Mission Area:		Agency:	
HUMAN CAPITAL STANDARDS for SUCCESS / Critical Success Factors Elements of 'YES' and Performance Indicators		**Rating YES or NO**	**If YES:** specify validating document(s) / location / responsible party **If NO:** identify implementing project(s), goal, etc., priority (high, medium or low), and target completion year. If not applicable, mark N/A.
1	**Agency Human Capital Strategy is aligned with mission, goals and organizational objectives and integrated into its strategic plans, performance plans and budgets. (STRATEGIC ALIGNMENT)**		
1.a	**Human Capital Focus.** The agency designs a coherent framework of human capital policies, programs, and practices to achieve a shared vision integrated with the agency's strategic plan.		
1.a.1	**Does the agency's strategic plan establish an agency-wide vision that guides human capital planning and investment activities?**		
1.a.1.a	The agency has designed human capital performance improvement goals that support mission accomplishment.		
1.a.1.b	The strategic plan sets human capital progress milestones and identifies those responsible for meeting them.		
1.a.1.c	Published and approved human capital planning documents describe human capital goals, objectives, investments, and strategies that are linked to the agency strategic plan.		
1.a.1.d	Agency annual performance plan and budget request include human capital activities and investments.		
1.a.1.e	Annual performance review tracks human capital activities and investments.		
1.a.2	**Does the agency have a system in place to continually assess and improve human capital planning and investment and its impact on mission accomplishment?**		
1.a.2.a	The agency has documented processes that show how members of the human capital review group are included in the development of agency strategic plan.		
1.a.2.b	The agency has a documented change management/implementation process that identifies necessary human capital practices that facilitate the change.		
1.a.3	**Are managers held accountable for effective implementation of human capital plans and overall human capital management?**		
1.a.3.a	Agency policy, programs, and planning documents communicate accountability and responsibility for human capital strategies and human capital management.		
1.a.3.b	Senior leaders' and managers' annual performance reviews include human capital partnering as a critical element to be measured.		
1.a.3.c	Management performance evaluations contain measurable objectives and evidence of success in the management of human capital.		
1.b	**Government-wide Human Capital Collaboration.** To leverage its efforts, the agency works with others to share best practices and learn about new developments.		
1.b.1	**Does the agency look beyond its own experience and resources when developing human capital strategies?**		
1.b.1.a	The agency uses government-wide benchmarks (e.g., staffing timeliness, Central Personnel Data File/FedScope, Government-wide Survey [GWS] responses) in setting human capital strategic goals.		
1.b.1.b	The agency participates in human capital managerial/professional/employee groups (e.g., the Human Resources Management Council, the Small Agency Human Resources Council).		
1.c	**Human Resources Collaboration.** Senior leaders, managers, human resources (HR) professionals, and key stakeholders contribute to the human capital vision and the agency's broader strategic planning process. HR professionals act as consultants with managers to develop, implement, and assess human capital policies and practices to achieve the organization's shared vision.		
1.c.1	**Are human resources professionals and key stakeholders involved in the agency strategic and workforce planning efforts?**		
1.c.1.a	HR staff conducts analysis of workforce studies in collaboration with managers and the data are used for decision-making.		

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1.c.1.b	Documents substantiate involvement of key human capital leaders and key stakeholders in the planning process (e.g., team charters of review boards, working groups, or executive off-sites).		
1.c.2	**Is the HR function adequately staffed and prepared, in competencies and resources, to actively partner and consult with line managers?**		
1.c.2.a	Agency conducts HR staff development needs-assessment studies to identify competency gaps and recruits and trains staff to fill those gaps.		
1.c.2.b	HR staff conducts program reviews, customer surveys, and regular assessments of information systems and other support functions to identify areas for continuing improvement.		
1.c.2.c	Agency utilizes an HRIS that promotes employee self-service and manager access.		
1.c.2.d	Analysis of staffing levels includes considerations such as HR servicing ratio, HR staff distribution by series/grade, HR staff average grade/age/length of service, education level, retirement eligibility, HR supervisory ratio, and ratio of personnel actions to personnel staff.		
1.c.3	**Does the HR staff reach out to other organizational functions and components through facilitation, coordination, and counseling to provide integrated mission support?**		
1.c.3.a	The HR staff has assessed customer needs and developed functions and services to support and fulfill those needs.		
1.c.3.b	The HR staff involves line functions in program review and/or development.		
1.c.3.c	GWS and/or other surveys or interviews indicate that the HR staff are viewed as internal consultants.		
1.c.3.d	Formal program review, policy approval, and management oversight group exists.		
1.c.3.e	Policies describe the process and procedures for communicating customer issues, resolving customer dissatisfaction and handling customer comments.		
1.c.3.f	HR staff measures and communicates the value of provided products and services.		
2	**Agency is citizen-centered, delayered and mission-focused, and leverages e-government and competitive sourcing. (WORKFORCE PLANNING and DEPLOYMENT)**		
2.a	**Workforce Planning.** The agency has an explicit workforce planning strategy, linked to the agency's strategic and program planning efforts, to identify its current and future human capital needs, including the size of the workforce, its deployment across the organization, and the competencies needed for the agency to fulfill its mission. The efforts are geared to creating a citizen-centered, results-oriented, market-based organization.		
2.a.1	**Does the agency approach workforce planning strategically, basing decisions on mission needs and customer expectations, workload, and workforce?**		
2.a.1.a	Position management is reviewed at the strategic level to ensure organizational efficiency and effectiveness.		
2.a.1.b	Workflow redesigns are based on strategic assessment of achieving the mission.		
2.a.1.c	Organizational units are structured around work-flows rather than functions.		
2.a.1.d	Key supporting functions for all business areas are documented and assessed.		
2.a.1.e	Management has required updated modeling for all business areas based on projected mission changes, technology advances, or other change drivers.		
2.a.1.f	Decisions for redeployment and reorganization are documented and substantiated with empirical evidence.		
2.a.1.g	Agency has strategies for workforce planning that outline roles, responsibilities, and other program requirements to include frequency of reviews. Established performance measures are tracked and regularly updated and trends are analyzed.		
2.a.1.h	Agency uses workforce planning reports and studies to assess the organization's deployment strategies.		

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2.a.1.i	Agency uses management studies such as workflow redesign to eliminate non-value added work and interfaces.		
2.a.1.j	Agency uses best practice benchmarks for assessing workloads and resources.		
2.a.1.k	Customer requirements for workforce planning support and services are evaluated regularly and functions reevaluated based on those findings.		
2.a.1.l	Turnover indicators (e.g., transfers, retirements, and separations in each of the last 5 years, overall, and by professional and administrative occupations) are monitored		
2.a.2	**Are workforce strategies based on identified current and future human capital needs, including size and deployment of the workforce and the competencies needed to carry out the mission?**		
2.a.2.a	Published strategic workforce plan includes mission-critical positions, current needs, projected business growth, future needs by competency and number, and basic plan to close the gaps identified.		
2.a.2.b	Staffing data showing trends in appointments, promotions, conversions, separations, and retirements are analyzed regularly.		
2.a.2.c	Review of demographic data and management decisions based on HR staff recommendations are documented.		
2.a.2.d	Analysis of workforce demographics includes indicators such as size, distribution of workforce (including SES) by grade/series/geographic locations, types of positions occupied, pay plan, veterans' representation, gender, Race and National Origin (RNO) representation, average age, average grade, etc.		
2.a.2.e	Agency conducts regular assessments regarding the effectiveness of SES allocation process.		
2.a.3	**Does the agency effectively deal with barriers (statutory, administrative, physical, or cultural) to restructuring efforts?**		
2.a.3.a	Documentation of impediments, if there are any, recourse, and outcomes are on hand.		
2.a.3.b	Solutions within the current environment (Title 5 and/or other appropriate systems) are identified and utilized.		
2.a.3.c	Agency has made a sound business case for any waivers, exemptions, or regulatory or legislative relief it may have requested.		
2.b	**Workforce Deployment.** The workforce is ideally positioned, both geographically and organizationally, to serve citizens and accommodate the unique nature of the agency in meeting its mission and goals.		
2.b.1	**Do the human capital strategies target excess organizational layers (vertical) or redundant operations (horizontal) to eliminate unwarranted duplication?**		
2.b.1.a	Agency human capital plan includes specific areas targeted for workforce redeployment.		
2.b.1.b	Documentation of initiatives shows review, planning, design, and, if applicable, implementation and outcome of efforts to realign the workforce.		
2.b.1.c	Analysis of data includes statistics such as ratio of administrative jobs (e.g., administrative officer, budget analyst, budget clerk, management analyst, personnel clerk, personnel professional, support services) to workforce, distribution of administrative jobs by organizational component and by geographical location, trends in numbers and proportions of administrative jobs.		
2.b.2	**Has the organization redirected supervisory positions to line functions to better meet customer needs?**		
2.b.2.a	Documentation exists of the need to redirect supervisory positions, of program design to support the redeployment, and of implementation plan and assessment of the outcome.		
2.b.2.b	Customer feedback on effort and results is obtained and considered.		

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2.b.2.c	Analysis of data includes statistics related to the number of supervisors, their geographical and organizational location, their series and grades, the ratio of supervisors to employees, percent of supervisors in grades GS-12-15 or equivalent, etc.		
3	**Agency leaders and managers effectively manage people, ensure continuity of leadership, and sustain a learning environment that drives continuous improvement in performance. (LEADERSHIP & KNOWLEDGE MANAGEMENT)**		
3.a	**Leadership Planning and Implementation (SES, Managers, and Supervisors).** The organization identifies leadership competencies, establishes objectives and strategies to address them, and defines performance expectations.		
3.a.1	**Does the agency ensure continuity of leadership through succession planning and executive development?**		
3.a.1.a	Workforce study and analysis on leadership are conducted.		
3.a.1.b	Formal succession planning or talent management program is in place and its impact is measured.		
3.a.1.c	Written leadership development strategy is tied to workforce analysis and strategic plan.		
3.a.1.d	Documented leadership competencies are tied to the Executive Core Qualifications.		
3.a.1.e	Documented and communicated leadership skill training program that includes all levels of supervisors, managers and potential leaders.		
3.a.1.f	A system exists to assess leadership competencies (e.g., identification of high potential candidates for candidate development programs or identification of development needs to be incorporated into individual development plans)		
3.a.1.g	Individual development plans for leaders and managers include formal and informal training.		
3.a.1.h	Leadership development program usage and impact are measured and analyzed.		
3.a.1.i	Policy and methodology for managing high-potential employees are documented.		
3.a.1.j	Measures of success are documented and tracked.		
3.a.1.k	Percentage of women, and minorities in career ladders (GS 5-7-9 or similar) is tracked and assessed.		
3.a.1.l	Analysis of workforce demographics (including SES) helps inform succession plans. Analysis includes data such as average grade/age/length of service, distribution of the workforce (by series, grade, gender, race/national origin, supervisory status), turnover rates, and retirement eligibility.		
3.b	**Change Management.** The agency has in place leaders who understand what it takes to effectively bring about changes that achieve significant and sustained improvements in performance.		
3.b.1	**Do leaders establish a clear vision for change and make necessary commitments to achieve results?**		
3.b.1.a	Annual performance plans, budgets, and performance reports document plans for and progress toward change goals.		
3.b.1.b	Individual performance plans rate leaders and managers on their implementation of change initiatives.		
3.b.1.c	Newsletters, intranet, and other agency media show efforts to share a vision for change.		
3.b.1.d	GWS and/or other climate surveys are conducted and analyzed and relevant results lead to change in strategy.		
3.c	**Integrity and Inspiring Employee Commitment.** Leaders maintain high standards of honesty and ethics that serve as a model for the whole workforce. Leaders promote teamwork and communicate the organization's shared vision to all levels of the organization, and seek feedback from employees. Employees respond by maintaining high standards of honesty and ethics.		
3.c.1	**Do 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?**		

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3.c.1.a	GWS and/or other employee climate surveys reflect a positive, committed work environment.		
3.c.1.b	Human resources staff, in partnership with management, seeks and considers continuous feedback from employees (e.g. focus groups) regarding workplace environment.		
3.c.1.c	Agency has been cited in applicant feedback and media stories as an employer of choice.		
3.c.1.d	Agency awards policy promotes teamwork through the use of group awards and communication of group successes.		
3.c.1.e	Agency analyzes trends across management indicators such as per capita overtime, worker's compensation charges, sick leave usage, forfeiture of annual leave, turnover, removal of probationers, disciplinary actions, adverse actions (Part 752), and exit interviews.		
3.c.1.f	Senior leaders sign statements of conduct or agency-wide declarations.		
3.c.1.g	GWS and/or other employee surveys report that an ethical climate exists, that employees are aware of their whistleblower rights and other personnel protections, and they are likely to report wrongdoing.		
3.c.1.h	Communication strategies include a variety of media to convey senior leadership's message to the workforce.		
3.c.1.i	Agency has a positive record in program reviews and congressional reviews.		
3.c.1.j	Agency has a whistle-blower support and Inspector General hotline program; activities are recorded and analyzed.		
3.c.1.k	Agency is certified in compliance by the Office of Special Counsel with 5 U.S.C 2302(c) requirement that the workforce be informed of whistleblower rights and other personnel protections.		
3.d	**Strategic Knowledge Management.** The organization systematically provides resources, programs, and tools for knowledge sharing across the organization in support of its mission accomplishment.		
3.d.1	**Is there a Strategic Knowledge Management effort in place within the agency?**		
3.d.1.a	Employees and managers have access to programs and tools that share institutional knowledge.		
3.d.1.b	Leaders embrace, model, and promote use of programs and tools that share institutional knowledge.		
3.d.1.c	Alternative collaborative means are encouraged and promoted throughout all facets of operations.		
3.d.2	**Are employees making the best use of information technology to perform their work and to gather and share knowledge?**		
3.d.2.a	Agency-wide strategy exists for linking knowledge across the organization.		
3.d.2.b	The agency has begun codifying knowledge through the use of the Intranet, shared networks, and communities of practice and/or best practices.		
3.e	**Continuous Learning and Improvement.** Leaders foster a learning culture that provides opportunities for continuous development and encourages employees to participate. Leaders invest in education, training, and other developmental opportunities to help themselves and their employees build mission-critical competencies.		
3.e.1	**Is there a culture of continuous learning and employee development within the agency?**		
3.e.1.a	Agency has a documented policy and objectives addressing continuous learning and development.		
3.e.1.b	Specific budget line items exist that demonstrate the investment in employee development programs.		
3.e.1.c	Collaborative events, knowledge sharing forums, and communities of interest are encouraged and supported by senior leaders to institutionalize new ideas and practices.		
3.e.1.d	Employee development activities are tied to identified competencies.		

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3.e.1.e	GWS and/or other climate surveys and/or focus groups indicate an environment of support for new behaviors and skills.		
3.e.2	**Do training and development strategies and initiatives support development of individual, team, and organizational competencies linked to the agency mission?**		
3.e.2.a	Agency has established training program that support its strategic plan and the training and development needs of its core occupational groups.		
3.e.2.b	Agency annually conducts a multi-level assessment (organizational, occupational, and individual) to determine training needs and uses the results to develop, enhance, and/or redirect its training programs.		
3.e.2.c	Agency has competency-based career development programs that include various development activities and learning opportunities.		
3.e.2.d	Internal standards for levels of competencies exist.		
3.e.2.e	Agency utilizes individual development plans (or other documented method for capturing employee development) as a means of managing and planning employee development activities.		
3.e.2.f	Annual appraisals reflect individual development needs and goals for future development.		
3.e.2.g	Agency has a policy of shared accountability by employees and managers for development.		
3.e.3	**Does the agency utilize learning technology and other alternative learning strategies in addressing the training and development needs of the workforce?**		
3.e.3.a	Agency assesses competency gaps, target populations, current training and development initiatives, and delivery methods to determine where blended learning opportunities can be implemented to close or eliminate those gaps.		
3.e.3.b	Agency assesses existing e-learning initiatives available to government (e.g., Gov Online Learning Center), and integrates them where appropriate.		
3.e.3.c	Agency has implemented a strategy that ensures the technology infrastructure is in place to support the greater utilization of e-learning.		
3.e.4	**Can the agency determine the impact of investment in continuous learning and development on individual performance and mission accomplishment?**		
3.e.4.a	Agency measures total cost of training.		
3.e.4.b	Agency measures impact in terms of workplace performance, process improvements, and achievement of organizational goals and/or performance standards.		
4	**Agency has a diverse, results-oriented, high performing workforce, and has a performance management system that effectively differentiates between high and low performance and links individual/team/unit performance to organizational goals and desired results. (RESULTS-ORIENTED PERFORMANCE CULTURE)**		
4.a	**Performance Management.** Performance management establishes managerial and individual performance expectations, evaluates results, holds people accountable, and gives performance recognition, all of which is linked to key organizational goals, desired results and mission.		
4.a.1	**Is the agency strategic plan shared with and accessible to employees?**		
4.a.1.a	Ongoing, tailored communications to support change effort has been implemented.		
4.a.1.b	Communication systems provide opportunities for feedback to enable continual improvement of change/implementation initiatives.		
4.a.2	**Is there a direct line of sight between employee performance expectations and recognition systems and the agency mission, and are these links communicated and understood?**		
4.a.2.a	All employee (non-supervisory, supervisors, managers, SES) performance plans are linked to the agency strategic plan.		
4.a.2.b	Work units have performance goals and standards.		
4.a.2.c	Agency tracks performance through regular reporting of outcomes and results.		

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4.a.2.d	GWS and/or other climate survey results reflect that employees understand performance expectations.		
4.a.2.e	GWS and/or other employee surveys reflect an understanding of how their efforts contribute to mission accomplishment.		
4.a.2.f	Manager and leader training courses include performance management sections and coaching techniques		
4.a.2.g	Review of a sample of performance appraisals shows performance management is a part of supervisors' and managers' appraisal criteria.		
4.a.2.h	GWS and/or other employee surveys reflect confidence that awards are based on contribution to mission accomplishment.		
4.a.3	**Has the agency created a "reward environment" that recognizes factors beyond compensation and benefits that attract, retain, and motivate employees?**		
4.a.3.a	Agency award policy promotes the use of non-monetary forms of recognition (e.g., certificates, stories in employee bulletins, honorary awards, etc.)		
4.a.3.b	Performance management policy encourages recognition of employee efforts and accomplishments through investments in employee development.		
4.a.3.c	GWS and/or other climate survey results and interviews reflect that employees feel valued.		
4.a.4	**Does the agency's performance management program provide for differentiation between high and low performance?**		
4.a.4.a	Agency has an awards and recognition program tied to performance measures and core values.		
4.a.4.b	Performance standards with definitions/examples exist to guide managers in assessing employees.		
4.a.4.c	Mean distributions of SES, GM, GS, and equivalent performance ratings across number of rating levels used by agency suggest realistic performance assessments.		
4.a.4.d	Statistical data related to the use and distribution of awards by type (performance, special act, quality step, etc.) indicate appropriate application of these incentives.		
4.a.4.e	Statistical data related to separations for performance, number of removals and downgrades (Part 432), and number of denials of within grade increases indicate appropriate application of these remedies.		
4.a.5	**Do supervisors and managers use performance results to identify developmental needs and address poor performance?**		
4.a.5.a	Data indicate use of performance improvement plans and separations for performance when necessary.		
4.a.5.b	GWS and/or other surveys report availability of training to improve performance and managers' effectiveness in dealing with poor performers.		
4.a.5.c	Performance appraisals reflect analysis of performance results, indicating areas that require development and or improvement.		
4.a.5.d	Performance feedback includes discussion of appropriate training and development and learning and knowledge management solutions to improve performance.		
4.a.5.e	Agency leaders take specific actions that demonstrate their support of managers and supervisors who give frank and constructive performance feedback and address poor performance.		
4.a.5.f	Agency procedures detail steps for addressing poor performance.		
4.a.5.g	Agency policy requires performance management as a critical element in supervisory and management performance plans, and management of poor performance as a component of this element.		

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4.a.5.h	Agency policy requires corrective action when supervisors or managers fail to address poor performance, and agency managers or leaders enforce agency policy.		
4.a.5.i	Probationary period is monitored and effectively utilized to remove poor performers.		
4.a.5.j	Agency tracks data such as number of employees hired and removed over time and performance rating profiles across number of levels used by agency for SES, GM, GS, and equivalent.		
4.b	**Diversity.** The Agency maintains an environment characterized by inclusiveness of a variety of styles and personal backgrounds and is responsive to the needs of diverse groups of employees.		
4.b.1	**Does the agency have a workforce diversity management program?**		
4.b.1.a	Federal Equal Opportunity Recruitment Program and Disabled Veterans Affirmative Action Program plans exist that identify under-representation and describe specific outreach efforts to overcome barriers to recruitment.		
4.b.1.b	Agency tracks outreach efforts to diverse groups.		
4.b.1.c	Workforce demographic studies report progress toward diversity.		
4.b.1.d	GWS and/or other surveys and interviews report satisfaction with agency efforts to support diversity.		
4.b.2	**Is the agency responsive to the needs of diverse groups?**		
4.b.2.a	Agency has an active diversity program open to all interest groups.		
4.b.2.b	Forums and activities for special interest groups provide ways to communicate with workforce.		
4.b.2.c	Training includes regular review of standards and expectations on topics surrounding diverse workforces.		
4.b.2.d	Resources are provided to diverse special interest groups to meet and conduct educational activities.		
4.b.2.e	Complaint procedures are well publicized and accessible to the workforce.		
4.b.2.f	Data on complaints are gathered, monitored, and analyzed for potential trouble spots or interventions.		
4.b.2.g	Analysis of data includes representation of various minority groups and women in the workforce by grade level and supervisory status and disciplinary actions, including probationary terminations, for minorities and women by grade level and supervisory status compared to non-minorities/males.		
4.b.2.h	GWS and/or other climate surveys and interviews indicate an inclusive atmosphere.		
4.c	**Employee/Labor-Management Relations.** Cooperation between employees and managers enhances effectiveness and efficiency, cuts down the number of employment-related disputes, and improves working conditions, all of which contribute to improved performance and results.		
4.c.1	**Do managers, employee representatives, and employees work together to accomplish the agency's mission?**		
4.c.1.a	Agency and employee representatives have agreements addressing workplace issues that affect agency mission accomplishment.		
4.c.1.b	GWS and/or other climate surveys and/or interviews indicate that employees are satisfied with their level of participation in the organizational decision-making process and feel empowered to share ideas and/or concerns with supervisors and other management officials.		
4.c.1.c	There is documentation of innovation and problem solving between employees and management.		
4.c.1.d	Agency has an active Alternative Dispute Resolution program for employee/labor relations issues.		

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4.c.1.e	Data on formal complaints are gathered, monitored, and analyzed for potential trouble spots, needed training, or interventions.		
5	**Agency has closed most mission-critical skills, knowledge, and competency gaps / deficiencies, and has made meaningful progress toward closing all. (TALENT)**		
5.a	**Workforce Analysis.** The agency identifies, through a systematic process, mission-critical occupations and competencies needed in the current and future workforce, and develops strategies to close the gaps.		
5.a.1	**Does the agency identify mission-critical occupations and competencies?**		
5.a.1.a	Mission-critical occupation and competency references are included in strategic plan and/or performance plans.		
5.a.1.b	Agency workload studies are conducted and analyzed for trends.		
5.a.1.c	A methodology exists for determining mission-critical occupations and competencies in accordance with legal and professional standards. Analysis of data includes workforce demographics in mission-critical occupations, including size and distribution of workforce by grade/series/geographical location, type of positions occupied, pay plan, average age, average grade, retirement (eligible and expected), separations, turnover, etc.		
5.a.1.d	Job analyses are current and updated when positions change.		
5.a.2	**Does the agency conduct business forecasting to determine what changes are expected in the work of the agency and how these changes will affect the agency's workforce?**		
5.a.2.a	There are human capital forecasting references in strategic plan and/or performance		
5.a.2.b	Agency workload studies are conducted and analyzed for trends.		
5.a.2.c	Workforce demographic studies are conducted and analyzed for trends.		
5.a.2.d	Workforce information is included in budget documents.		
5.a.2.e	Analysis of data includes workforce demographics in mission-critical occupations, including size and distribution of workforce by grade/series/geographical location, types of position occupied, pay plan, average age, average grade, retirements (eligible and expected), separations, turnover, etc.		
5.a.3	**Does the agency develop and use recruitment and retention strategies to close anticipated workforce competency gaps?**		
5.a.3.a	Formal recruitment and retention plans.		
5.a.3.b	Competency gap reduction goals.		
5.a.3.c	A competency management system tracks mission-critical competencies and occupations.		
5.a.3.d	There are regular reports of progress towards reducing competency gaps.		
5.a.3.e	Staffing, training, and performance data indicate success in closing competency gaps.		
5.b	**Compete for Talent.** The agency develops short- and long-term strategies and targeted investments in people to create a quality workplace designed to attract, acquire, and retain quality talent.		
5.b.1	**Are senior leaders and managers involved in strategic recruitment and retention initiatives?**		
5.b.1.a	Budget data and other documentation of planned and completed recruitment and retention activities show that funding is included in budget requests and adequate staff is allocated to support recruitment goals.		
5.b.1.b	Training classes, intranet, and other forms of guidance provide information to managers on available staffing options.		
5.b.1.c	Evaluation process incorporates assessment of return on investment of recruitment activities, including both quality and quantity of applicants.		
5.b.2	**Are recruitment strategies appropriately aggressive and multi-faceted?**		

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5.b.2.a	On-going relationships exist with professional organizations, colleges/universities, and other groups		
5.b.2.b	Recruitment brochures and other marketing materials are attractive and informative.		
5.b.2.c	Recruitment strategies are assessed for their success in hiring employees with mission-critical competencies.		
5.b.2.d	HRIS data are analyzed regarding use of superior qualification appointments, internships, Presidential Management Interns, Veterans Readjustment Act, disabled, and other special appointments for students, veterans, and others.		
5.b.2.e	Requests for additional staffing flexibilities are justified by a human capital business case and necessary funding is included in agency budget requests.		
5.b.2.f	Recruitment efforts are analyzed regarding partnerships with other agency transition programs and private sector outplacement programs.		
5.b.2.g	Analysis of data includes statistics related to staffing options (e.g., types of appointments or promotions) and demographics and trends on candidates and the workforce, including SES (e.g., size, distribution by grade/series/geographic location, type of position occupied, pay plan, veteran representation, gender, race/national origin, average age,		
5.b.3	**Are agency leaders and HR professionals reviewing recruitment, hiring, and merit promotion programs to ensure fair hiring and placement actions?**		
5.b.3.a	Agency internal placement and non-delegated examining unit (DEU) staff and external HR professionals (OPM evaluators/contract consultants) assess internal placement and delegated examining activities for compliance with merit system principles and avoidance of prohibited personnel practices.		
5.b.3.b	Agency monitors use of competitive and non-competitive appointments and promotions, temporary appointments, conversions, etc., including a breakdown by race/national origin and gender for compliance with merit system principles and avoidance of prohibited personnel practices.		
5.b.3.c	Reports show all types of staffing actions are monitored for compliance with merit system principles, and personnel actions show corrective action is taken on reported violations.		
5.b.4	**Does the agency application process enable rather than deter job seekers?**		
5.b.4.a	Vacancy announcements, recruitment brochures, and other marketing products are clearly written.		
5.b.4.b	Correspondence records indicate communication with applicants throughout the selection process.		
5.b.4.c	Applicant surveys indicate satisfaction with hiring process.		
5.b.4.d	Results of entrance interviews reflect a positive experience for applicants.		
5.b.4.e	Length of time to hire is tracked to determine efficiency.		
5.b.5	**Does the agency use flexible compensation strategies to attract and retain quality employees?**		
5.b.5.a	Agency and/or human capital strategic plans and policies that advocate use of compensation flexibilities and demonstration projects.		
5.b.5.b	Written policies and procedures describe guidelines for use of flexibilities.		
5.b.5.c	Statistics on the use of flexibilities are analyzed.		
5.b.5.d	Meaningful metrics are developed and used to determine effectiveness of flexibilities.		
5.b.5.e	Entrance and exit interview data are tracked and analyzed to assess the impact of flexibilities.		
5.b.6	**Does the agency provide work/life flexibilities, facilities, services, and programs to make the agency an attractive place to work?**		

	HUMAN CAPITAL STANDARDS for SUCCESS / Critical Success Factors Elements of 'YES' and Performance Indicators	Rating YES or NO	If YES: specify validating document(s) / location / responsible party If NO: identify implementing project(s), goal, etc., priority (high, medium or low), and target completion year. If not applicable, mark N/A.
5.b.6.a	Policies and procedures that describe guidelines for flexible tours of duty, telework, and work/life programs and services.		
5.b.6.b	Appropriate communications and media are used to inform the agency workforce of available options.		
5.b.6.c	The agency tracks, analyzes, evaluates work/life flexibilities and their impact on recruitment and retention.		
5.b.6.d	Entrance and exit interview data are analyzed to assess impact of these flexibilities and		
5.b.6.e	GWS and/or other surveys and interviews indicate a positive work climate.		
5.b.6.f	Clients of employee assistance programs report satisfaction.		
5.b.6.g	Agency tracks and analyzes indicators such as Workers Compensation claim rates and safety and air quality inspection data.		
5.b.7	**Are human capital approaches assessed with respect to the agency's ability to attract, acquire, promote, and retain quality talent?**		
5.b.7.a	Policies and procedures exist that identify how recruitment, hiring, promotion, and retention activities will be evaluated.		
5.b.7.b	Agency conducts "lessons learned" and/or other evaluations of activities; improvements are made as a result of findings.		
5.b.7.c	Managers are surveyed regarding the quality of new hires.		
5.b.7.d	New hire performance data, including supervisor surveys, are collected and analyzed.		
5.b.7.e	Demographics of candidates (age, race/national origin, gender) are compared to demographics of the agency workforce.		
5.b.7.f	Retention trends are tracked and analyzed.		
5.b.7.g	The agency tracks and analyzes data on mission-critical competencies and occupations. Various recruitment metrics are collected and analyzed, such as average time to hire and cost per hire. Industry benchmarking is conducted.		
5.b.7.h	Validity studies are conducted on assessment methods to ensure that the best candidates are selected.		
5.b.7.i	A return on investment/cost benefits analysis of strategies is undertaken.		
5.b.7.j	Customer service and GWS and/or other climate surveys are conducted and analyzed and relevant results lead to change in strategy.		
5.b.7.k	Statistical data are analyzed related to the relative success of various types of appointments and recruitment/retention flexibilities.		
5.b.7.l	Attitudes toward hiring process are collected from applicants.		
6	**Agency human capital decisions are guided by a data-driven, results-oriented planning and accountability system. (ACCOUNTABILITY)**		
6.a	**Agency-wide System for Ensuring Accountability in Human Capital.** The processes and activities outlined under this Standard are used throughout the critical success factors described in this framework. This ensures that over time people are managed efficiently and effectively and in accordance with the merit system principles, veterans' preference, and related public policies to support the agency shared vision.		
6.a.1	**Has the agency documented all of its human capital management processes, measures, and results?**		
6.a.1.a	Human capital program management guidebook or similar documentation exists to capture key processes, responsibilities, restrictions, and standards of performance for human capital management programs.		
6.a.1.b	Performance reports, human capital plans, memoranda, or other documents describe human capital results.		
6.a.1.c	Human capital leaders' reports to management provide program and process costs and value-added calculations.		

HUMAN CAPITAL STANDARDS for SUCCESS / Critical Success Factors Elements of 'YES' and Performance Indicators		Rating YES or NO	If YES: specify validating document(s) / location / responsible party If NO: identify implementing project(s), goal, etc., priority (high, medium or low), and target completion year. If not applicable, mark N/A.
6.a.2	**Does the agency periodically analyze human capital data to assess results, identify risks, and ensure that controls are in place to address problems and modify strategies and activities as necessary?**		
6.a.2.a	Human capital leaders track and report activity based on cost of HR programs and their elements.		
6.a.2.b	Agency has documented programs and elements of programs most important to the organization; meaningful measures of success are established, kept up-to-date and regularly reviewed by HR and management.		
6.a.2.c	Agency has dedicated HR staff assigned to review human capital data integrity.		
6.a.2.d	There are written reports on risks, recommendations for mitigation strategies, and actions taken by decision makers.		
6.a.2.e	Implementation plans, program guides, and delegations of authority outline critical risks and monitoring responsibilities.		
6.a.2.f	Program and initiative implementation efforts have published plans that clearly outline roles, responsibilities, reviews, and desired outcomes.		
6.a.2.g	Agency tracks human capital initiatives and program reviews, reporting results to a central advisory or management board.		
6.a.2.h	Agency has submitted reports to OPM and other agencies on key programs or elements of programs and continues to monitor those areas.		
6.a.2.i	Quality assurance processes for transactions are in place.		
6.a.2.j	Annual reviews of delegated examining operations are conducted.		
6.a.3	**Are human capital strategies and the processes for ensuring accountability periodically reassessed?**		
6.a.3.a	Agency has a formal program management evaluation process documented, monitored, and resourced.		
6.a.3.b	Periodic assessment outcomes are documented and identify actions to correct assigned responsibilities and make results accessible to stakeholders.		