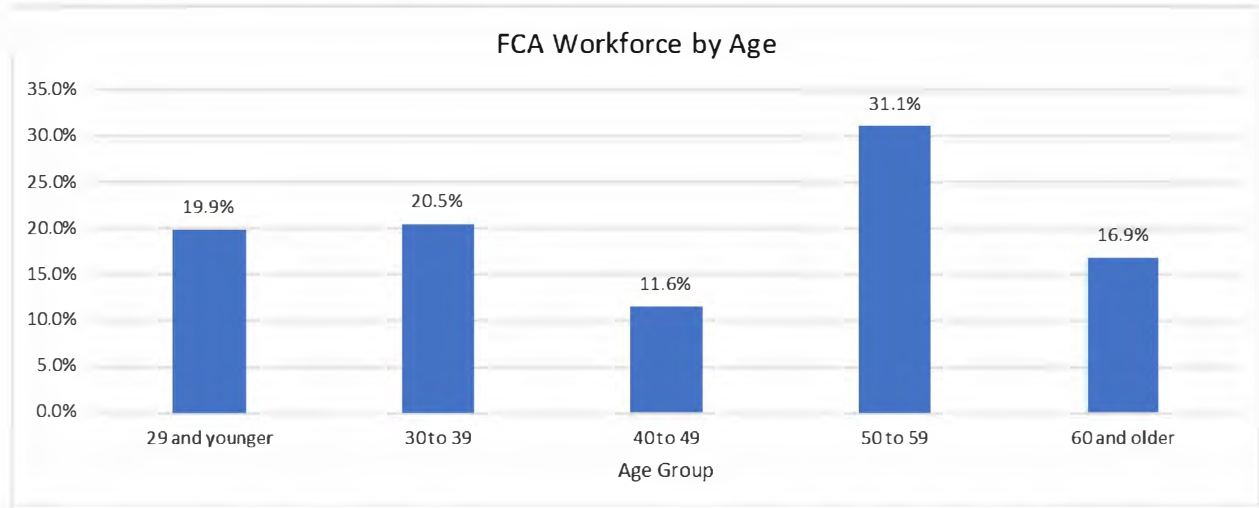
Our workforce of the future...



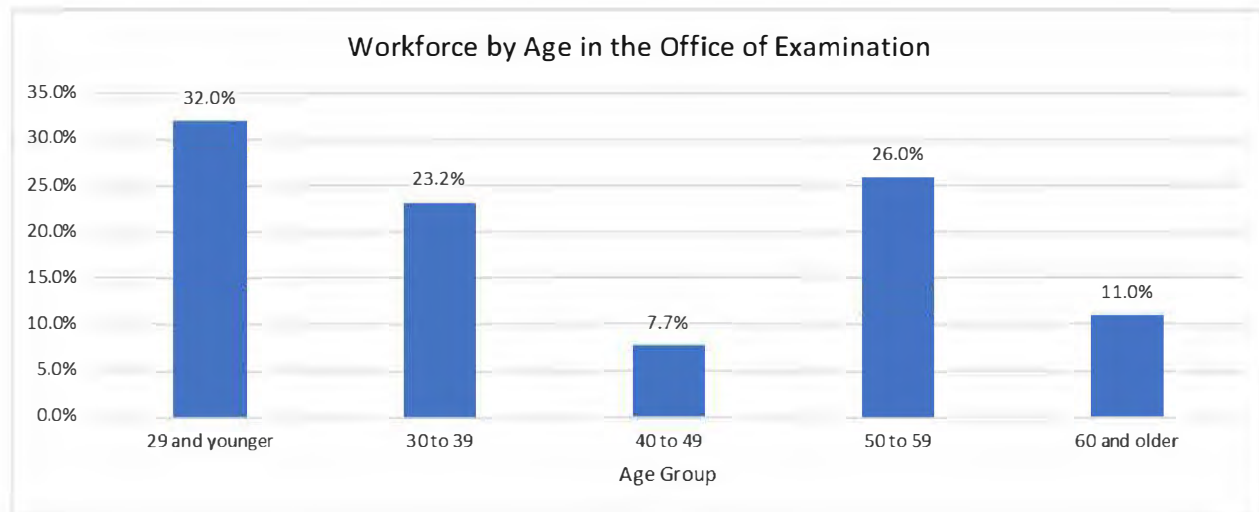
Our workforce...

Age Demographics

FCA has a highly skilled, seasoned workforce of approximately 300 employees. Almost half (48%) of our workforce is 50 years or older.



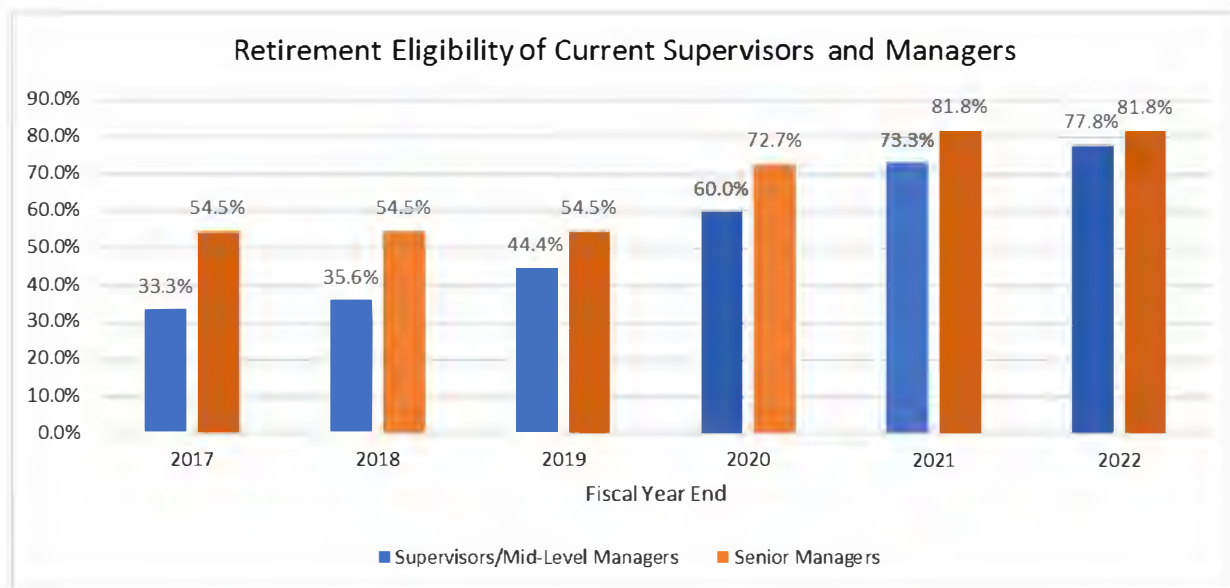
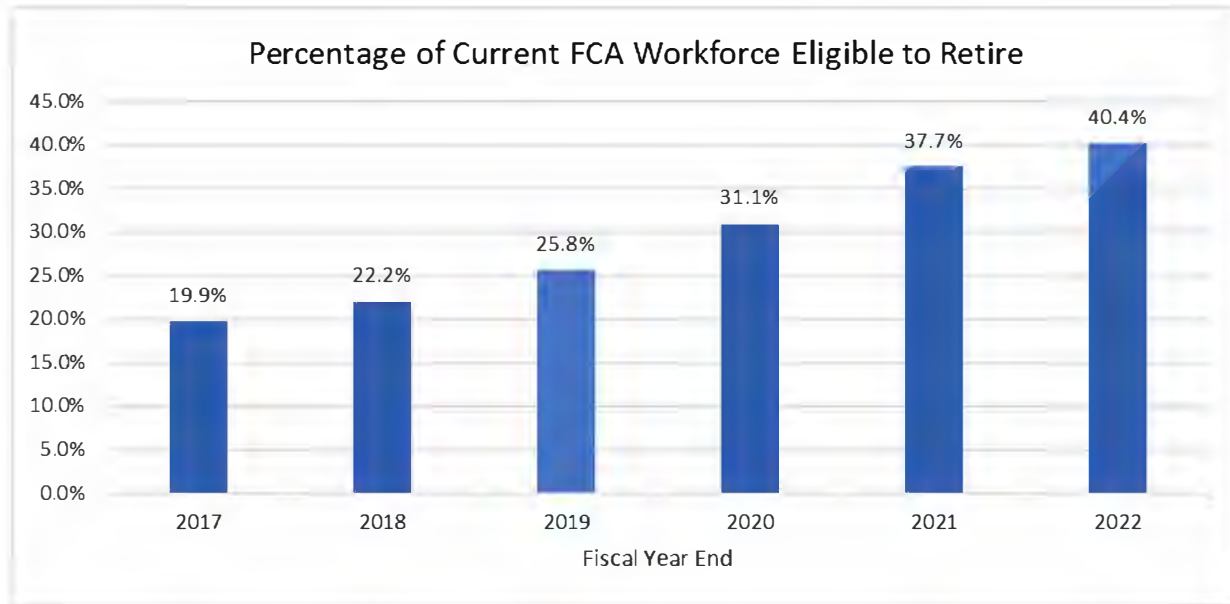
Sixty percent of our workforce is in the Office of Examination (OE). More than half (55.2%) of OE's workforce is under age 40.

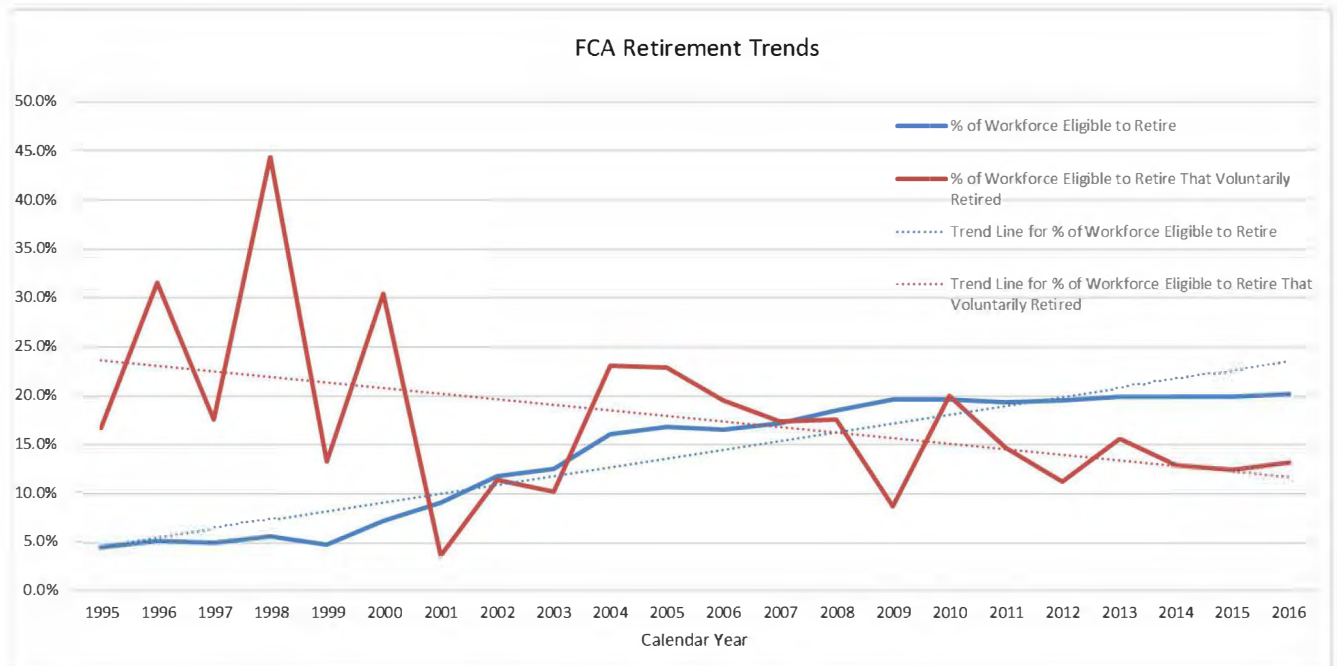


Our workforce...

Retirement Eligibility

At the end of fiscal year 2017, 19.9 percent of FCA's workforce will be eligible to retire. Over the next five years that percentage will approximately double to 40.4 percent.



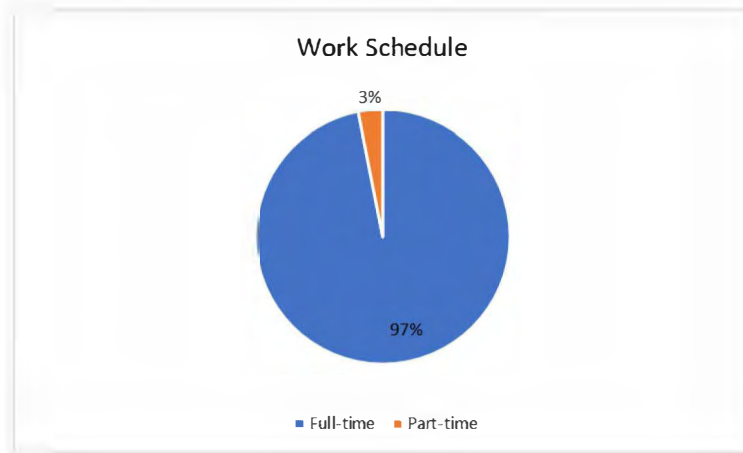


Over the past 30 years, the percentage of FCA employees eligible to retire has quadrupled. FCA's retirement-eligible employees are choosing to work more years once they become eligible for retirement than they did in the past.

Our workforce...

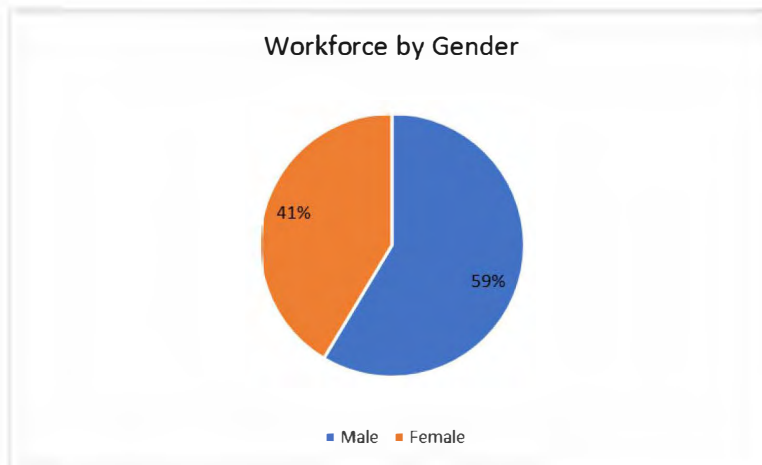
Full-time/Part-time

Our workforce is composed primarily of full-time staff.



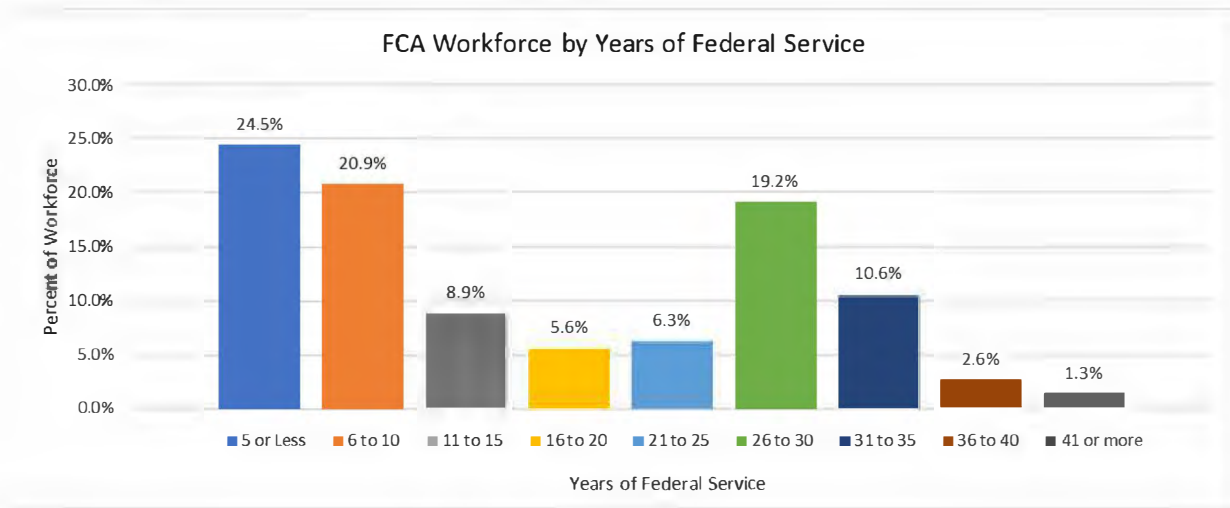
Gender Profile

The gender ratio for FCA's workforce is shown below.

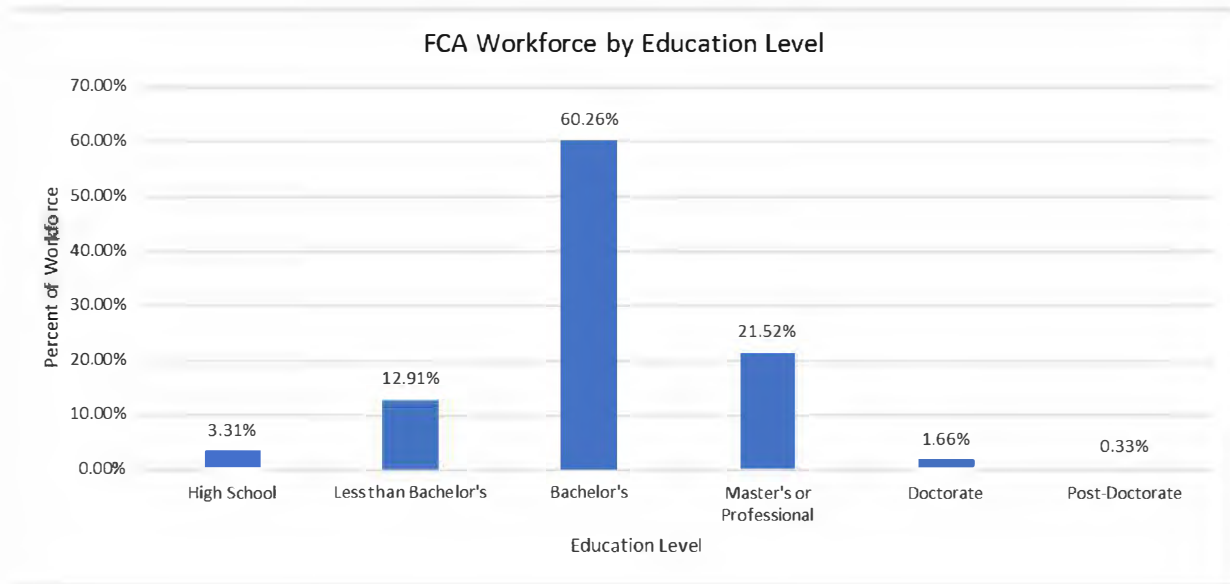


Our Workforce...

Length of Service

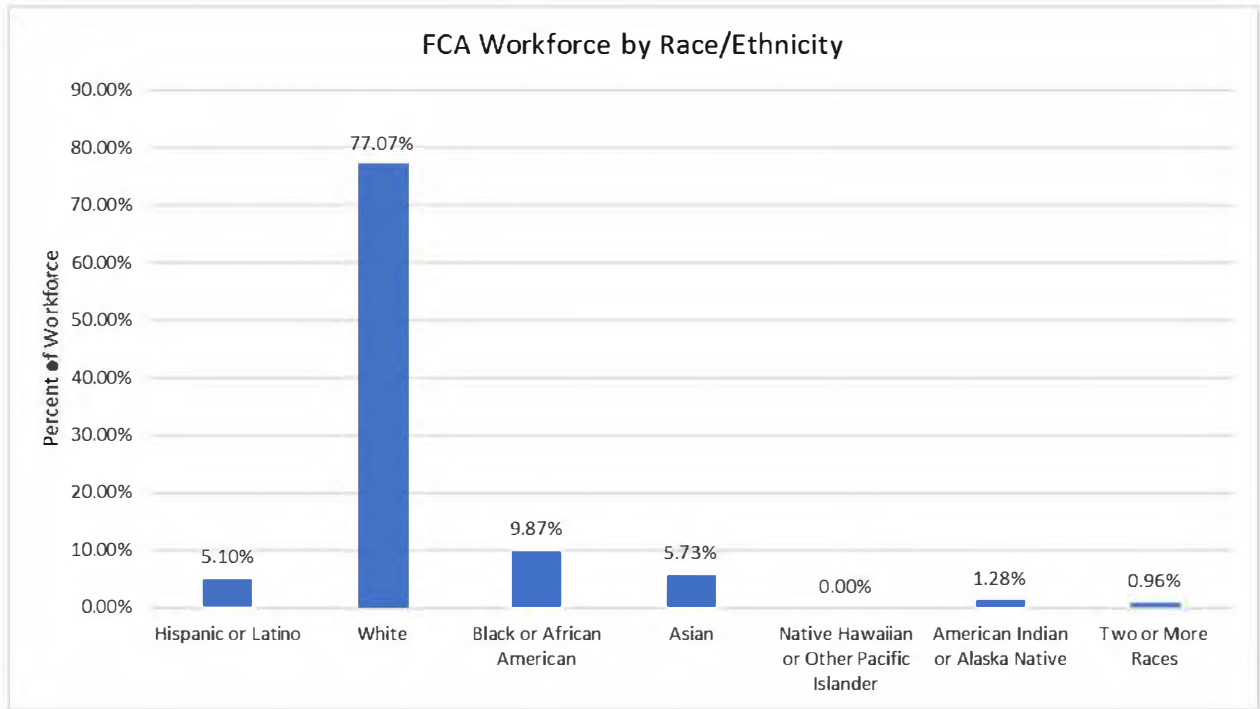


Educational Profile



Our workforce...

Race, National Origin, Ethnicity Profile



Key focus areas of our workforce plan...

- **Recruit** a diverse workforce.
- **Select** a highly capable and diverse workforce with the capacity to deliver on FCA's mission.
- **Develop** our workforce, individually and collectively, to meet the present and future needs of our stakeholders.
- **Engage and Retain** our workforce by offering a competitive “total rewards” program, listening to employees, identifying challenges, and working together to develop and implement solutions.



Recruit

This will be achieved by:

- Working with our Recruitment Committee to ensure that our recruitment policies and practices are effective and inclusive
- Diversity networking
- Holding virtual and on-campus career fairs
- Attracting a sufficient number of candidates for advertised vacancies
- Promoting FCA's commitment to equal employment opportunity and diversity & inclusion
- Promoting easy access to information about FCA's mission-critical occupations, as well as other occupations
- Conducting a barrier analysis of the recruitment process to ensure that we track and know where to find a diverse pool of candidates

We will measure success by:

- Timely recruitment and selection
- A diverse applicant pool with representation of people from culturally diverse backgrounds and people with disabilities



Select

This will be achieved by:

- Utilizing a multiple-hurdles selection process, including reference checks
- Choosing the best candidate for the position based on the outcome of the multiple-hurdles approach
- Conducting a barrier analysis of the selection process to identify the root causes of selection disparities so that we can take action to remedy the policies, procedures, and practices that lead to such disparities

We will measure success by:

- Timely selection of quality candidates
- A diverse workforce with representation of people from culturally diverse backgrounds and people with disabilities



Develop, Engage and Retain

This will be achieved by:

- Engaging new hires through a modernized onboarding process
- Developing high performing leaders
- Delivery of mission-centered learning
- Rewards and recognition programs linked to mission accomplishment
- Ongoing diversity and inclusion programs designed to reinforce a positive workplace

We will measure success by:

- Qualitative feedback from new hires about the effectiveness of their on-boarding experience
- The annual Federal Employee Viewpoint Survey
- Employee feedback received through the Agency's training request database
- For instructor-led programs, end-of-course feedback from participants



Long-Term Workforce Plan

2020 - 2024



Maintaining our capacity to deliver...

The Farm Credit Administration's mission is to ensure a safe, sound, and dependable source of credit and related services for all creditworthy and eligible persons in agriculture and rural America. We do this in two ways:

- By creating regulations for FCS institutions to follow
- By examining FCS institutions to ensure their compliance with the Farm Credit Act of 1971 (as amended), FCA regulations, and safe and sound banking practices

FCA's workforce plan (2020 - 2024) sets out the strategies for recruiting and maintaining a workforce that has the capacity to meet the needs of our internal and external stakeholders. The plan is the result of a comprehensive analysis of the factors influencing FCA's workforce and addresses these factors through building FCA's workforce capability and capacity.

The plan, which captures our workforce strategies intended to guide our workforce management efforts, will support us in:

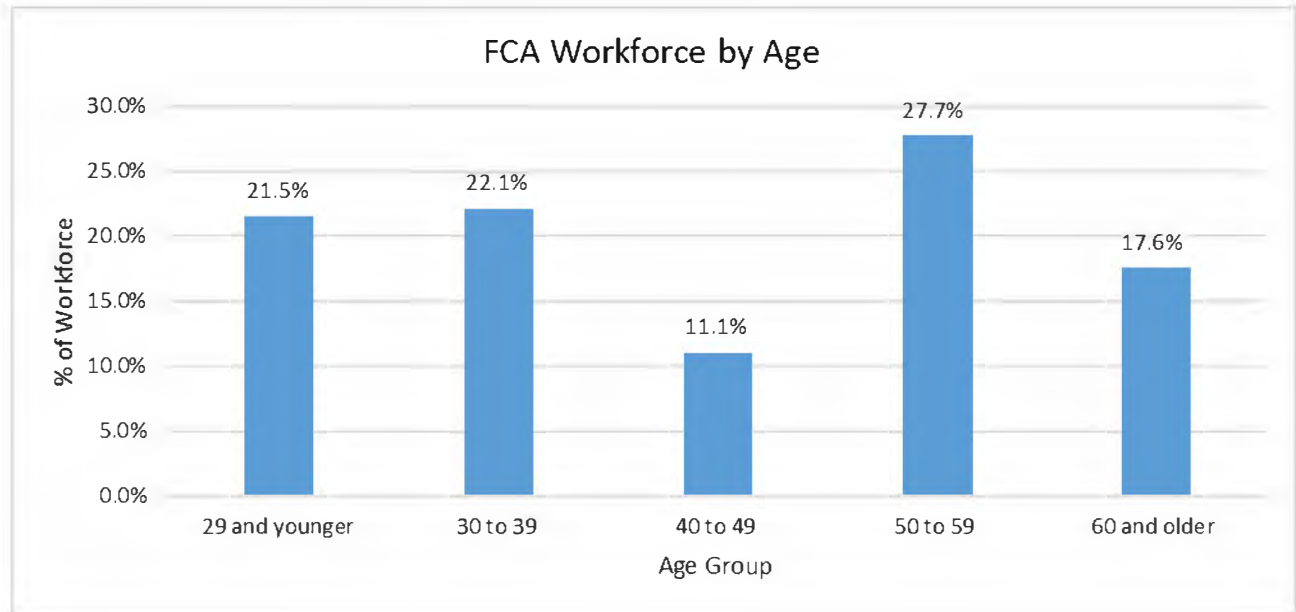
- **Recruiting** from diverse sources to attract highly-qualified candidates;
- **Selecting** talented candidates for vacancies;
- **Developing** high-performing team members with the required knowledge, skills and abilities; and
- **Engaging and Retaining** a high-performing workforce that drives the agency's successful mission accomplishment.

A closer look at our workforce ...

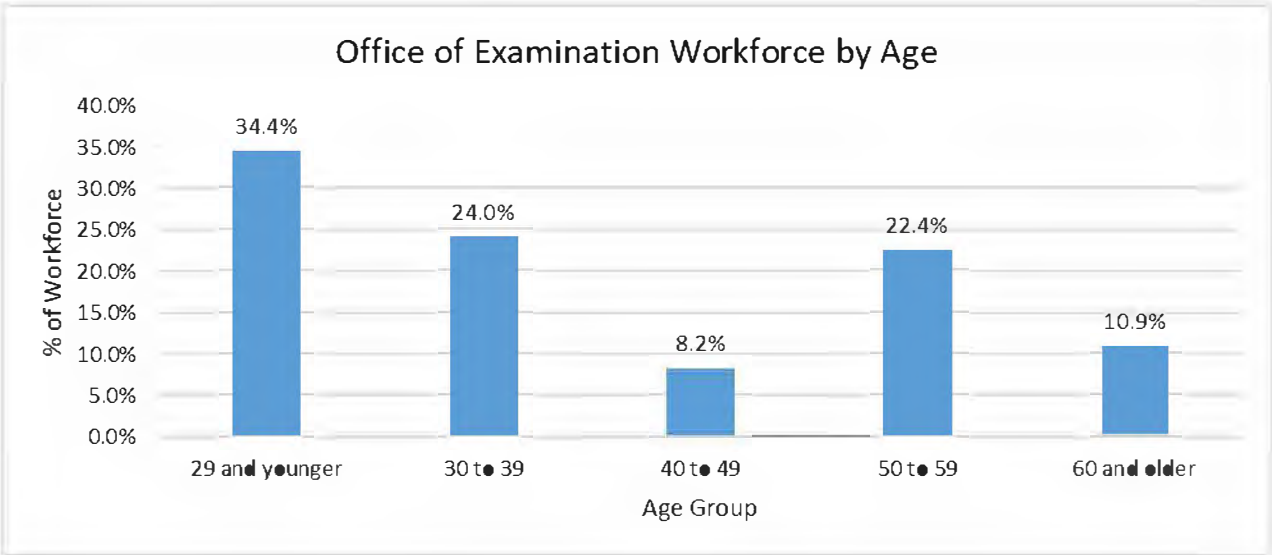


Age Demographics

FCA is fortunate to have five generations in our workforce. This is a tremendous benefit when building a talent succession pipeline and optimizing the knowledge transfer process. As reflected in the chart below, there are almost equal number of FCA employees in those aged 50 and older (45.3%) and those aged 39 and younger (43.6%). The age grouping with the fewest employees is 40 to 49 at 11.1%.

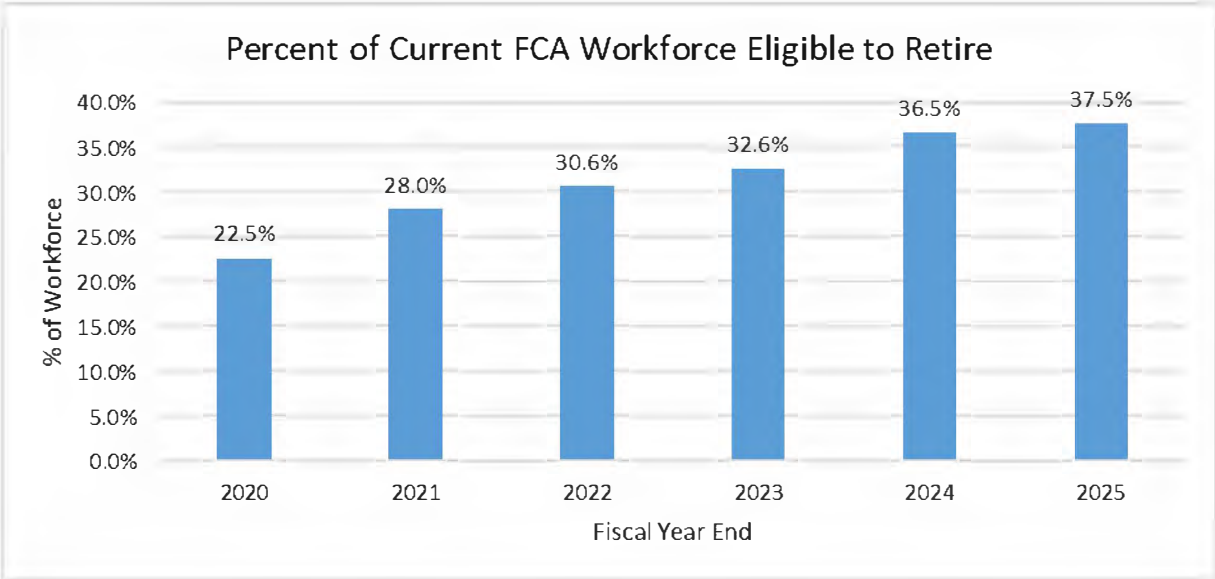


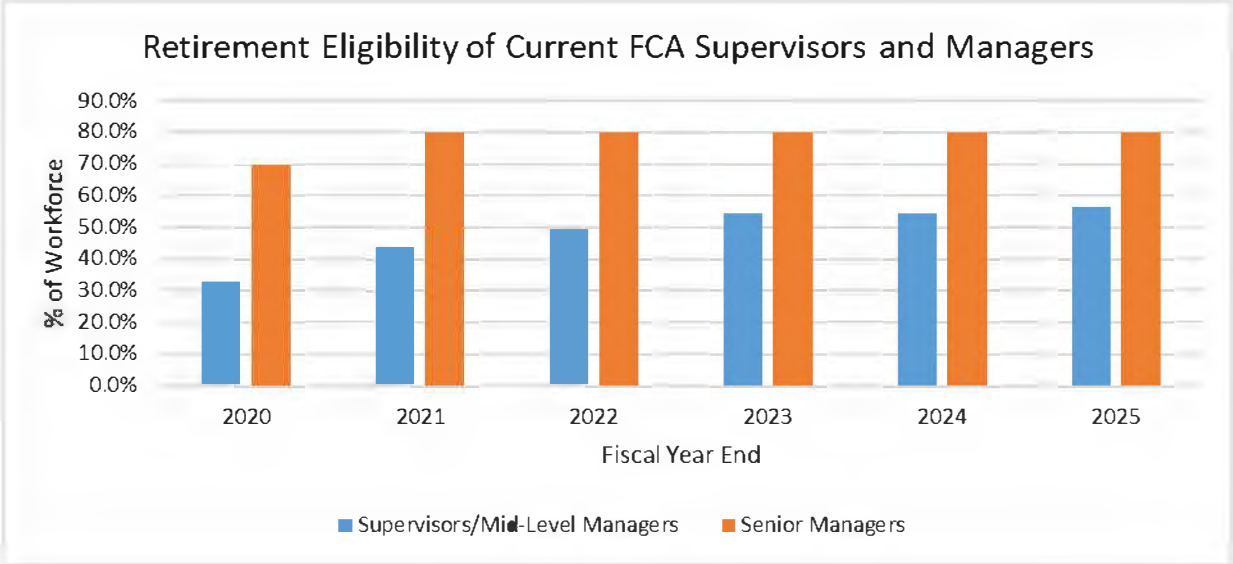
Given that the Office of Examination (OE) comprises 60% of our workforce, a closer examination of its demographic profile is warranted. More than half (58.5%) of OE's workforce is under age 40.



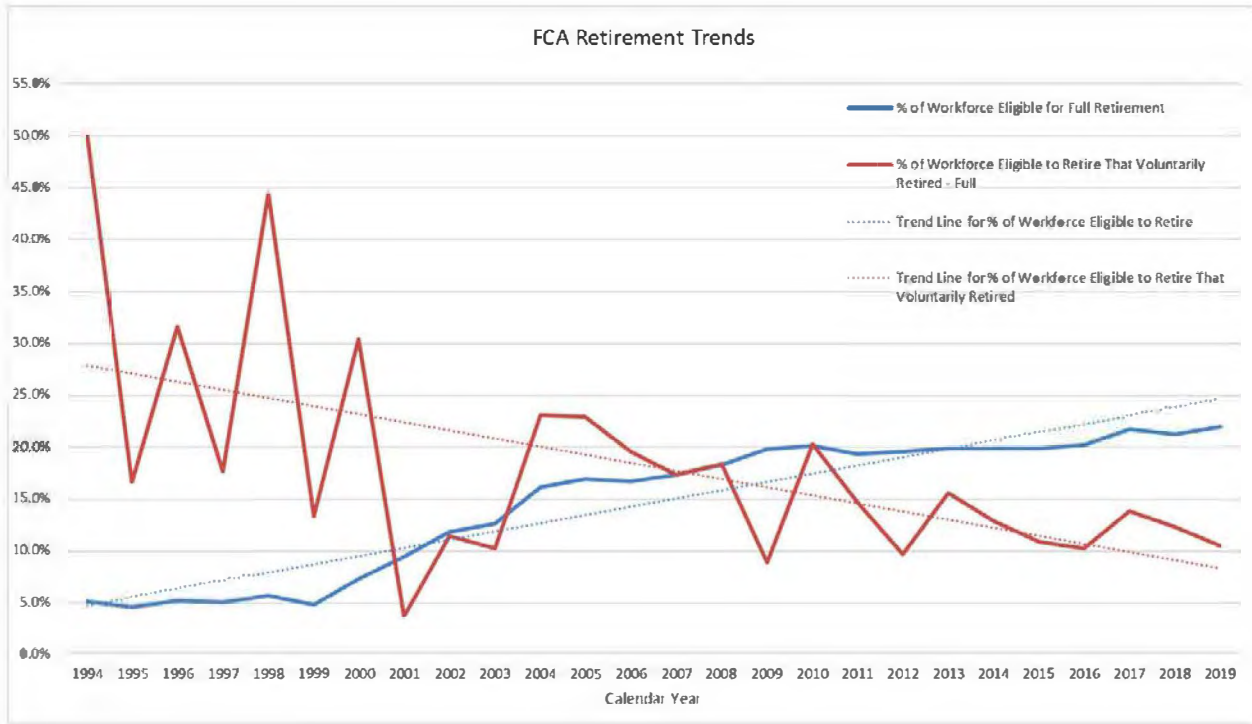
Retirement Eligibility

At the end of fiscal year 2020, 22.5% of FCA’s workforce will be eligible to retire. That number grows to 37.5% over the next five years.



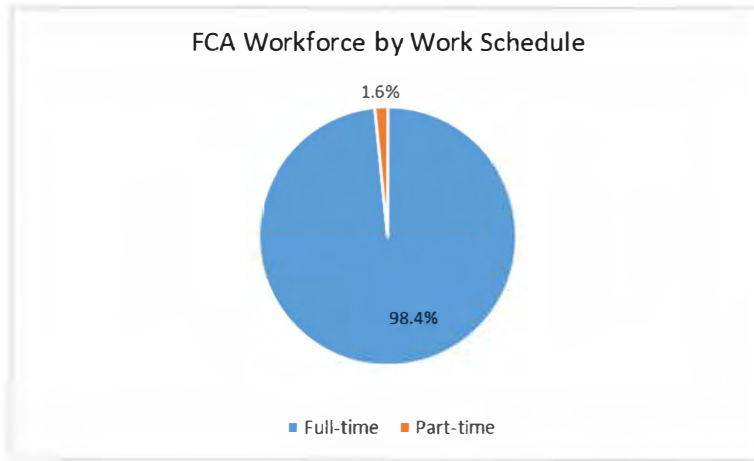


Over the past 30 years, the percentage of FCA employees eligible to retire has quadrupled. And, there has been a continuing trend of employees working years beyond their retirement eligibility dates.



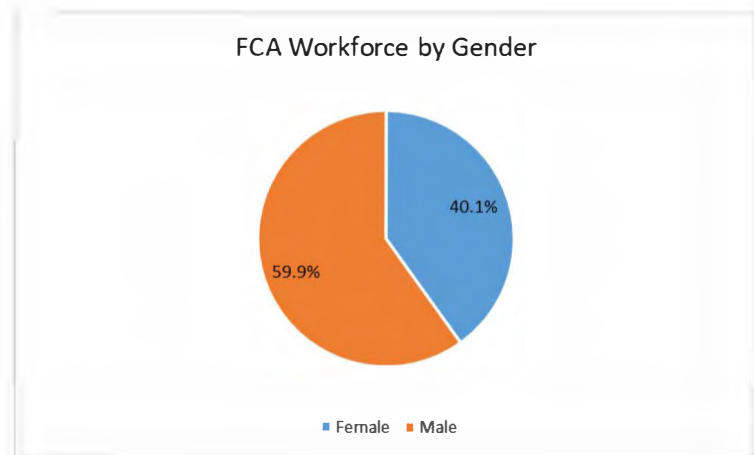
Full-time/Part-time

Our workforce is composed primarily of full-time staff.



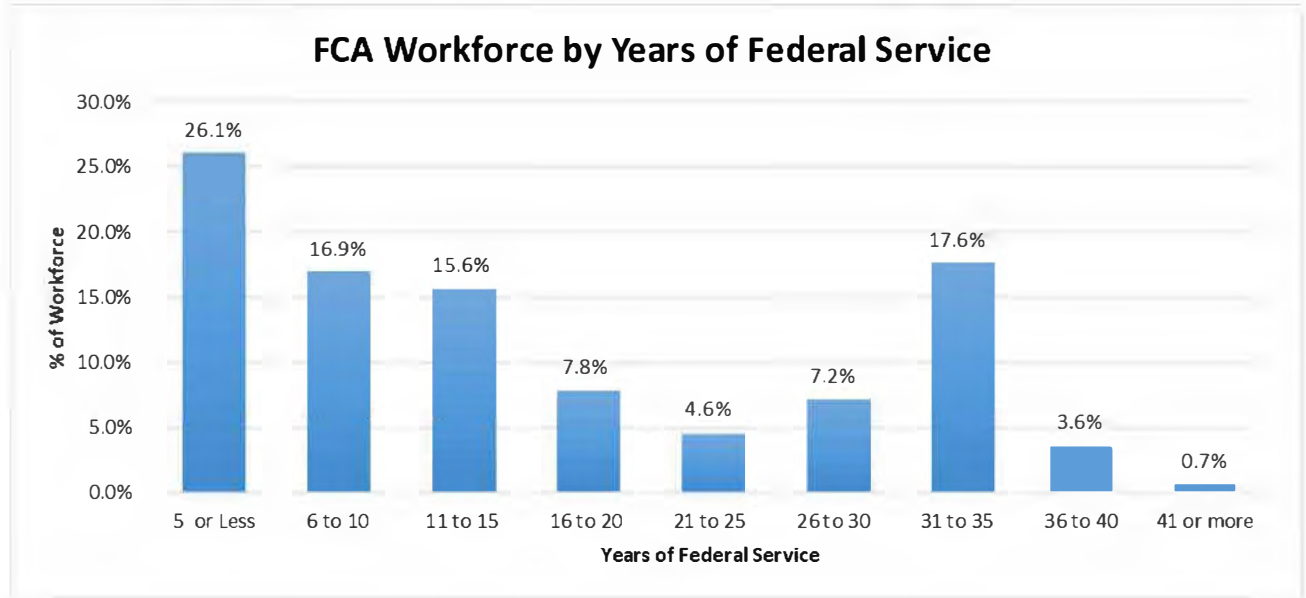
Gender Profile

The gender ratio profile for FCA's workforce is shown below.



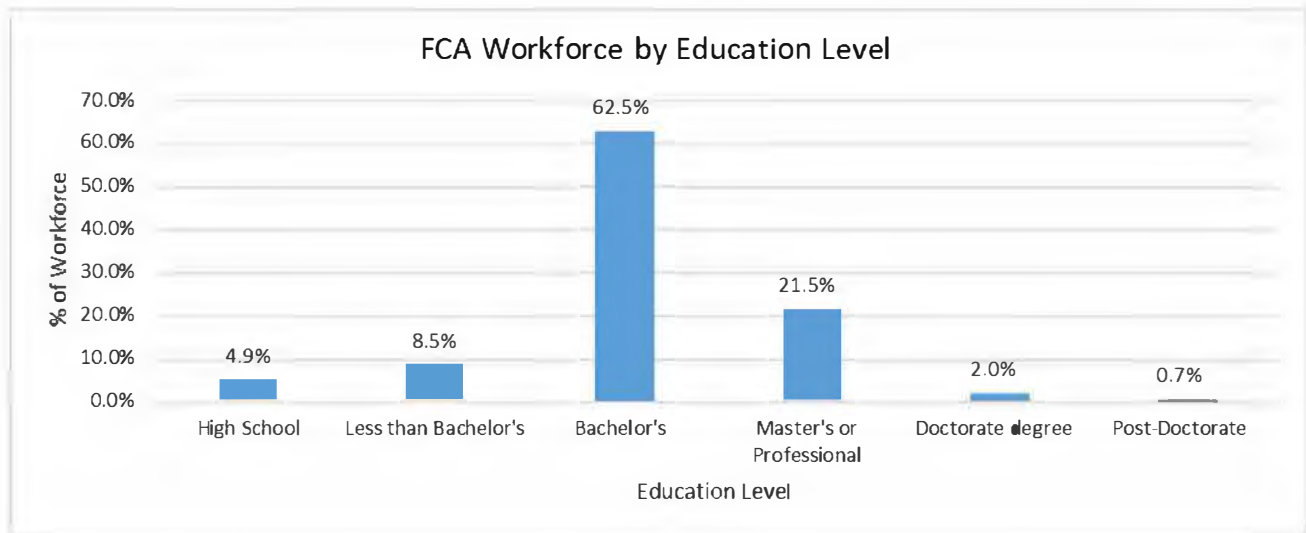
Length of Service

Approximately 58% of the workforce has 15 or fewer years of federal service, with 26.1% having five or fewer years.



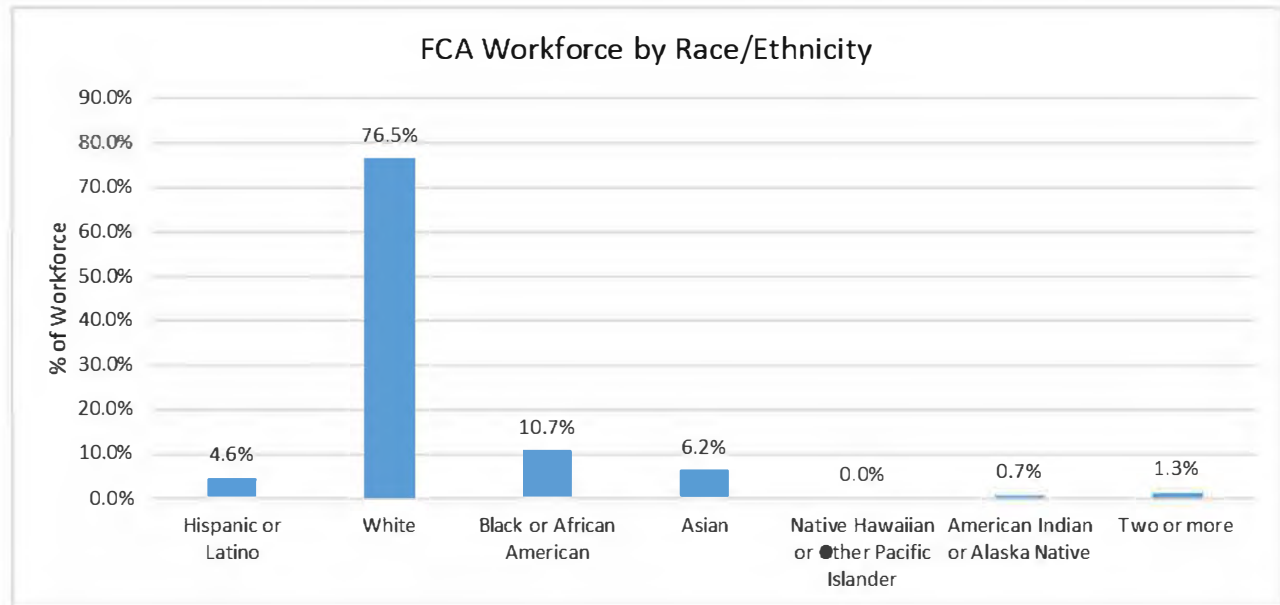
Educational Profile

Almost 87% of employees have a degree as reflected in the chart below.



Race, National Origin, Ethnicity Profile

The chart below reflects the agency's diversity profile as of September 30, 2020.



A recent trend analysis covering the decade 2008 through 2018 revealed that the Farm Credit Administration (FCA) has become increasingly diverse. From 2008 to 2018, FCA increased staffing by 18% (from 263 employees in 2008 to 310 employees in 2018). During this same period, FCA increased the number of minority employees by 82%, from 45 in 2008 to 82 in 2018. There were three predominant groups contributing to the increase:

- Asian employee representation increased by 75% (from 12 employees in 2008 to 21 employees in 2018).
- Black/African American employee representation increased by 71% (from 21 employees in 2008 to 36 employees in 2018).
- Hispanic/Latino employee representation increased by 129% (from 7 employees in 2008 to 16 employees in 2018).

Key focus areas of our workforce plan...

The workforce data from the previous section informs a set of agency actions in the categories mentioned earlier: **recruiting, selecting, developing, and engaging and retaining**. Recent organizational analyses and workforce surveys also factor into our planned activities that are covered on the following pages for each of these categories.



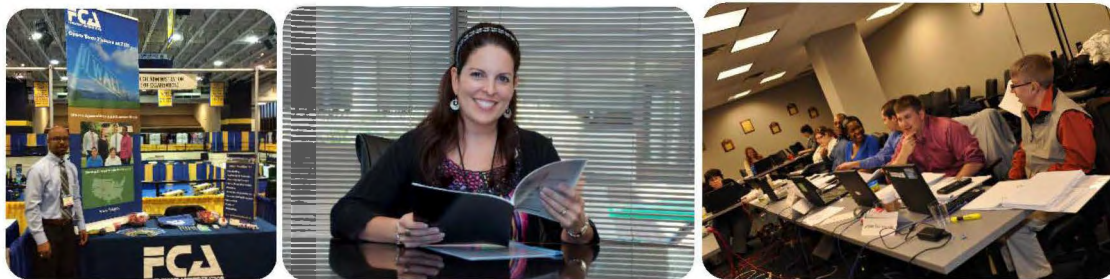
Recruiting

From FY14 to FY18, 143 employees separated from FCA, ranging from 25 to 32 employees per year. The average attrition rate has been approximately 9.2%, with an approximate 2.8% retirement rate. Over the same period, FCA hired 170 employees. This level of attrition requires vigilance to maintain recruiting plans, candidate pools, and new hire pipelines. We will take the following actions:

- Work with our recruiters and managers to ensure that our recruitment policies and practices are effective and inclusive
- Continue networking with a diverse set of professional organizations
- Hold virtual and on-campus career fairs at minority-serving institutions
- Promote FCA's commitment to equal employment opportunity and diversity and inclusion
- Highlight enhanced employee benefits
- Conduct process analyses to identify improvement opportunities

We will measure our success by:

- Demographic analysis of applicants
- Analysis of time-to-hire, with a 60-day goal for complete cycle hiring time



Selecting

FCA employs a cadre of talented and motivated staff. To ensure we continue to select the best and the brightest for our vacancies, we will take the following actions:

- Continue to assess staffing needs, sunset functions no longer required, offer development options to those impacted by the conclusion of those functions, and identify new staffing requirements
- Foster transparency and inclusiveness in the selection process, to include using selection panels and behavioral interviews
- Analyze selection panel data to ensure equitable and fair treatment of all candidates
- Update policies and procedures, as necessary to foster consistency in approach and to leverage organizational best practices

We will measure our success by:

- Annual demographic analyses with trends over time to reflect equitable representation of employees with diverse backgrounds and experiences, to include individuals with disabilities and veterans
- Hiring manager feedback on their satisfaction with the services and support they receive to fill vacancies



Developing

FCA provides staff and leaders with a variety of internal and external training opportunities, including the commissioning process within OE, development programs, online training and access to and budget for taking external courses. We will take the following actions to ensure we continue to meet the developmental needs of our employees:

- Enhance the onboarding process
- Implement a leadership readiness program to provide aspiring leaders the necessary skills and experiences in preparation for team lead, supervisory and management positions
- Provide developmental opportunities and training to current supervisors and leaders to enhance their skills
- Expand team-based developmental learning to build knowledge across offices and provide experiential learning opportunities to staff to broaden and deepen expertise

We will measure our success by:

- Qualitative feedback from new hires about the effectiveness of their on-boarding experiences
- Employee feedback received through the Agency's training request database
- Analysis of the training-related questions from the FEVS
- For instructor-led programs, end-of-course feedback from participants



Engaging and Retaining



FCA has consistently been named as one of the best places to work in the federal government (small agencies) and has had high Federal Employee Viewpoint Survey (FEVS) results. With a 2019 employee engagement score of 81.1%, many employees noted that the family friendly atmosphere, benefits, support for professional development and flexible work environment are factors that contribute to their strong engagement. Further, attrition rates at FCA have been relatively consistent, and the agency has successfully hired staff to replace losses and fill in new positions.

To ensure we remain one of the best places to work in the federal government and retain our talented workforce, we will take the following actions:

- Maximize worklife balance flexibilities, leveraging lessons learned from the agency's response to the pandemic
- Ensure rewards and recognition programs are linked to mission accomplishment
- Afford additional opportunities for staff to engage senior leaders
- Administer pulse surveys to timely assess staff perceptions on organizational initiatives

We will measure our success by:

- Analysis of the NewIQ and Global Satisfaction indices on the FEVS
- Results from pulse surveys
- Analysis of exit survey data, with implementation of improvement initiatives to enhance retention