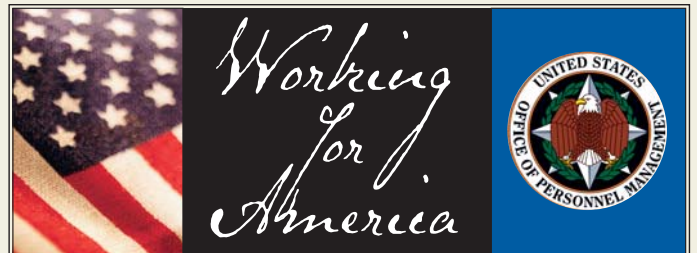*UNITED STATES*
OFFICE OF PERSONNEL MANAGEMENT

HUMAN RESOURCES
LINE OF BUSINESS

BUSINESS REFERENCE
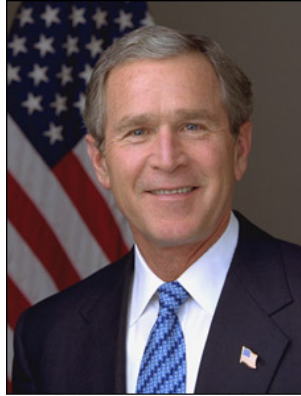# MODEL
VERSION 1

UNITED STATES OFFICE OF PERSONNEL MANAGEMENT

Working for America

December 2004

White House photo by Eric Draper

A Message from the President

"Implementation of E-Government is important in making
Government more responsive and cost-effective."

President George W. Bush

July 10, 2002

A Message from the Director

I am pleased to present the Human Resources Line of Business (HR LOB) Business Reference Model. During the last several months the Office of Personnel Management has hosted fourteen Verification and Validation workshops to update the target business processes within the Federal Enterprise Architecture. This effort has been characterized by widespread agency collaboration and I believe this document captures the work produced during these workshops.

OPM, working in close collaboration with OMB, has been the managing partner for the Human Resources Line of Business and has led the continued effort to achieve the objectives outlined in the President's Management Agenda. Identifying the target business processes is an important step to allow for a shared services model for HR that will lead to tremendous financial savings across government. The collaboration achieved during the workshops is a model for the development of HR systems. OPM is dedicated to producing real savings and real customer satisfaction through this kind of cooperative and productive environment.

Human Resources Line of Business (HR LOB)
Foreword to the Business Reference Model (BRM)

The Office of Personnel Management formed and led an inter-agency task force of twenty-two agencies that defined the vision, goals and objectives of the Human Resources Line of Business (HR LOB). This task force formulated the common solution, target architecture and supporting business case for the Human Resources Line of Business. The common solution is a market-driven approach where service providers competing for government business are driven to provide the best services and most innovative solutions at the lowest cost. The HR LOB initiative will establish government-wide shared Service Centers to provide business and technology solutions to support multiple agencies.

The task force determined that, over time, the majority of core functions within HR can be folded into a framework of clearly defined solutions. These solutions will enable the Federal government to standardize HR business functions and processes as well as the systems that support them. The Human Resources Line of Business will enable a shift in emphasis within agencies from administrative processing to customer service and strategic planning.

OPM has been sponsoring a number of multi-agency workshops to continue the refinement of the business processes in the Human Resources Line of Business. The purpose of these Process Verification and Validation (V&V) workshops is to improve the human resources baseline processes and sub-processes for the HR LOB sub-functions originally defined by the HR LOB Target Architecture Workgroup. Over time, the majority of the core functions within human resources (HR) can be and should be folded into a framework of clearly defined solutions. These solutions should facilitate the Federal government to standardize HR business functions and processes as well as the systems that support them.

The establishment of a clearly defined technical architecture and data standards will create the basis for solutions that are scaleable, modular and interoperable across a broad spectrum of users and uses. The Federal Government has the potential to strongly influence innovation and competition by establishing and maintaining high performance standards for its business and technical solution providers. The interoperable solutions will provide managers and executives across Government with improved tools to help agencies meet their strategic objectives. The solutions will also provide more efficient management of the automated information systems that support human resource activities. They will also allow agencies to transform their internal human resource focus from an emphasis on administrative processing to strategic planning support for agency leadership and increased customer service and counseling for managers and employees.

Table of Contents

Introduction

Enterprise architectures provide a basis for understanding commonalties and an opportunity for collaboration and sharing across business entities. The Federal Enterprise Architecture (FEA) was developed to define the concept of enterprise architecture specific to the U.S. Federal government. It prescribes the structure, content and manner in which the architectures will be constructed. The FEA explains that architecture "is a tool that enables the Federal government to identify opportunities to leverage technology and alleviate redundancy or to highlight where agency overlap limits the value of IT investments. The FEA will facilitate horizontal (cross-Federal) and vertical (Federal, State and Local Governments) integration of IT resources and establish the "line of sight" contribution of IT to mission and program performance." [1]

"The Business Reference Model (BRM) serves as the foundation for the FEA. By describing the Federal government around common business areas instead of a stove-piped, agency-by-agency view, the BRM promotes agency collaboration." [2]

The BRM's Target Business Architecture layer is one of five layers of the Federal Enterprise Architecture. The other four layers are:
- Performance Reference – Standardized framework to measure the performance of major investments and their contribution to program performance.
- Data Reference – Model describing the data and information that support program and business line of operations.
- Service Component Reference – Business and performance driven functional framework that classifies service components with respect to how they support business and / or performance objectives.
- Technology Reference – Component-driven, technical framework used to identify the standards, specifications and technologies that support and enable the delivery of service components and capabilities.

The five layers collectively provide a comprehensive view of how a Federal enterprise's business mission is supported or enabled by processes, information, organization and underlying information systems and technologies. The Target Business Processes deliverable is one deliverable within the Target Business Architecture layer. The Target Business Processes deliverable defines the business processes that Agencies perform to achieve their missions.

The Office of Management and Budget (OMB) launched the Human Resource Line of Business (HR LOB) effort in April 2004 to build an inter-agency enterprise architecture, in compliance with the FEA, for the human resources business function. The Office of

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[1] The Federal Enterprise Architecture Program Management Office. *The Business Reference Model Version 2.0: A Foundation for Government Wide Improvement.* June 2003.
[2] ibid

Personnel Management (OPM) was chosen to lead the effort and 22 additional Federal Agencies stepped up to participate.

The vision of the HR LOB is to provide government-wide, modern, cost effective, standardized and interoperable Human Resource solutions providing common core functionality to support the strategic management of Human Capital and addressing duplicative and redundant HR systems and processes across the Federal government. To realize this vision, the HR LOB seeks to achieve the following goals and objectives:

GOALS	OBJECTIVES
Improved Management Improve the government wide strategic management of human capital	▪ Faster decision making ▪ More informed policy making ▪ More effective workforce management ▪ Improved resource alignment with agency missions
Operational Efficiencies Achieve or increase operational efficiencies in the acquisition, development, implementation and operation of human resources management systems	▪ Improved servicing ratio / response times ▪ Reduced cycle times ▪ Improved automated reporting
Cost Savings / Avoidance Achieve or increase cost savings / avoidance from HR solution activities	▪ Reduced duplicative software / hardware / operations / labor resources ▪ Increased competitive environment
Improved Customer Service Improve customer services	▪ Increased accessibility to client and value ▪ Improved communication and responsiveness ▪ Enhanced quality ▪ Enhanced timeliness ▪ Enhanced accuracy ▪ Enhanced consistency

Verification and Validation Workshop Results

The 23-agency Target Architecture Work group successfully produced, over a ten-week period in April through July 2004, eight deliverables including the baseline Target Business Processes deliverable. In spite of active collaboration, the aggressive time frame did not allow for an adequate number of collaborative iterations. To address this, OPM scheduled a series of Verification and Validation workshops designed to validate and expand the BRM.

These workshops took place from August 2004 through December 2004. The purpose of the workshops was to validate the HR LOB baseline process through additional collaboration. Participants:

- validated the process diagrams in detail
- devolved the sub-functions and documented processes and activities
- documented the inter-relationships between processes, sub-functions and other lines of business
- validated process definitions, inputs and outputs
- produced an end-to-end view of the HR LOB processes, using the HR Life Cycle as a framework
- identified current agency process-enabling technology

The result of the Verification and Validation workshops is an end-to-end process view of Human Resources for the Executive Branch of the U.S. Federal government. A total of 45 processes collectively form this end-to-end view. The processes are organized by sub-function, in accordance with OMB's Target Architecture Requirements. The sub-functions, in turn, are organized by Human Resources Life Cycle Phases.

The nine sub-functions that were identified and organized by HR life cycle phases are depicted in Figure 1.
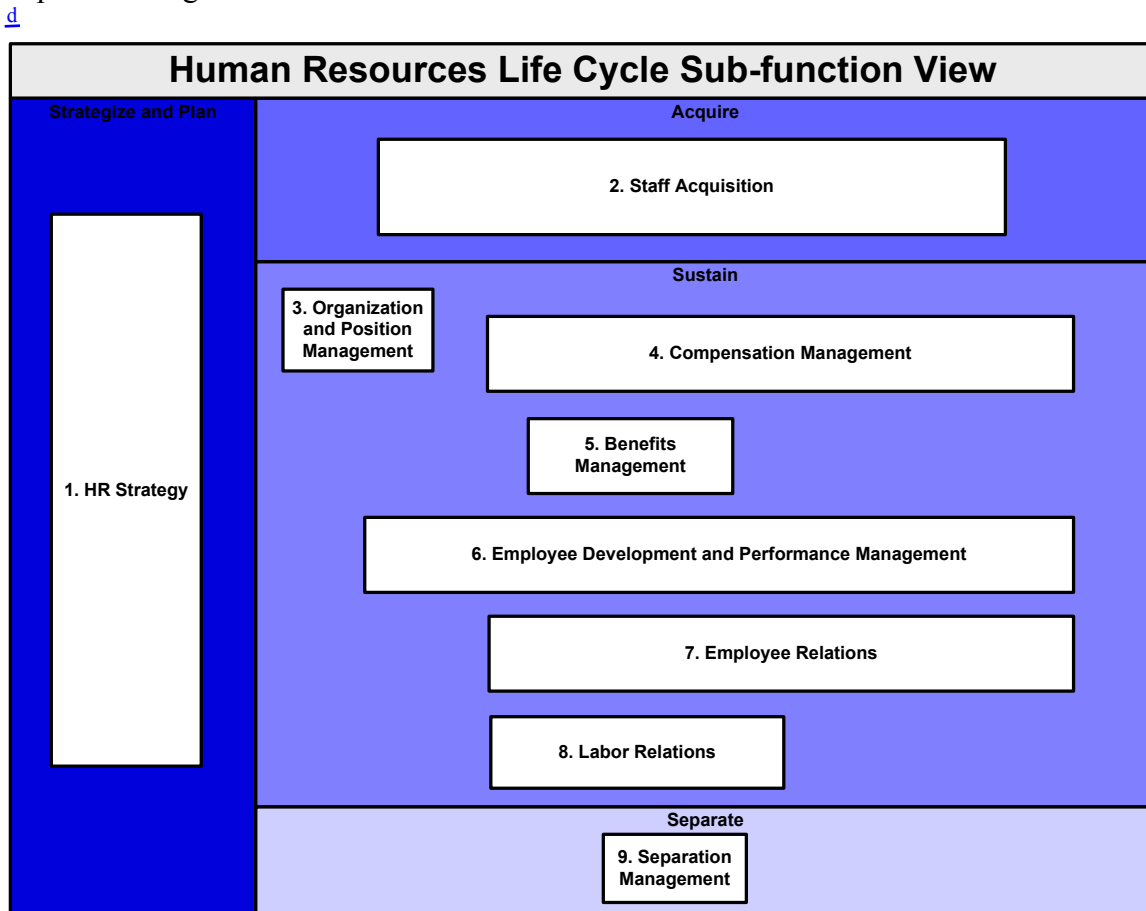
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Figure 1: HR Line of Business Sub-function View

Each sub-function was decomposed into its component processes. There are a total of 45-processes in the end-to-end Human Resources process view. These are depicted in Figure 2.

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HR LOB End-To-End Process Flow Diagram

Strategize and Plan

- 1.1 Conduct Internal Environment Analysis
- 1.2 Conduct External Environment Analysis
- 1.3 Develop HC & HR Strategies
- 1.4 Establish HR Policy and Practices
- 1.5 Manage Competency Model
- 1.6 Conduct Workforce Planning
- 1.7 Conduct Succession Planning
- 1.8 Manage HR Budget
- 1.9 Provide HR Consultative Support
- 1.10 Measure and Improve HR Performance

Acquire

- 2.1 Develop SA Strategy
- 2.2 Develop SA Plan
- 2.3 Establish Evaluation Approach
- 2.4 Source Candidate
- 2.5 Evaluate Candidate
- 2.6 Hire Employee

- 3.1 Administer Organization and Position Management

Sustain

- 4.1 Adopt Non-discretionary Compensation Programs
- 4.2 Adopt Alternative Compensation Protrams
- 4.3 Adopt Discretionary Compensation Programs
- 4.4 Administer Bonus and Monetary Awards Programs
- 4.5 Administer Pay Changes
- 4.6 Manage Time, Leave and Pay
- 4.7 Manage Payroll

- 5.1 Establish Benefits Programs
- 5.2 Process Benefits Actions

- 6.1 Establish Agency Development and Performance Management Strategy
- 6.2 Conduct Employee Development Needs Assessment
- 6.3 Design Employee Development Program
- 6.4 Establish & Implement Performance Management Plans
- 6.5 Implement Employee Development Program
- 6.6 Manage Employee Performance
- 6.7 Manage Employee Development
- 6.8 Evaluate Employee Development Effectiveness

- 7.1 Address Employee Misconduct
- 7.2 Address Employee Performance Problems
- 7.3 Manage Administrative Grievances
- 7.4 Provide Accommodation
- 7.5 Administer Employee Assistance Program
- 7.6 Participate in Administrative Third Party Proceedings
- 7.7 Determine Candidate / Employee Suitability

- 8.1 Manage Labor Relations
- 8.2 Manage Negotiated Grievances
- 8.3 Participate in Negotiated Third Party Proceedings

Separate

- 9.1 Manage Employee Separation

Figure 2: Human Resources Line of Business End-to-End Process View

The detail underlying this view is contained in Appendices A and B.

Appendix A contains the diagrams for each of the 45 processes. Each diagram details the activities, roles, major inputs (information exchanges) required by the activity and major outputs (information exchanges or business outcomes) of the activity.

Appendix B contains the process dictionary. The dictionary defines each activity, organized by process, along with a more comprehensive listing of inputs and outputs for each activity. Roles are also noted against activities in the dictionary.

Appendix C provides a list of Agencies and participants who collaborated in the work sessions to verify and validate this work.

Appendix D contains a Comments Log. The comments received from participants over the past several months that provide feedback and recommendations about the processes are documented in the log. Action taken on the comment is also documented.

Evolution of the Business Reference Model's Target Business Processes

The end-to-end process approach was taken for a number of important reasons. Because it depicts the activities business practitioners perform on a regular basis to produce business results, practitioners understand and identify with this view and are more readily drawn into the process validation and verification experience. The result is a more accurate view of the HR process.

The end-to-end process approach provides a better foundation for future HR LOB efforts. It provides the detailed business activities that will be the basis for updating the Concept of Operations and provides the structure for operational placement decisions (e.g., retain at agency or move to shared service center). Some activities will continue to be performed by Agencies; other activities will be performed in the future by shared service providers; and some activities will be performed jointly by Agencies and shared service providers. Additionally, the activities in this end-to-end process offer a tangible basis for identifying provider requirements: the specification of technology, process, role and service level expectations of the service providers.

The Target Business Processes that were published on June 30, 2004 are organized into ten sub-functions. Those sub-functions were paraphrased into ten "strategic processes" that in turn were broken down into 48 target business processes. The processes were decomposed further to the sub-process level. Organized in this manner, the sub-function view provided a narrow perspective. While it was valuable in understanding units of work: what is done, processes based on functional decomposition can produce islands of specialization that become increasingly inflexible and limit the clear linkages of process outputs to business outcomes over time. A cross-functional end-to-end process view, on the other hand, depicts how functions are threaded together and executed to achieve a desired result.

At the sub-function level, the deliverable being published in this document remains true to the previous June 30 Target Business Processes deliverable, with a few variations. Figure 3 maps the previous sub-functions, published in June, to the current model.

June 2004 Deliverable	December 2004 Deliverable
Previous Sub-function	**Current Placement**
Benefits Management	Sub-function: Benefits Management
Competency Management	Process: Develop Competency Management. Contained in Sub-function: HR Strategy
Compensation Management	Sub-function: Compensation Management
Employee and Labor Relations Management	Sub-functions: Employee Relations, Labor Relations
HR Strategy Development	Sub-function: HR Strategy
HR Transaction Management	Activities and Outputs: appear throughout current process where activities create transactions and transactions are outputs
Performance Management	Sub-function: Employee Development and Performance Management
Resource Development and Training	Sub-function: Employee Development and Performance Management
Separation Management	Sub-function: Separation Management
Staff Acquisition	Sub-function: Staff Acquisition

Figure 3: Sub-Function Mapping

This mapping represents the latest iteration of government-wide HR process views. In the past 30 months, seven separate views have been published as the BRM has evolved. The following outline summarizes this process evolution.

Business Reference Model version 2.0 (2002)
6 sub-functions
▪ Did not explicitly include HR Strategy

Office of Personnel Management with Department of Homeland Security (2003)

15 sub-functions
▪ Began to recognize additional areas (largely at the transaction level); many seemed to be activities
▪ Began to break out transaction processing and "management" areas resulting in additional areas

HR Line of Business Task Force (April 2004)

27 sub-functions
▪ Recognized the Employee Life Cycle

- Identified additional transaction and "management" areas; many seemed to be activities

- Began to see some mixing between business capabilities and applications services capabilities

GOTS Response (May 2004)

19 sub-functions

- Recognized the Organization Life Cycle

- Segmented into "core" (common) and "non-core" areas

- Deferred some of the earlier areas

- Began to "roll-up" / cluster related areas

Common Solutions & Target Architecture Working Group (May 2004)

28 sub-functions

- Examined previous iterations and compared them against different perspectives

- Many seemed to be at the activity level but still needed to be analyzed and vetted

- Factored in findings from CS&TA working group sessions

- Validated, and in some cases added areas based on SME interviews

- Performed document review and analysis

- Applied EA standards and iterated

- Evaluated and identified a set of areas that align with the common solution work

Common Solutions & Target Architecture (CS&TA) Working Group (June 2004)

10 sub-functions

- Recognized logical groupings of seemingly related areas

- The 28 sub-functions from May 2004 emerged as "activities" under the larger groupings with one – *"Execute Expense Reimbursement"* – proposed to be removed because it is believed to execute a Financial Management sub-function as opposed to an HR sub-function; however, HR and FM activities do interface to complete the end-to-end process

- The larger groupings became the 10 HR LOB sub-functions

      Verification and Validation Work Sessions (December 2004)

      9 sub-functions

- Evolved the previous result into an end-to-end process view

- Validated activities, inputs, outputs and roles

- Detail 'rolled up' to 9 sub-functions rather than 10 based on process inter-relationships

A fundamental tenet of process design is that processes get better with exposure and use. This is not meant to imply they are wrong; they merely get better over time. The HR Line of Business Target Business Processes published in this document are an accurate, complete, coherent view of Human Resources from a process perspective – more accurate, more complete and more coherent than the previous incarnations. We can, however, expect it to evolve and improve even further over time, as it gets more exposure and use.

Next Steps

A considerable amount of work remains to establish and implement the HR Line of Business. To move the HR LOB forward, OPM, OMB and the partner Agencies will need to take the additional action detailed below.

Establish the Multi-Agency Executive Strategy Committee. Establish a permanent governance body for the HR Line of Business, using the original HR LOB task force convened in FY 2004 as the foundation. It will meet on a quarterly basis. Several working groups will be formed out of this committee and will meet on a more frequent basis.

Establish the Requirements Board. The Requirements Board will translate relevant HR policies into high-level functional requirements. These high-level functional requirements will be used by the Human Resources Line of Business working groups to develop more detailed business and technical requirements.

Select Shared Service Centers. Shared Service Center panels will review proposals submitted by potential / candidate shared service centers that have been pre-qualified by OMB. The panel will make a recommendation to OPM's Director, whose decision will be communicated to OMB.

Continue Development of Target Architectures. Agree on distribution of activities to shared service centers, to Agencies or to third party providers and update the Concept of Operations (CONOPS) to reflect this distribution. Develop a Vision Paper for the Completion of other Enterprise Architectures.

Continue Evolution of HR LOB Target Business Processes. During the end-to-end capstone review of the HR Line of Business Process that took place on December 16, 2004, three gaps were identified:
- Senior Executive Service
- Workforce Shaping
- HR as Strategic Partner

Reviews will be held in the near future with a cross-agency group of subject matter experts to revise and extend the Target Business Processes to include these concepts.

Appendix A
Process Diagrams

This Appendix contains the entire set of process diagrams for the HR Line of Business. Collectively, these diagrams provide an end-to-end view of the Human Resources discipline in the Executive Branch of the Federal Government, from a process perspective.

The processes have been developed to the architectural / planning level of detail, as opposed to an operational / procedural level of detail. The Target Business Reference Model deliverable is just one of a number of inter-related Federal Enterprise Architecture components that provide a level of detail that is useful for planning and conceiving the HR LOB. The process models will be taken to greater levels of detail over time, as the new line of business is defined in more detail and detailed design takes place.

There are three types of diagrams in this Appendix.

The **Sub-function View** shows the nine HR LOB sub-functions organized by HR Life Cycle Phase. This view depicts the framework used to organize processes.

The **End-to-End Process View** shows the 45 HR LOB processes. The placement of each process on the diagram corresponds to the placement of the sub-function in which the process resides. The processes are also organized by Human Resources Life Cycle Phase. Processes are numbered 'X.Y' where X is the number of its corresponding sub-function and Y provides a relative process sequence within the sub-function.

An **Activity Flow Diagram** has been developed for each process. It shows the sequence of activities that take place to produce business results. Activities represent clear, discrete actions that still allow for generality sensitive to agency variations. Activities are not mandatory: some activities may be performed only in some instances and some Agencies may not perform specific activities at all. The following diagramming conventions were used:
- Activities are numbered according to their relative sequence within the process.
- Some activities are grouped within a dotted-line box. This is meant to convey these activities may be performed in any sequence and / or they are iterative.
- Roles appear on the left side of the diagram and define horizontal 'lanes' across the diagram. Activities have been placed in the lanes to show the role(s) that performs each activity.
- The activities that span lanes are performed by more than one role. In some cases, both roles collaborate to perform the activity. In some cases, one role or the other role performs the activity. In some cases, one role and / or the other role perform the activity.

- Major inputs and outputs are identified along the right side of the Activity Flow Diagram. Inputs are the information required by the activity and outputs are the information or business outcome produced by the activity.

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Human Resources Life Cycle Sub-function View

Strategize and Plan

Acquire

2. Staff Acquisition

Sustain

3. Organization and Position Management

4. Compensation Management

1. HR Strategy

5. Benefits Management

6. Employee Development and Performance Management

7. Employee Relations

8. Labor Relations

Separate

9. Separation Management

d

HR LOB End-To-End Process Flow Diagram

Strategize and Plan

| 1.1 Conduct Internal Environment Analysis |
| 1.2 Conduct External Environment Analysis |
| 1.3 Develop HC & HR Strategies |
| 1.4 Establish HR Policy and Practices |
| 1.5 Manage Competency Model |
| 1.6 Conduct Workforce Planning |
| 1.7 Conduct Succession Planning |
| 1.8 Manage HR Budget |

Acquire

| 2.1 Develop SA Strategy | 2.2 Develop SA Plan | 2.3 Establish Evaluation Approach | 2.4 Source Candidate | 2.5 Evaluate Candidate | 2.6 Hire Employee |

3.1 Administer Organization and Position Management

Sustain

| 4.1 Adopt Non-discretionary Compensation Programs | 4.2 Adopt Alternative Compensation Protrams | 4.3 Adopt Discretionary Compensation Programs | 4.4 Administer Bonus and Monetary Awards Programs | 4.5 Administer Pay Changes | 4.6 Manage Time, Leave and Pay | 4.7 Manage Payroll |

| 5.1 Establish Benefits Programs | 5.2 Process Benefits Actions |

| 6.1 Establish Agency Development and Performance Management Strategy | 6.2 Conduct Employee Development Needs Assessment | 6.3 Design Employee Development Program | 6.4 Establish & Implement Performance Management Plans | 6.5 Implement Employee Development Program | 6.6 Manage Employee Performance | 6.7 Manage Employee Development | 6.8 Evaluate Employee Development Effectiveness |

1.9 Provide HR Consultative Support

| 7.1 Address Employee Misconduct | 7.2 Address Employee Performance Problems | 7.3 Manage Administrative Grievances | 7.4 Provide Accommodation | 7.5 Administer Employee Assistance Program | 7.6 Participate in Administrative Third Party Proceedings | 7.7 Determine Candidate / Employee Suitability |

1.10 Measure and Improve HR Performance

| 8.1 Manage Labor Relations | 8.2 Manage Negotiated Grievances | 8.3 Participate in Negotiated Third Party Proceedings |

Separate

9.1 Manage Employee Separation

d

1. Human Resources Strategy Processes

Strategize and Plan

| 1.1 Conduct Internal Environment Analysis |
| 1.2 Conduct External Environment Analysis |
| 1.3 Develop HC & HR Strategies |
| 1.4 Establish HR Policy and Practices |
| 1.5 Manage Competency Model |
| 1.6 Conduct Workforce Planning |
| 1.7 Conduct Succession Planning |
| 1.8 Manage HR Budget |

| 1.9 Provide HR Consultative Support |
| 1.10 Measure and Improve HR Performance |

Acquire

2. Staff Acquisition

Sustain

3. Organization and Position Management

4. Compensation Management

5. Benefits Management

6. Employee Development and Performance Management

7. Employee Relations

8. Labor Relations

Separate

9. Separation Management

E-Gov HR LOB	PROCESS: 1.1 Conduct Internal Environment Analysis	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

Management		Agency Objectives and Strategies, Previous and Current External Environment Analysis Results, Previous Internal Environment Analysis Results Internal Customer Needs, Agency and Human Capital Program Performance and Evaluation Results, Emerging Trends, Benchmark Data, CHCO Council Input, Appropriations Hearings, Legislation, Labor Agreements, Agency Budget

1.1.1
Determine Internal Environment Analysis Scope and Objectives

1.1.2
Collect Internal Environment Data

1.1.3
Analyze Internal Environment Data

1.1.4
Disseminate Internal Environment Analysis Results

HR Organization

Agency Mission and Vision, Agency Succession Plan, Agency EEO Profile, Agency Workforce Analysis

Prospective Employee

Internal Environment Report

E-Gov HR LOB	PROCESS: 1.2 Conduct External Environment Analysis	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

Management	**1.2.1** Determine External Environment Analysis Scope and Objectives	Employment Market, Previous External Environment Analysis Results, Previous and Current Internal Environment Analysis Results, Benchmark Data, Previous and Emerging Customer Needs, Emerging Trends, Leading Practices, Administration's Agenda
HR Organization	**1.2.2** Identify External Environment Data Collection Protocols **1.2.3** Define External Environment Analysis Protocols **1.2.4** Collect External Environment Data **1.2.5** Analyze External Environment Data **1.2.6** Disseminate External Environment Analysis Results	
Prospective Employee		External Environment Report

E-Gov HR LOB	PROCESS: 1.3 Develop HC and HR Strategies	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

Management	HR Organization	Prospective Employee

Management / HR Organization / Prospective Employee

1.3.1 (a) — Formulate/Update HC Mission and Vision

1.3.2 (a) — Develop Multi-year HC Objectives and Strategies

1.3.3 (a) — Establish HC Goals, Milestones & Evaluation Criteria

1.3.4 — Report on Progress Against HC & HR Objectives and Strategies

1.3.1 (b) — Formulate/Update HR Mission and Vision

1.3.2 (b) — Develop Multi-year HR Objectives and Strategies

1.3.3 (b) — Establish HR Goals, Milestones & Evaluation Criteria

Input/Output:

Administration's Agenda, Agency Mission and Vision, External Environment Report, Internal Environment Report, Analysis of Leading Practices, Agency Objectives and Strategies, HC Budget, Agency Workforce Plan, Existing Recruitment and Employee Development Programs

HC & HR Progress Report

HC & HR Goals, Milestones & Evaluation Criteria

HC & HR Strategies and Objectives

HC & HR Mission and Vision

E-Gov HR LOB	PROCESS: 1.4 Establish HR Policy and Practices	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

WHO	WHAT	Input/Output
Management		Government-wide and/or Agency-specific Laws, Rules Regulations, Trends or Initiatives, Agency Objectives and Strategies, HC Mission and Vision, HC Budget, External Environment Report, Internal Environment Report, Agency Workforce Plan, Existing Recruitment and Employee Development Programs, Administration's Agenda
HR Organization	**1.4.1** Review Legislation, Regulations, Trends and Initiatives — **1.4.2** Formulate HR Policy — **1.4.3** Review HR Policy for Approval — **1.4.4** Plan Implementation of HR Policy — **1.4.5** Implement HR Guidelines or Procedures	Notification of Change in Government-wide Laws, Rules, Regulations, Trends or Initiatives, OPM Guidance, Federal Human Capital Survey, Program Performance and Evaluation Results
Prospective Employee		Policy Action Plan
		HR Policy Publications, HR Guidelines or Procedures Publications
		Approved HR Policy

E-Gov HR LOB	PROCESS: 1.5 Manage Competency Model	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

Management		HC Strategy, HR Strategy, Workforce Plan, OPM Guidance and Templates, Internal and External Industry Best Practices
HR Organization	1.5.1 Identify and Develop Competency Model → 1.5.2 Create Competency Validation Process → 1.5.3 Validate Competency Model → 1.5.4 Execute Competency Model → 1.5.5 Assess Competency Model	
Prospective Employee / Employee		Integrated Agency Competency Model That Supports Agency and HC Strategy With an Actionable Change Management Plan

E-Gov HR LOB	PROCESS: 1.6 Conduct Workforce Planning	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

WHO	WHAT	Input/Output
Management		Agency Strategies and Objectives, Agency Budget, Agency Programs, HC Mission and Vision, HC Objectives and Strategies, HC Budget, HR Mission and Vision, HR Objectives and Strategies, HR Budget, Existing Staffing Levels, Administration's Agenda
HR Organization	**1.6.1** Review Agency Products, Services, Functions, and Organizations → **1.6.2** Determine HC Demand → **1.6.3** Determine HC Supply → **1.6.4** Document HC Gap → **1.6.5** Develop Workforce Plan	Department of Labor Workforce Projections, Workforce Demographic Trends, Existing FTE Budget, Previous Workforce Plan, Succession Plan, Staffing Flexibilities
		Current Workforce Data, Proposed Staffing Requirements, Current Workforce Competency Profile, Agency Budget, Agency EEO Profile
Employee		Approved Workforce Plan

E-Gov HR LOB	PROCESS: 1.7 Conduct Succession Planning		egov
	ACTIVITY FLOW DIAGRAM		
WHO	*WHAT*		*Input/Output*

WHO	WHAT	Input/Output
Management		Agency Strategies and Objectives, Agency Budget, Agency Programs, Current Workforce Data
	1.7.1 **Identify Key Positions & Occupations** → 1.7.2 **Determine Future Competency Requirements** → 1.7.3 **Build Target Competency Profiles** → 1.7.5 **Create Agency Succession Development Strategy**	Proposed Staffing Requirements, Current Workforce Competency Profile, Career Paths, Internal Pipeline, Staff Acquisition Strategy, Staff Acquisition Plan, Agency HC Demand Model, Agency HC Supply Model
HR Organization	1.7.4 **Match Employees to Target Competency Profiles**	Current Workforce Competency Profile
Employee		Agency Succession Development Strategy, Impact Analysis, Risk Assessment
		Succession Plan

E-Gov HR LOB	PROCESS: 1.8 Manage HR Budget	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

Management		Agency Budget, HR Mission and Vision, HR Objectives and Strategies, Short Term HR Goals and Milestones, Previous Year HR Budget, Workforce Plan, Previous Year Financial Reports, Government-wide Agency-specific Initiatives, Administration's Agenda, E-Gov Strategies, HC Mission and Vision, HC Objectives and Strategies, HR Goals, Milestones and Evaluation Criteria, Agency HC Demand Model, Agency HC Supply Model, Pervious Year Performance Reports
HR Organization	1.8.1 Formulate HR Budget → 1.8.2 Submit HR Budget → 1.8.3 Execute Against Approved HR Budget → 1.8.4 Report Against HR Budget	
Employee		Performance Reports, Financial Reports
		Approved HR Budget

E-Gov HR LOB	PROCESS: 1.9. Provide HR Consultative Support	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

Management		FAQs, HR Related Content, HR Customer Needs
		Agency Communication Requirements
		Requests for HR Consultation
	1.9.1 Identify Consultative Needs → **1.9.2** Develop Consultative Strategy & Plan	
HR Organization	**1.9.3** Develop Content & Tools → **1.9.4** Provide Counsel	
Employee		Knowledge to Customers
		Communication Modules, Knowledge Networks

E-Gov HR LOB	PROCESS: 1.10 Measure and Improve HR Performance	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

Management		Previous Performance Results, Agency Objectives and Strategies, HR Objectives and Strategies

1.10.1

Validate HR Performance Measures and Metrics

1.10.2

Track HR Performance Results

1.10.3

Analyze HR Performance Results

HR Organization

Employee

Performance Improvement Plans

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2. Staff Acquisition Processes

Strategize and Plan

Acquire

| 2.1 Develop SA Strategy | 2.2 Develop SA Plan | 2.3 Establish Evaluation Approach | 2.4 Source Candidate | 2.5 Evaluate Candidate | 2.6 Hire Employee |

1. HR Strategy

Sustain

3. Organization and Position Management

4. Compensation Management

5. Benefits Management

6. Employee Development and Performance Management

7. Employee Relations

8. Labor Relations

Separate

9. Separation Management

E-Gov HR LOB	PROCESS: 2.1 Develop Staff Acquisition Strategy	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

Management		Quantified Hiring Needs, FY Staffing Budget, Human Capital (HC) Implementation Plan, Workforce Plan, Succession Plan, FY Performance Plan, FY Performance Budget, Marketplace and Diversity Data, Past Recruitment Experience

2.1.1 Analyze Hiring Needs

2.1.2 Review Laws, Regulations, Policies, Guidelines

2.1.3 Identify Sourcing Strategies

2.1.4 Develop SA Strategy

2.1.5 Communicate SA Strategy

HR Organization

Prospective Employee

Federal HR Related Legislation, HR Laws, Regulations, and Policies, HR Guidelines, Labor Agreements

Staff Acquisition (SA) Strategy

Recruitment Sourcing Strategies

Hiring Requests

E-Gov HR LOB	PROCESS: 2.2 Develop Staff Acquisition Plan	egov
	ACTIVITY FLOW DIAGRAM	
WHO	WHAT	Input/Output

Management		Hiring Requests, Classification Standards, Description of Duties
		SA Strategy, Recruitment Sourcing Strategies, Previous Sourcing Results, Turnover Statistics by Position
	2.2.1 Determine Classification of Positions · **2.2.2** Determine Appropriate Applicant Source Options · **2.2.3** Develop SA Plan · *Contracting*	
HR Organization		
Prospective Employee		Staff Acquisition Plan
		Classified Position Descriptions and/ or Job Requirements

E-Gov HR LOB	PROCESS: 2.3 Establish Evaluation Approach	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

WHO	WHAT	Input/Output
Management		Performance Standards, Competency Libraries
		Classified Position Descriptions and/ or Job Requirements, SA Plan
	2.3.1 Conduct Job Analysis → **2.3.2** Develop Selection Criteria for Different Positions → **2.3.3** Establish Assessment Instruments	
HR Organization		
Prospective Employee		Selection Criteria, Assessment Instruments
		Job Analysis Results

E-Gov HR LOB	PROCESS: 2.4 Source Candidate	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

WHO	WHAT	Input/Output
Management		Classified Position Descriptions and / or Job Requirements, SA Plan, Historical Data from Previous Years, FY Staffing Budget, Specific Applicant Sources
		Selection Criteria, Assessment Instruments
	2.4.1 Finalize Applicant Sources	
	2.4.2 Announce/Market Jobs	
HR Organization	**2.4.4** Receive Applicant Documentation	
Prospective Employee	**2.4.3** Apply for Employment	Acknowledgement of Receipt of Applicant Documentation, Recorded Applicant Documentation
		Vacancy Case File
		Candidate Sources

E-Gov HR LOB	PROCESS: 2.5 Evaluate Candidate	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

Management		List of Special Authority Candidates, List of Qualified / Eligible Candidates, SA Plan, Rating and Ranking Instruments, Recorded Applicant Documentation, Selection Criteria, Eligibility Requirements, Qualification Standards, Federal Rules on Preference (external), Staffing Compliance Requirements

2.5.5
Make Tentative Selection

HR Organization	2.5.1 **Rate to Determine Candidates to be Referred** 2.5.1 **Determine Qualified/Eligible Applicants** 2.5.1 **Apply Federal Rules on Preferences**	

2.5.2 **Refer Candidates for Selection**

2.5.3 **Conduct Interviews**

2.5.4 **Conduct Reference Checks**

Special Authority Candidates

References Provided by Candidate

Prospective Employee		

List of Candidate(s) for Job Offer(s)

E-Gov HR LOB	PROCESS: 2.6 Hire Employee	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

WHO	WHAT	Input/Output
Management		Federal Rules on Preference (external), Government-wide Laws, Rules and Regulations, Requirements, Guidelines, Staffing Compliance Requirements, List of Candidates for Job Offers, SA Plan
HR Organization	**2.6.2** Extend Job Offer / **2.6.1** Validate Selections / **2.6.4** Initiate Pre-employment Processes / **2.6.5** Certify Compliance with Pre-employment Requirements / **2.6.6** Bring Candidate On Board / **2.6.7** Close Out Case File	Pre-employment forms (e.g. Security Clearance)
Prospective Employee	**2.6.3** Accept Job Offer	Notification Letters, Employee Files, Closed Vacancy Case File
		Post Employment Documentation and Notification, Completed Requisition,

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3. Organization and Position Management Process

Strategize and Plan

1. HR Strategy

3.1 Administer Organization and Position Management

Acquire

2. Staff Acquisition

Sustain

4. Compensation Management

5. Benefits Management

6. Employee Development and Performance Management

7. Employee Relations

8. Labor Relations

Separate

9. Separation Management

E-Gov HR LOB	PROCESS: 3.1 Administer Organization and Position Management	egov
	ACTIVITY FLOW DIAGRAM	
WHO☐	WHAT☐	Input/Output☐

WHO	WHAT	Input/Output
Management	**3.1.2** Determine Organization Structure **3.1.7** Request Reevaluation	Agency Mission and Vision, Agency Objectives and Strategies, Laws and Regulations, Administration's Agenda, Organizational Structure
HR Organization	**3.1.1** Administer Position Management Program **3.1.3** Establish Job Requirements **3.1.4** Analyze Job Requirements **3.1.5** Evaluate Job Requirements Against Standards / Criteria **3.1.6** Maintain Positions **3.1.8** Review Reevaluation Request **3.1.9** Adjudicate Appeal **3.1.10** Implement Appeal Decision	Agency Budget, Workforce Plan, Agency Programs and Initiatives, Human Capital (HC) Management Plan, HC Objectives and Strategies, Workforce Plan, Management Reorganization, Legislative Action, OPM's Occupational Study Results and Resulting New / Revised Classification Standards, Consistency Review Results, Third Party Decisions, Classification Standards and Criteria
Employee / Prospective Employee	**Request Reevaluation**	Employee or Manager Provided Documentation Description of Duties, Classified Job, HR Advice, HR Policy, Agency Procedures
		Revised Descriptions of Duties, Job Reclassifications, Personnel Actions, Classified Job

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4. Compensation Management Processes

Strategize and Plan

1. HR Strategy

Acquire

2. Staff Acquisition

Sustain

3. Organization and Position Management

| 4.1 Adopt Non-discretionary Compensation Programs | 4.2 Adopt Alternative Compensation Protrams | 4.3 Adopt Discretionary Compensation Programs | 4.4 Administer Bonus and Monetary Awards Programs | 4.5 Administer Pay Changes | 4.6 Manage Time, Leave and Pay | 4.7 Manage Payroll |

5. Benefits Management

6. Employee Development and Performance Management

7. Employee Relations

8. Labor Relations

Separate

9. Separation Management

E-Gov HR LOB	PROCESS: 4.1 Adopt Non-discretionary Compensation Programs	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

WHO	WHAT	Input/Output
Management		Government-wide Laws, Rules, and Regulations, OPM Regulations and/or Guidelines
HR Organization	**4.1.1** Establish or Adopt Non-discretionary Compensation Program → **4.1.2** Implement Non-discretionary Compensation Program → **4.1.3** Create Non-discretionary Compensation Program Communications Approach and Content	
Prospective Employee / Employee		Agency Non-discretionary Compensation Program(s) Communication Approach and Content
		Implementation Plan, Systems Requirements, Process Design Changes

E-Gov HR LOB	PROCESS: 4.2 Adopt Alternative Compensation Programs	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

Management		Emerging Compensation Trends, Leading Practices, Employment Market Benchmark Data, Salary Surveys, Administration's Agenda, Agreements, Agency Budget, Government-wide Laws, Rules, and Regulations, Workforce Plan
HR Organization	**4.2.1** Review Laws, Regulations, Policies and Trends → **4.2.2** Develop Alternative Compensation Program → **4.2.3** Implement Alternative Compensation Program → **4.2.4** Create Alternative Compensation Program Communications and Approach Content	
Prospective Employee / Employee		Alternative Compensation Program Communication Approach and Content
		Implementation Plan, Systems Requirements, Process Design Changes

E-Gov HR LOB	PROCESS: 4.3 Adopt Discretionary Compensation Programs	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

Management

HR Organization

Prospective Employee / Employee

4.3.1
Identify Parity Issues

4.3.2
Establish or Adopt Discretionary Compensation Programs

4.3.3
Implement Discretionary Compensation Programs

4.3.4
Create Discretionary Compensation Program Communications Approach and Content

Workforce Plan, Human Capital Supply Model, Human Capital Demand Model, Salary Surveys

Government-wide Laws, Rules and Regulations, Mandatory Government Compensation Program, Budget, Agreements, Stakeholder Input

Agency Discretionary Compensation Program Communication Approach and Content

Implementation Plan, Systems Requirements, Process Design Changes

E-Gov HR LOB	PROCESS: 4.4 Administer Bonus and Monetary Awards Programs	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

WHO	WHAT	Input/Output
Management	**4.4.1** Identify Awards and Bonus Payout Strategies	Agency Discretionary Compensation Policy, Agency Budget, Agency Performance Results, Workforce Plan, Succession Plan, Legislation, Agreements, Agency Mission and Vision, Stakeholder Input
HR Organization	**4.4.2** Determine Eligibility for Bonus or Monetary Award **4.4.3** Set Bonus or Award Pay **4.4.4** Deliver Discretionary Compensation Communication	Bonus or Award Eligibility Guidelines, Annual Performance Rating, Management Input Discretionary Compensation Program Communication Approach and Content
Prospective Employee / Employee		Discretionary Compensation Program Communication Bonus or Award, HR Transaction

E-Gov HR LOB	PROCESS: 4.5 Administer Pay Changes	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*
Management		Agency Non-discretionary Compensation Policy, Agency Alternative Compensation Policy, Agency Discretionary Compensation Policy, Pay Change Guidelines, Employee Performance, Time in Grade, Agency Budget, Management Action, Employee Request, Agreements, Personnel Action
HR Organization	4.5.1 **Identify Employees To Receive Pay Change**	
Prospective Employee / Employee		Employee Step, Grade or Salary Updates, Allowances, HR Transaction

E-Gov HR LOB	PROCESS: 4.6 Manage Time, Leave and Pay	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

WHO	WHAT	Input/Output
Management	**4.6.2** Schedule Employees **4.6.4** Certify Employee Attendance Data	Leave Policy and Guidelines, Leave Begin and End Dates, Approved Time and Attendance and Project Cost Data, Beginning Leave Balances Agency Available Work Schedules, Legislation, Union Agreements, Employee Preferences, Roster of Employees, Assigned Employee Roles, Project Workload
HR Organization	**4.6.1** Manage Leave Usage	Employee Information, Current Leave Accrual, Official Time Tracking Data
Prospective Employee / Employee	**4.6.3** Attest Attendance Data	Approved Time and Attendance, and Project Cost Data Current Leave Balance, Leave End Date, Leave Documentation, Continuation of Leave Request

E-Gov HR LOB	PROCESS: 4.7 Manage Payroll	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

WHO:
- Management
- HR Organization
- Prospective Employee / Employee

WHAT:

| 4.7.2 Prepare for Payroll Processing | 4.7.3 Process On-cycle Payroll / 4.7.4 Process Manual Payroll | 4.7.5 Process Disbursements to Third Parties | 4.7.6 Handle Payroll Issues | 4.7.7 Distribute Labor Costs | 4.7.8 Perform Periodic Reporting |

4.7.1 Manage Employee Furnished Payroll Data

Input/Output:
- Employee Furnished Payroll Data
- Pay Schedule, Employee Time Card Hours Worked, Employee Pay Data or Salary Updates, Voluntary, Involuntary and Mandatory Deductions, Dues Withholding, Allowances
- Pay Limitations
- Payroll Discrepancies, Employee Inquiries
- Labor Cost Distribution Parameters, Obligated Funds, Charge Codes, Time and Attendance Data
- HR Data, Payroll Disbursements
- Reported Payroll Information
- Labor Cost Allocation
- Resolved Payroll Issues, Request for Manual Checks
- Third Party Disbursements
- Pay Disbursements and Advices, Employee Payroll

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5. Benefits Management Processes

Strategize and Plan

1. HR Strategy

Acquire

2. Staff Acquisition

Sustain

3. Organization and Position Management

4. Compensation Management

5.1 Establish Benefits Programs

5.2 Process Benefits Actions

6. Employee Development and Performance Management

7. Employee Relations

8. Labor Relations

Separate

9. Separation Management

E-Gov HR LOB	PROCESS: 5.1 Establish Benefits Programs	egov
	ACTIVITY FLOW DIAGRAM	
WHO	WHAT	Input/Output

Management

5.1.1
Adopt or Establish Discretionary Benefits Programs

5.1.2
Establish Benefits Eligibility Rules

HR Organization

5.1.3
Coordinate Process Implementation with Partners and Providers

5.1.4
Create Benefits Communications Approach and Content

Prospective Employee / Employee

Government-wide Laws, Rules and Regulations, Government-wide Benefit Programs

Regulations, Benefits Industry Products and Services, External Data, Budget, Negotiated Agreements

Mandatory Government Benefits Programs, Discretionary Government Benefits Programs, Agency Benefits Policies

Communications Content, Communication Strategy and Plan

Implementation Plan, Systems Requirements, Process Design Changes, Organizational Change Requirements

Benefits Offerings

E-Gov HR LOB	PROCESS: 5.2 Process Benefits Actions	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

Management		Communications Content, 3rd Party Communication Content, Communication Strategy and Plan
		Service Level Agreements, Provider Pricing Data, Industry Benchmarks, Employee Satisfaction Data, Changes to Provider Offerings
HR Organization	5.2.1 **Deliver Benefits Communication** — 5.2.2 **Manage Provider Contracts** — 5.2.4 **Activate Enrollments** — 5.2.5 **Maintain Appropriate Records**	Agency Benefits Policy, Benefits Offerings
Prospective Employee / Employee	5.2.3 **Elect Benefits**	Employee Records
		Benefits Provider Performance Results, Revised Benefits Provider Service Level Agreement

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6. Employee Development and Performance Management Processes

Strategize and Plan

1. HR Strategy

Acquire

2. Staff Acquisition

Sustain

3. Organization and Position Management

4. Compensation Management

5. Benefits Management

| 6.1 Establish Agency Development and Performance Management Strategy | 6.2 Conduct Employee Development Needs Assessment | 6.3 Design Employee Development Program | 6.4 Establish & Implement Performance Management Plans | 6.5 Implement Employee Development Program | 6.6 Manage Employee Performance | 6.7 Manage Employee Development | 6.8 Evaluate Employee Development Effectiveness |

7. Employee Relations

8. Labor Relations

Separate

9. Separation Management

E-Gov HR LOB	PROCESS: 6.1 Establish Agency Development and Performance Management Strategy		egov
	ACTIVITY FLOW DIAGRAM		
WHO	*WHAT*		*Input/Output*

WHO	WHAT	Input/Output
Management		Government-wide Laws, Rules and Regulations, HR Policy, HR Procedures, Agreements
		Agency Mission and Vision, Agency Objectives and Strategies, Human Capital (HC) Mission and Vision, HC Objectives and Strategies, HR Mission and Vision, HR Objectives and Strategies, Workforce Plan, Succession Plan, Staff Acquisition Strategy
HR Organization	**6.1.1** Review Laws, Regulations, Policies and Guidelines → **6.1.2** Develop Agency Development and Performance Management Strategy → **6.1.3** Communicate Agency Development and Performance Management Strategy	
Prospective Employee / Employee		Communicated Agency Development and Performance Management Strategy

E-Gov HR LOB	PROCESS: 6.2 Conduct Employee Development Needs Assessment	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

Management		Projected Agency Human Capital Requirements, Workforce Plan
		Internal and External Program Options, Employee and Union Recommendations
	6.2.1 **Determine Competencies to be Addressed by Employee Development** → 6.2.2 **Identify / Propose Employee Development Program Alternatives** → 6.2.3 **Select Employee Development Programs to be Implemented**	
HR Organization		
Prospective Employee / Employee		Approved Employee Development Programs

E-Gov HR LOB	PROCESS: 6.3 Design Employee Development Program	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

Management									Needs Assessment, Approved Employee Development Program, Government-wide Laws, Rules and Regulations, Policies, Directives, Program Evaluations, Budget

6.3.1 Outline Employee Development Program Content and Methods of Delivery

6.3.2 Determine Methods of Delivery

6.3.3 Define Target Audiences for Employee Development Program

6.3.4 Establish Employee Development Program Goals and Learning Objectives

6.3.5 Establish Overall Implementation Time Frames and Predict Program Life Span

6.3.6 Select Employee Development Program Provider / Offering

6.3.7 Create Employee Development Implementation Plan

6.3.8 Review Employee Development Program Materials

Provider Profile, Provider Offerings

HR Organization

Prospective Employee / Employee

Approved Employee Development Program Content, Program Evaluation Systems

Provider Selection Criteria, Provider Evaluation Results

E-Gov HR LOB	PROCESS: 6.4 Establish and Implement Performance Management Plans	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

WHO	WHAT	Input/Output
Management	**6.4.1** Design Performance Management Plan(s) **6.4.4** Assess Performance Management Plan(s)	Government-wide Laws, Rules and Regulations, Agency Mission and Vision, Agency Objectives and Strategies, Human Capital (HC) Mission and Vision, HC Objectives and Strategies, HR Mission and Vision, HR Objectives and Strategies, Proposed Agency Programs, Workforce Plan, Agency Core Competencies, Agency Policy, Agreements
HR Organization	**6.4.2** Develop Performance Management Process(es) **6.4.3** Implement Performance Management Process(es)	Management System Proposed Revisions, Performance Management Plan
		Agency Performance Results, Performance Trends, Performance-Related Grievances, Other Benchmarks, Leading Practices
Prospective Employee / Employee		Proposed Revisions to Performance Management Plan(s) and Process(es), Performance Management Assessment Results
		Performance Management Communication Materials

E-Gov HR LOB	PROCESS: 6.5 Implement Employee Development Program	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

Management

HR Organization

Prospective Employee / Employee

6.5.1 — **Pilot Employee Development Program**

6.5.2 — **Revise Employee Development Program Content and Methods of Delivery**

6.5.3 — **Announce Employee Development Program**

6.5.4 — **Administer Training**

6.5.5 — **Deliver Employee Development Program**

Input/Output:
- Program Materials, Program Evaluations, Approved Employee Development Program Content
- Employee Development Program Outline, Target Audiences
- Program Evaluations, Employee Record Updates
- Program Registrations, Attendance Data, Group Training Costs, Individual Training Costs, Provider Performance Results and / or Reports
- Program Announcement Materials

E-Gov HR LOB	PROCESS: 6.6 Manage Employee Performance	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

Management	6.6.1	6.6.2	6.6.3	6.6.4	6.6.5	Performance Management Policies, Performance Management Procedures, Previous Performance Results, Previous Performance Plan, Individual Development Plan (IDP), Agency Strategic Plan, Description of Duties, Mission Critical Competencies
		Conduct Feedback	**Complete Annual Performance Appraisal**	**Discuss Annual Performance Appraisal**	**Finalize Performance Appraisal**	Employee Performance Results
HR Organization	**Establish Individual Performance Requirements**					Appropriate 3rd Party Feedback, Documented Feedback
						Recorded Performance Rating, Notification to Compensation
Prospective Employee / Employee		**Conduct Feedback**	**Complete Annual Performance Appraisal**	**Discuss Annual Performance Appraisal**		Documented Dispute of Annual Performance Rating, Performance Improvement Plan, Aggregated Data and Reports, Updated IDP, Recommended Personnel Actions, Revised Performance Plan
						Performance Proficiencies and Deficiencies

E-Gov HR LOB	PROCESS: 6.7 Manage Employee Development	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

Management					Performance Plan, Career Plan, Employee Performance Results, Performance Proficiencies and Deficiencies, Career Path Alternatives, Workforce Plan, Employee Goals and Objectives, Training / Development Catalog, Agency Strategic Plan, Agency Mission and Vision
	6.7.1 Establish Employee Career Plan	6.7.2 Create Individual Development Plan (IDP)	6.7.3	6.7.4	Training Catalog
HR Organization			Execute IDP	Assess Progress Against IDP	Training Results
Prospective Employee / Employee	Establish Employee Career Plan	Create Individual Development Plan (IDP)			Revised IDP, Performance Appraisals
					Performance Plan, Updated Career Plan

E-Gov HR LOB	PROCESS: 6.8 Evaluate Employee Development Effectiveness	egov
	ACTIVITY FLOW DIAGRAM	
WHO	WHAT	Input/Output

WHO	WHAT	Input/Output
Management		Completed Program Evaluation Forms
	6.8.2 Evaluate Employee Development Program Results **6.8.3** Evaluate Long-term Impacts and Value of Employee Development Programs	Participant Surveys, Manager Surveys, Participants' Performance Appraisals
		Agency Performance Results
HR Organization	**6.8.1** Evaluate Employee Development Program	
		Program Effectiveness Conclusions, ROI Assesment
		New Program, Program Material Revisions, Program Effectiveness Conclusions, Assessment Results
Prospective Employee / Employee		Program Evaluation Trends, Program Material Revisions, Updated Training / Development Catalog(s)

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7. Employee Relations Processes

Strategize and Plan

1. HR Strategy

Acquire

2. Staff Acquisition

Sustain

3. Organization and Position Management

4. Compensation Management

5. Benefits Management

6. Employee Development and Performance Management

| 7.1 Address Employee Misconduct | 7.2 Address Employee Performance Problems | 7.3 Manage Administrative Grievances | 7.4 Provide Accommodation | 7.5 Administer Employee Assistance Program | 7.6 Participate in Administrative Third Party Proceedings | 7.7 Determine Candidate / Employee Suitability |

8. Labor Relations

Separate

9. Separation Management

E-Gov HR LOB	PROCESS: 7.1 Address Employee Misconduct	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

		Agency Policies, Government-wide Laws, Rules, and Regulations, Agreements
Management		Alleged Employee Misconduct, Case Law, Agency Precedent, Guidelines on Documenting Offence and Appropriate Actions, Legal / HR Advice and Guidance
	7.1.1 **Establish Employee Conduct Expectations** → 7.1.2 **Communicate Employee Conduct Expectations** → 7.1.3 **Conduct Fact Finding Into Employee Misconduct** → 7.1.4 **Execute Formal or Informal Action**	
HR Organization		
Prospective Employee / Employee		Agency Case File Decision Letters, Settlement Agreement, Transaction
		Referral
		Communication Materials

E-Gov HR LOB	PROCESS: 7.2 Address Employee Performance Problems	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

WHO	WHAT	Input/Output
Management		Interim Performance Rating, Performance Plan, Annual Performance Rating, Performance Proficiencies and Deficiencies, Performance Improvement Plan (PIP), PIP Results, Case Law, Precedent Findings, Government-wide Laws, Rules and Regulations, Agency Policies
HR Organization	**7.2.1** Address Performance Improvement Plan Results → **7.2.2** Execute Formal or Informal Action	
Prospective Employee / Employee		Agency Case File Decision Letter, Transaction

E-Gov HR LOB	PROCESS: 7.3 Manage Administrative Grievances	egov
	ACTIVITY FLOW DIAGRAM	
WHO	WHAT	Input/Output

Management		Employee(s) Claim of Wrongdoing
		Alternative Resolution Methods
		Agreements, Interests of the Parties, Agency Policies and Procedures
		Legal / HR Advice and Guidance, Government-wide Laws, Rules, and Regulations, Third Party Decisions, Case Law

7.3.1 Identify Issue

7.3.2 Advise on Means of Resolution

7.3.4 Engage in Alternative Dispute Resolution

7.3.5 Process Grievance

7.3.6 Render Decision on Grievance

7.3.3 File Formal Grievance

HR Organization

Prospective Employee / Employee

Grievance Decision

Resolved Dispute, Settlement Agreement

Resolution

E-Gov HR LOB	PROCESS: 7.4 Provide Accommodation	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

Management		Employee Request, Third Party Decision
		Documentation, Agency Policy and Procedures, Government-wide Laws, Rules and Regulations, Job Requirements, Legal / HR Advice and Guidance

7.4.2 Determine Accommodation Needs

7.4.3 Put Accommodation Into Place

HR Organization

7.4.1 Request Accommodation

Prospective Employee / Employee

Accommodation

Acknowledgement, Request for Documentation

E-Gov HR LOB	PROCESS: 7.5 Administer Employee Assistance Program (EAP)	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

		Government-wide Laws, Rules and Regulations, EAP Service Offerings
Management		EAP Service Provider Contract Information
	7.5.1 — **Provide EAP Services** → 7.5.2 — **Make Referrals to EAP Services**	
HR Organization		
Prospective Employee / Employee		Employee Referral
		New or Renewed EAP Services, Communications

E-Gov HR LOB	PROCESS: 7.6 Participate In Administrative Third Party Proceedings	egov
	ACTIVITY FLOW DIAGRAM	
WHO☐	WHAT☐	Input/Output☐

		Input/Output
Management		Appealable Decision / Action, Government-wide Laws, Rules and Regulations
		Request for Discovery, Interrogatories, Legal / HR Advice and Guidance
	7.6.2 7.6.3 7.6.4 7.6.5 7.6.6 7.6.7	Notification from Third Party
	Prepare a Response to Third Party Filing **Appeal Third Party Decision** **Implement Third Party Decision / Settlement**	Notice of Hearing, Meeting or Trial, Case File, Case Law
HR Organization	**Engage in Discovery** **Participate in Alternative Dispute Resolution** **Participation in Hearing / Meeting / Trial**	
		Compliance Report, Data Transactions, Settlement Agreement
	7.6.1	Appeal
Prospective Employee / Employee	**File With a Third Party**	Resolved Dispute, Continued Third Party Process
		Agency Response
		Response to Discovery Request, Discovery Request

E-Gov HR LOB	PROCESS: 7.7 Determine Candidate / Employee Suitability	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

Management		Background Investigative File, Financial Disclosure
		Government-wide Laws, Rules, and Regulations, Agency Precedent
	7.7.3 Adjudicate Suitability Issues	
HR Organization	**7.7.1** Review Investigative File	
Prospective Employee / Employee	**7.7.2** Respond to Request for Information	
		Suitability Determination, Notification to Candidate / Employee with Appeal Rights, Report to OPM

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8. Labor Relations Processes

Strategize and Plan

Acquire

2. Staff Acquisition

1. HR Strategy

Sustain

3. Organization and Position Management

4. Compensation Management

5. Benefits Management

6. Employee Development and Performance Management

7. Employee Relations

8.1 Manage Labor Relations

8.2 Manage Negotiated Grievances

8.3 Participate in Negotiated Third Party Proceedings

Separate

9. Separation Management

E-Gov HR LOB	PROCESS: 8.1 Manage Labor Relations										egov
	ACTIVITY FLOW DIAGRAM										
WHO	WHAT										Input/Output

Management	8.1.1	8.1.2	8.1.3	8.1.4	8.1.5	8.1.6	8.1.7	8.1.8	8.1.9	8.1.10	Petitions or Interest Cards, Agency Response, Agency Employee Data
	Obtain Recognition	Clarify Bargaining Units and Representation	Establish Communication Protocol	Initiate Bargaining Process	Prepare for Negotiation	Conduct Negotiation	Perform Agency Head Review	Administer Agreements	Provide for Government-wide or National Consultation	Provide Information To Unions	Clarification of Unit Petitions, Reorganization, MOU / MOA, Government-wide Laws, Rules, and Regulations
Unions											Changes to Conditions of Employment, Statutory Requirements, Notifications and Requests to Bargain
HR Organization											Prior Contracts, New Issues, New Initiatives, Third Party Order, Case Law, LAIRS, Proposals / Counterproposals, Ground Rules
Prospective Employee / Employee											Union Comments or Recommendations, Grievance, Unfair Labor Practice Charge, Release or Denial of Information
											Agreement Compliance, Decision to Initiate Third Party Process, Dues Withholding, Official Time Tracking Data
											Employee Record Updates, Training Requirements

E-Gov HR LOB	PROCESS: 8.2 Manage Negotiated Grievances	egov
	ACTIVITY FLOW DIAGRAM	
WHO	WHAT	Input/Output

WHO	8.2.1	8.2.2	8.2.3	8.2.4	8.2.5	8.2.6	8.2.7	8.2.8	Input/Output
Management			File Formal Grievance			Render Decision on Grievance		Challenge Arbitrator's Decision	Employee(s), Management, or Union Claim of Wrong Doing
Unions					Process Grievance				Alternative Resolution Methods
HR Organization	Identify Issue	Advise on Means of Resolution		Engage in Alternative Dispute Resolution			Participate in the Arbitration Process		Documentation Supporting Grievance, Agreements, Interest of the Parties, Agency Policies and Procedures
									Legal / HR Advice and Guidance, Government-wide Laws, Rules and Regulations, Third Party Decisions, Case Law
									Arbitration Invocation
Prospective Employee / Employee			File Formal Grievance						Filing
									Arbitrator's Decision, Arbitration Case File
									Grievance Decision
									Resolved Dispute, Settlement Agreement

E-Gov HR LOB	PROCESS: 8.3 Participate In Negotiated Third Party Proceedings							egov
	ACTIVITY FLOW DIAGRAM							
WHO	WHAT							Input/Output

WHO	WHAT							Input/Output
Management	8.3.1	8.3.2	8.3.3	8.3.4	8.3.5	8.3.6	8.3.7	Appealable Decision / Action, Negotiation Impasse, Absence of Decision
								Request for Discovery, Interrogatories, Legal / HR Advice and Guidance
								Notification from Third Party
Unions	**File With a Third Party**	**Engage in Discovery**	**Prepare a Response to Third Party Filing**	**Participate in Alternative Dispute Resolution**	**Participation in Hearing / Meeting**	**Appeal Third Party Decision**	**Implement Third Party Decision**	Request to Participate in ADR
								Notice of Hearing or Meeting
HR Organization								Case Law, Government-wide Laws, Rules and Regulations
Prospective Employee / Employee								Compliance Report, Data Transactions, Appeal
								Resolved Dispute, Settlement Agreement
								Response

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9. Separation Management Process

Strategize and Plan

1. HR Strategy

Acquire

2. Staff Acquisition

Sustain

3. Organization and Position Management

4. Compensation Management

5. Benefits Management

6. Employee Development and Performance Management

7. Employee Relations

8. Labor Relations

Separate

9.1 Manage Employee Separation

E-Gov HR LOB	PROCESS: 9.1 Manage Employee Separation	egov
	ACTIVITY FLOW DIAGRAM	
WHO	*WHAT*	*Input/Output*

Management		Separation Notification, Separation Policies, Government-wide Laws, Rules and Regulations
	9.1.4 Conduct Knowledge Transfer	Agency Specific Checklists
		Project Tracking Information
	9.1.2 Determine Terms of Separation	
HR Organization	**9.1.3** Provide Separation Support	**9.1.5** Conduct Exit Processing
	9.1.1 Initiate Separation	
		Status Reports, Position Documentation, Work Products,
Prospective Employee / Employee		Attrition Statistics, Retrieved Assets, Exit Interview Results, Separation Materials, Separation Notifications
		Counseling Documentation
		Employee Entitlements

Appendix B
Process Dictionary

This Appendix contains definitions of each activity, organized by sub-function, by process and by the numeric sequence in which they appear on activity flow diagrams. Activity descriptions appear in a matrix format with three columns. In the first column, the activity numeric identifier appears. In the second column, the activity name and the role(s) that perform the activity appear. The third column contains inputs, the narrative definition of the activity and outputs. Inputs are information that supports the activity to produce business results. Outputs are information or business outcomes produced by the activity. The lists of inputs and outputs are 'superset' lists. All inputs and outputs may not apply to every instance an activity is carried out.

Roles are also defined in the Process Dictionary.

1. Human Resources Strategy Dictionary

Process	1.1 Conduct Internal Environment Analysis	
ID	**Activity Name**	**Activity Definition**
1.1.1	Determine Internal Environment Analysis Scope and Objectives Role: Management HR Organization	*Inputs:* Agency Objectives and Strategies, Previous and Current External Environment Analysis Results, Previous Internal Environment Analysis Results, Internal Customer Needs, Agency and Human Capital Program Performance and Evaluation Results, Emerging Trends, Benchmark Data, CHCO Council Input, Appropriations Hearings, Legislation, Agreements, Agency Budget Establish what agency information will be useful to the Human Capital strategic planning process as a prerequisite to Human Resources strategic planning. "Environment" in this context is an entity within the agency that can provide information for HC planning. *Outputs:* Internal Environment Analysis Scope and Objectives
1.1.2	Collect Internal Environment Data Role: HR Organization	*Inputs:* Internal Environment Analysis Scope and Objectives, Agency Mission and Vision, Agency Objectives and Strategies, Agency Budget, Agency Succession Plan, Agency EEO Profile, Agency Workforce Analysis Gathering agency data that will be relevant to the Human Capital strategic planning process. *Outputs:* Cataloged Internal Environment Data
1.1.3	Analyze Internal Environment Data Role: HR Organization	*Inputs:* Cataloged Internal Environment Data, Internal Environment Scope and Objectives Analyze agency data to produce findings that will be relevant for Human Capital strategic planning. *Outputs:* Internal Environment Findings
1.1.4	Disseminate Internal Environment Analysis Results Role: HR Organization	*Inputs:* Internal Environment Findings Provide internal environment findings to those people whom will be involved in the HR strategic planning process and to others who have a more general interest in Human Capital strategy. *Outputs:* Internal Environment Report

Process	1.2 Conduct External Environment Analysis	
ID	**Activity Name**	**Activity Definition**
1.2.1	Determine External Environment Analysis Scope and Objectives Role: Management HR Organization	*Inputs*: Employment Market, Previous External Environment Analysis Results, Previous and Current Internal Environment Analysis Results, Benchmark Data, Previous and Emerging Customer Needs, Emerging Trends, Leading Practices, Administration's Agenda Establish the overall purpose of doing external environment analysis as a prerequisite to Human Capital strategic planning. "Environment" in this context is an entity outside of the agency that can provide information for HC planning. Using this as a basis, boundaries are drawn around the external research that is to be performed by determining what information in the agency's external environment can provide relevant insight to the HC strategic planning process. *Outputs*: External Environment Analysis Scope and Objectives
1.2.2	Identify External Environment Data Collection Protocols Role: HR Organization	*Inputs*: External Environment Analysis Scope and Objectives Select sources (e.g., OMB, Unions, Congress) and collection approaches that will be used to gather the data external to the agency to be used for Human Capital strategic planning. *Outputs*: External Environment Analysis Protocols
1.2.3	Define External Environment Analysis Protocols Role: HR Organization	*Inputs*: External Environment Analysis Scope and Objectives Select analysis practices and techniques that will be applied to external environment data to produce information and insight useful for Human Capital strategic planning (e.g., surveys, interviews, trend analysis). *Outputs*: External Environment Analysis Methods, External Environment Analysis Plan
1.2.4	Collect External Environment Data Role: HR Organization	*Inputs*: External Environment Analysis Protocols, External Environment Analysis Methods, External Environment Analysis Plan Gather data - using predefined data collection protocols - that will help provide perspective on strategies, trends, issues, events and other insight that will be relevant to the Human Capital strategic planning process. *Outputs*: Cataloged External Environment Data
1.2.5	Analyze External Environment Data Role: HR Organization	*Inputs*: Cataloged External Environment Data Analyze data - using predefined data analysis protocols - that will help provide perspective on strategies, trends, issues, events and other insight that will be useful to Human Capital strategic planning. *Outputs*: External Environment Findings

Process	1.2 Conduct External Environment Analysis	
ID	*Activity Name*	*Activity Definition*
1.2.6	Disseminate External Environment Analysis Results Role: HR Organization	*Inputs:* External Environment Findings Provide external environment findings to those people whom will be involved in the HC strategic planning process and to others who have a more general interest in Human Capital strategy. *Outputs:* External Environment Report

Process	1.3 Develop HC and HR Strategies	
ID	**Activity Name**	**Activity Definition**
1.3.1(a)	Formulate / Update HC Mission and Vision Role: Management HR Organization	*Inputs:* Administration's Agenda, Agency Mission and Vision, External Environment Report, Internal Environment Report, Analysis of Leading Practices Establish / update of the short- and long-term views of what the concept and practice of Human Capital Management means to the agency. It provides philosophical and / or ideological guidance on how management of human capital helps achieve the agency's Mission and Vision. *Outputs:* HC Mission and Vision
1.3.1(b)	Formulate / Update HR Mission and Vision Role: HR Organization	*Inputs:* Administration's Agenda, Agency Mission and Vision, External Environment Report, Internal Environment Report, Analysis of Leading Practices, HC Mission and Vision Establish / update of the short- and long-term views of what the concept and practice of Human Resources means to the agency. It provides philosophical and / or ideological guidance on how Human Resources management helps achieve the agency's mission and vision. *Outputs:* HR Mission and Vision
1.3.2(a)	Develop Multi-year HC Objectives and Strategies Role: Management HR Organization	*Inputs:* Agency Objectives and Strategies, HC Mission and Vision, HC Budget, External Environment Report, Internal Environment Report, Agency Workforce Plan, Existing Recruitment and Employee Development Programs Establish Human Capital objectives and strategies that integrate HR activities with the achievement of the agency mission and vision in a global environment. *Outputs:* HC Objectives and Strategies
1.3.2(b)	Develop Multi-year HR Objectives and Strategies Role: HR Organization	*Inputs:* Agency Objectives and Strategies, HC Mission and Vision, HC Budget, External Environment Report, Internal Environment Report, Agency Workforce Plan, Existing Recruitment and Employee Development Programs, HC Objectives and Strategies, HR Mission and Vision Establish Human Resources objectives and strategies that integrate HR activities with the achievement of the agency mission and vision in a global environment and in the context of the multi-year HC objectives and strategies. *Outputs:* HR Objectives and Strategies

Process	1.3 Develop HC and HR Strategies	
ID	**Activity Name**	**Activity Definition**
1.3.3(a)	Establish HC Goals, Milestones and Evaluation Criteria Role: Management HR Organization	*Inputs*: HC Objectives and Strategies, HR Budget Develop annual plans that provide tangible goals, milestones and evaluation criteria that will show HC organization's progress toward its long-term objectives and strategies. The annual planning cycle corresponds to the Federal government's fiscal year. *Outputs*: HC Goals, Milestones and Evaluation Criteria
1.3.3(b)	Establish HR Goals, Milestones and Evaluation Criteria Role: HR Organization	*Inputs*: HR Objectives and Strategies, HR Budget Develop annual plans that provide tangible goals, milestones and evaluation criteria that will show HR organization's progress toward its long-term objectives and strategies. The annual planning cycle corresponds to the Federal government's fiscal year. *Outputs*: HR Goals, Milestones and Evaluation Criteria
1.3.4	Report on Progress Against HC and HR Objectives and Strategies Role: Management HR Organization	*Inputs*: HC Objectives and Strategies, HC Goals, Milestones and Evaluation Criteria, HR Objectives and Strategies, HR Goals, Milestones and Evaluation Criteria Create and disseminate information about HC and HR goals and milestones achieved. If warranted, this information may be used to adjust short-term HC and HR goals and milestones. *Outputs*: HC & HR Progress Report

Process	1.4 Establish HR Policy and Practices	
ID	**Activity Name**	**Activity Definition**
1.4.1	Review Legislation, Regulations, Trends and Initiatives Role: HR Organization	*Inputs*: Government-wide and / or Agency Specific Laws, Rules, Regulations, Trends or Initiatives, Agency Objectives and Strategies, HC Mission and Vision, HC Budget, External Environment Report, Internal Environment Report, Agency Workforce Plan, Existing Recruitment and Employee Development Programs, Administration's Agenda Monitor on a continual basis of events or trends that could trigger the development of new HR policy or the revision of existing HR policy. *Outputs*: Notification of Change in Government-wide Laws, Rules, Regulations, Trends or Initiatives
1.4.2	Formulate HR Policy Role: Management HR Organization	*Inputs*: Notification of Change in Government-wide Laws, Rules, Regulations, Trends or Initiatives, OPM Guidance, Federal Human Capital Survey, Program Performance and Evaluation Results Draft new HR policy or policy revisions in response to newly enacted legislation, regulations, agency strategic direction, OPM guidance, HR trends, initiatives or insight gained from employee surveys. *Outputs*: Proposed HR Policy
1.4.3	Review HR Policy for Approval Role: Management HR Organization	*Inputs*: Proposed HR Policy Deliver of proposed policy to the parties who have a role in the review and approval process. These parties may be internal to the agency (e.g., Agency Director, employee interest groups) and / or external to the agency (e.g., legislative sub-committee, OPM, OMB, Unions). *Outputs*: Approved HR Policy
1.4.4	Plan Implementation of HR Policy Role: Management HR Organization	*Inputs*: Approved HR Policy Collaborate with stakeholders to develop and institutionalize a Policy Action Plan. *Outputs*: HR Policy Publications, Policy Action Plan
1.4.5	Implement HR Guidelines or Procedures Role: HR Organization	*Inputs*: Approved HR Guidelines or Procedures Communication and institutionalize new HR guidelines or procedures. Disseminate and execute new HR policy via a variety of means including publications, training and outreach. *Outputs*: HR Policy Publications, HR Guidelines or Procedures Publications

Process	1.5 Manage Competency Model	
ID	**Activity Name**	**Activity Definition**
1.5.1	Establish Competency Model Role: Management HR Organization	*Inputs:* HC Strategy, HR Strategy, Workforce Plan, OPM Guidance and Templates, Internal and External Industry Best Practices, Proposed Revision for Competency Model Identify and develop competency model to encompass cross functional and technical skills. *Outputs:* Competency Model by Occupation
1.5.2	Create Competency Validation Process Role: HR Organization	*Inputs:* OPM guidance, Government-wide Laws, Rules and Regulations, Legislation, Best Practices Identify specific repeatable, measurable and defensible tests. *Outputs:* Defensible Validation Methodology
1.5.3	Validate Competency Model Role: HR Organization	*Inputs:* Competency Model, Internal and External Industry Best Practices. Verify and accept model for each occupation. *Outputs:* Validated Competency Model per Occupation or Modification per Occupation.
1.5.4	Execute Competency Model Role: HR Organization	*Inputs:* Validated Competency Model Share, integrate and institute Competency Model and Change Management Practices throughout organization for each occupation. Disseminate to other federal organizations with same occupations. *Outputs:* Integrated Agency Competency Model, Change Management Plan.
1.5.5	Assess Competency Model Role: Management HR Organization	*Inputs:* Active Competency Model, Feedback from Practitioners, Industry Changes. Evaluate appropriateness and applicability of competency model components per occupation. Propose changes for validation and acceptance. *Outputs:* Proposed Revisions for Competency Model

Process	1.6 Conduct Workforce Planning	
ID	Activity Name	Activity Definition
1.6.1	Review Agency Products, Services, Functions and Organizations Role: Management HR Organization	*Inputs:* Agency Strategies and Objectives, Agency Budget, Agency Programs, HC Mission and Vision, HC Objectives and Strategies, HC Budget, HR Mission and Vision, HR Objectives and Strategies, HR Budget, Existing Staffing Levels, Administration's Agenda Gather and synthesize information necessary to predict agency demand for human capital over time. *Outputs:* Agency Human Capital Demand Predictive Information
1.6.2	Determine HC Demand Role: Management HR Organization	*Inputs*: Agency Human Capital Demand Predictive Information The determine of the composition of the workforce required to strategically position the agency to realize its mission and vision, meet its objectives and strategies, and provide high quality products and services to the customers it serves. This involves a forecasting of competencies, demographics and educational backgrounds the agency will need in the future to meet agency program needs. It also requires having an overall sense of direction regarding organizational structures and style. Forecast workload and technology impact. *Outputs*: Agency HC Demand Model
1.6.3	Determine HC Supply Role: Management HR Organization	*Inputs*: Department of Labor Workforce Projections, Workforce Demographic Trends, Existing FTE Budget, Previous Workforce Plan, Succession Plan, Staffing Flexibilities Conduct analysis in order to forecast the availability of human capital over time, given internal agency sources, other Federal government sources and sources external to the Federal government. *Outputs*: Agency HC Supply Model
1.6.4	Document HC Gap Role: Management HR Organization	*Inputs:* Agency HC Demand Model, Agency HC Supply Model, Current Workforce Data, Proposed Staffing Requirements, Current Workforce Competency Profile, Agency Budget, Agency EEO Profile Compare existing FTE staffing levels and corresponding inventory of workforce competencies, skill sets, knowledge, abilities, demographics and educational backgrounds to future needs in order to predict workforce skill deficits and surpluses over time. *Outputs:* Projected Agency HC Requirements
1.6.5	Develop Workforce Plan Role: Management HR Organization	*Inputs:* Projected Agency HC Requirements, Agency HC Demand Model, Agency HC Supply Model Translation projected agency HC requirements – derived in the workforce skills gap analysis -- into a formal plan for achieving staffing levels over time to successfully meet agency program needs. *Outputs:* Approved Workforce Plan

Process	1.7 Conduct Succession Planning	
ID	**Activity Name**	**Activity Definition**
1.7.1	Identify Key Positions and Occupations Role: Management HR Organization	*Inputs:* Agency Strategies and Objectives, Agency Budget, Agency Programs, Current Workforce Data Identify key positions and occupations to be included in the Succession Plan. This succession planning scope is typically contained within an agency. However, succession opportunities across Agencies may also be identified. *Outputs:* Succession Planning Scope
1.7.2	Determine Future Competency Requirements Role: Management HR Organization	*Inputs:* Succession Planning Scope, Proposed Staffing Requirements, Current Workforce Competency Profile, Career Paths, Internal Pipeline, Staff Acquisition Strategy, Staff Acquisition Plan, Agency HC Demand Model, Agency HC Supply Model Determine the overall inventory of competencies the agency will need for the key positions and occupations in the succession planning scope. *Outputs:* Future Competency Requirements
1.7.3	Build Target Competency Profiles Role: Management HR Organization	*Inputs:* Future Competency Requirements Align or correlate competencies into groupings to build competency profiles (e.g., technical program management, design engineering, position classification) for succession planning purposes. *Outputs:* Target Competency Profiles
1.7.4	Match Employees to Target Competency Profiles Role: HR Organization	*Inputs:* Current Workforce Competency Profile, Target Competency Profiles Identify employees whose competencies match one or more competency profiles or who have strong potential for a match. Assign high level or relative time frames to when competencies will be needed and when designated employees should be equipped with the competencies. *Outputs:* Succession Plan
1.7.5	Create Agency Succession Development Strategy Role: Management HR Organization	*Inputs:* Succession Plan Establish a strategy for developing and / or recruiting employees to ensure future competencies exist when key positions are vacated. *Outputs:* Agency Succession Development Strategy, Impact Analysis, Risk Assessment

Process	1.8 Manage HR Budget	
ID	**Activity Name**	**Activity Definition**
1.8.1	Formulate HR Budget Role: Management HR Organization	*Inputs:* Agency Budget, HR Mission and Vision, HR Objectives and Strategies, Short Term HR Goals and Milestones, Previous Year HR Budget, Workforce Plan, Previous Year Financial Reports, Government-wide and Agency-specific Initiatives, Administration's Agenda, E-Gov Strategies, HC Mission and Vision, HC Objectives and Strategies, HR Goals, Milestones and Evaluation Criteria, Agency HC Demand Model, Agency HC Supply Model, Previous Year Performance Reports Perform planning as part of the Federal government's budget planning cycle. Request funds for HR operations, HR programs based on program needs and to meet FY HR goals and milestones, and reformulate the HR budget against actual appropriations. *Outputs:* Proposed HR Budget
1.8.2	Submit HR Budget Role: Management HR Organization	*Inputs:* Proposed HR Budget Submit a draft budget to those individuals who have a role in the review and approval process. A budget may be iteratively refined until approvers endorse it. *Outputs:* Approved HR Budget
1.8.3	Execute Against Approved HR Budget Role: HR Organization	*Inputs:* Approved HR Budget Monitor and control the actual expenditures over time with the objective of constraining spending to approved budget amounts. *Outputs:* Reporting Period Spending Results
1.8.4	Report on HR Budget Role: HR Organization	*Inputs:* Approved HR Budget, Reporting Period Spending Results Creation and disseminate of information on a recurring basis about actual spending and financial performance results compared to budgeted funds. *Outputs:* Financial Reports, Performance Reports

Process	1.9 Provide HR Consultative Support	
ID	**Activity Name**	**Activity Definition**
1.9.1	Identify Consultative Needs Role: Management HR Organization	*Inputs*: FAQs, HR Related Content, Agency HR Consultative Requirements, HR Customer Needs Identify and validate overall agency HR consultation requirements. *Outputs*: Agency HR Consultative Requirements
1.9.2	Develop Consultative Strategy and Plan Role: Management HR Organization	*Inputs*: Agency HR Consultative Requirements The development and validation of an overall HR Consultative and Partnering Strategy and Plan. *Outputs*: HR Consultative Strategy, HR Consultative Plan, HR Partnering Strategy
1.9.3	Develop Content & Tools Role: HR Organization	*Inputs*: Agency Communication Requirements, HR Consultative Strategy, HR Consultative Plan, HR Partnering Strategy Develop content and tools to support the delivery of consultative services. *Outputs*: Communication Modules (e.g., E-mails, Newsletters, Intranet and Internet Articles, Meeting Agendas and Materials, etc.), Knowledge Networks
1.9.4	Provide Counsel Role: HR Organization	*Inputs*: HR Partnering Strategy, Requests for HR Consultation Establish and cultivate partnerships between Human Resources experts and agency employees and line managers, resulting in proactive information sharing that enables personnel to better serve the mission of the agency. *Outputs*: Knowledge to Customers

Process	1.10 Measure and Improve HR Performance	
ID	**Activity Name**	**Activity Definition**
1.10.1	Validate HR Performance Measures and Metrics Role: Management HR Organization	*Inputs:* Previous Performance Results, Agency Objectives and Strategies , HR Objectives and Strategies Review and validate HR performance areas into which the agency would like to have visibility to gauge whether it is meeting HR objectives and strategies, and the corresponding validation of specific performance data that will effectively provide that visibility. Perform a Cost Benefits Analysis to ensure that the HR programs are cost effective and useful to the agency. *Outputs:* New or Validated Performance Measures and Metrics
1.10.2	Track HR Performance Results Role: HR Organization	*Inputs:* Performance Tracking Process, New or Validated Performance Measures and Metrics Collect, analyze, and report performance data on a recurring basis. *Outputs:* Performance Results
1.10.3	Analyze HR Performance Results Role: Management HR Organization	*Inputs:* Performance Results Examine performance data over time to identify successful practices and improvement opportunities. *Outputs:* Performance Improvement Plans

2. Staff Acquisition Dictionary

Process	2.1 Develop Staff Acquisition Strategy	
ID	**Activity Name**	**Activity Definition**
2.1.1	Analyze Hiring Needs Role: Management HR Organization	*Inputs:* Quantified Hiring Needs, FY Staffing Budget, Human Capital Implementation Plan, Existing Vacancies, Agency Strategic Plan, Workforce Plan, Succession Plan, FY Performance Budget, Marketplace and Diversity Data, Past Recruitment Experience Examine information that correlates to future hiring activity including approved FTE budgets, overall hiring needs and vacancies. This analysis provides the overall perspective necessary to create a strategy for acquiring staff at the agency level. *Outputs:* Overall Assessment of Hiring Needs, Analysis Results, Hiring Requests
2.1.2	Review Laws, Regulations, Policies, Guidelines Role: HR Organization	*Inputs:* Federal HR-Related Legislation, HR Laws, Regulations and Policies, HR Guidelines, Agreements, Analysis Results Review and analyze legislation, HR laws, regulations, policies and guidelines, union contracts and any information that can help provide a basis for strategic thinking in the areas of staff acquisition, recruiting and retention. *Outputs:* Staffing Compliance Requirements, Staffing Flexibilities
2.1.3	Identify Sourcing Strategies Role: Management HR Organization	*Inputs:* Overall Assessment of Hiring Needs, Staffing Compliance Requirements, Staffing Flexibilities, Analysis Results, Identify sourcing strategies based on the analysis of hiring needs. The sourcing strategies may include recruitment, internal movement, contracting, and other staffing methods. *Outputs:* Sourcing Strategies
2.1.4	Develop SA Strategy Role: Management HR Organization	*Inputs:* Overall Assessment of Hiring Needs, Staffing Compliance Requirements, Staffing Flexibilities, Sourcing Strategies, Analysis Results Develop a staff acquisition strategy that summarizes approaches to identify, attract and retain a qualified and diverse applicant base to meet current, ongoing and future hiring needs. The development of the SA Strategy will include identification of performance metrics against which to measure actual results against the strategy. *Outputs:* Staff Acquisition Strategy
2.1.5	Communicate SA Strategy Role: Management HR Organization	*Inputs:* Staff Acquisition Strategy Convey the staff acquisition strategy to various populations (e.g., agency executives, HR staff, agency line managers). *Outputs:* Communicated SA Strategy

Process	2.2 Develop Staff Acquisition Plan	
ID	**Activity Name**	**Activity Definition**
2.2.1	Determine Classification of Positions Role: Management HR Organization	*Inputs:* Hiring Requests, Classification Standards, Descriptions of Duties Match hiring requests to previously developed descriptions of duties or creates new descriptions of duties, all maintained electronically. The hiring requests may reflect requirements for a specific position or for a class or group of positions. The descriptions of duties document the requirements of the positions, based on organizational need, and reflect the tasks to be performed and the knowledge, skills and abilities required to successfully perform the tasks. Classify the positions against appropriate standards and determine classification factors for the positions including job family, exempt / non-exempt status, agency grades and full time / part time status. *Outputs:* Classified Descriptions of Duties and / or Job Requirements
2.2.2	Determine Appropriate Applicant Source Options Role: Management HR Organization	*Inputs:* Classified Descriptions of Duties and / or Job Requirements, Staff Acquisition Strategy, Recruitment Sourcing Strategies, Previous Sourcing Results, Turnover Statistics by Position Identify available applicant sources given the source types indicated in the Staff Acquisition Strategy. *Outputs:* Applicant Source Alternatives
2.2.3	Develop SA Plan Role: Management HR Organization	*Inputs:* Staff Acquisition Strategy, Classified Descriptions of Duties and / or Job Requirements, Applicant Source Alternatives Develop a Staff Acquisition Plan that identifies recruiting goals along with the activities to take place over a period of time to successfully meet those goals. It also specifies time frames and resource requirements. *Outputs:* Staff Acquisition Plan

Process	2.3 Establish Evaluation Approach	
ID	**Activity Name**	**Activity Definition**
2.3.1	Conduct Job Analysis Role: Management HR Organization	*Inputs:* Classified Descriptions of Duties and / or Job Requirements, Staff Acquisition Plan, Performance Standards, Competency Libraries Review position descriptions and / or job requirements to determine the competencies, qualifications, education and experience necessary to perform successfully. *Outputs:* Job Analysis Results
2.3.2	Develop Selection Criteria for Different Positions Role: Management HR Organization	*Inputs:* Classified Descriptions of Duties and / or Job Requirements, Staff Acquisition Plan Develop, validate and verify rating criteria and qualification requirements based on the results of the job analysis and within existing government wide and agency specific qualification standards. *Outputs:* Rating Criteria and Qualification Requirements
2.3.3	Establish Assessment Instruments Role: Management HR Organization	*Inputs:* Rating Criteria and Qualification Requirements Establish assessment tools and instruments based on existing best practices and tools that will be used for applicant evaluation. *Outputs:* Selection Criteria, Assessment Instruments

Process	2.4 Source Candidate	
ID	**Activity Name**	**Activity Definition**
2.4.1	Finalize Applicant Sources Role: Management HR Organization	*Inputs:* Classified Descriptions of Duties and / or Job Requirements, Staff Acquisition Plan, Historical Data from Previous Years, FY Staffing Budget, Specific Applicant Sources Determine specific internal and external candidate sources guided by the source options that were identified in the Staff Acquisition Plan. This sourcing activity occurs for detailees and temporary assignees as well as for permanent employees. Candidates with specific priority consideration (e.g., Reemployment Priority Lists (RPL), Career Transition Assistance Program (CTAP)) are considered at this point. *Outputs:* Candidate Sources
2.4.2	Announce / Market Jobs Role: Management HR Organization	*Inputs:* Classified Descriptions of Duties and / or Job Requirements, Staff Acquisition Plan, Selection Criteria, and Assessment Instruments Determine candidate marketing requirements and develop and distribute position announcements, job advertisements and other marketing materials. *Outputs:* Vacancy Announcements, Job Advertisements, Marketing Collateral, Vacancy Case File
2.4.3	Apply for Employment Role: Prospective Employee	*Inputs:* Vacancy Announcements, Job Advertisements, Marketing Collateral Submits an application and / or resume and supporting materials, if required. *Outputs:* Applicant Documentation
2.4.4	Receive Applicant Documentation Role: HR Organization	*Inputs:* Applicant Documentation Receive applicant documentation and capture it in a manner that makes it available to the people who need it. *Outputs:* Acknowledgement of Receipt of Applicant Documentation, Recorded Applicant Documentation

Process	2.5 Evaluate Candidate	
ID	**Activity Name**	**Activity Definition**
2.5.1	Rate to Determine Candidates to be Referred Role: Management HR Organization	*Inputs:* List of Special Authority Candidates, List of Qualified / Eligible Candidates, Staff Acquisition Plan, Rating and Ranking Instruments, Apply rating instruments, one or more ranking schemes and Federal preferences to create a ranked order listing of candidates. Use of automated tools for portions of the screening process is recommended. *Outputs:* Ranked Applications of Qualified Candidates
2.5.1	Determine Qualified / Eligible Applicants Role: Management HR Organization	*Inputs:* Recorded Applicant Documentation, Selection Criteria, Eligibility Requirements, Qualification Standards Determine applicant eligibility and qualifications by reviewing applications for completeness and conformance to eligibility / qualifications requirements. Those found to be ineligible are provided no further consideration. This includes identifying candidates who qualify for consideration under special appointing authorities. *Outputs:* List of Qualified / Eligible Applicants, List of Special Authority Candidates
2.5.1	Apply Federal Rules on Preferences Role: Management HR Organization	*Inputs:* List of Qualified / Eligible Applicants, Federal Rules on Preferences (external), Staffing Compliance Requirements Review Federal hiring rules to determine applicability to the qualified applicants. This may result in assigning a preferred standing to candidates and / or eliminating some candidates. *Outputs:* List of Applicants with Identified Federal Preferences
2.5.2	Refer Candidates for Selection Role: Management HR Organization	*Inputs:* Ranked Applications of Qualified Candidates Identify candidates to be referred for selection from the ranked applications of qualified candidates. *Outputs:* List of Referred Candidates along with appropriate guidance
2.5.3	Conduct Interviews Role: Management HR Organization	*Inputs:* List of Referred Candidates along with appropriate guidance, Applicant Documentation Determine if interviews will be conducted and identify interviewer(s), which may be individual(s) or interviewing panel(s) consisting of the HR organization and / or agency management representatives. The interviewer(s) conducts interviews. *Outputs:* Interview Notes / Feedback

Process	2.5 Evaluate Candidate	
ID	*Activity Name*	*Activity Definition*
2.5.4	Conduct Reference Checks Role: Management HR Organization	*Inputs*: References Provided by the Candidate Contact the prospective employee's references to verify information provided in the applicant's documentation. *Outputs*: Verified References
2.5.5	Make Tentative Selection Role: Management	*Inputs*: List of Referred Candidates, Applicant Documentation, Interview Notes / Feedback, Verified References Review the candidate(s)' applicant documentation and consider outcomes of the preceding candidate evaluation activities to identify the preferred candidate(s). HR provides consultative support to agency management to ensure Federal hiring policies and guidelines are being adhered to. *Outputs*: List of Candidate(s) for Job Offer(s)

Process	**2.6 Hire Employee**	
ID	*Activity Name*	*Activity Definition*
2.6.1	Validate Selections Role: HR Organization	*Inputs:* Federal Rules on Preferences (external), Government-wide Laws, Rules and Regulations, Requirements, Guidelines, Staffing Compliance Requirements, List of Candidates for Job Offers, Staff Acquisition Plan Validate that selections have been made in accordance with applicable laws, regulations and requirements and that the selected candidate(s) is(are) eligible for appointment *Outputs:* List of Validated Candidate(s) for Job Offer(s)
2.6.2	Extend Job Offer Role: Management HR Organization	*Inputs:* List of Validated Candidate(s) for Job Offer(s) Determine what offer is available and make and / or negotiate the employment offer. These job offers may be verbal or written. They may also be conditional and contingent on the prospective employee fulfilling certain criteria (e.g., successful background check, security clearance). Receive and record the candidates' responses to their offers for employment. *Outputs:* Job Offers Extended to Candidates With Terms of Employment
2.6.3	Accept Job Offer Role: Prospective Employee	*Inputs:* Job Offers Extended to Candidates With Terms of Employment Accept, decline and / or negotiate the terms of employment. *Outputs:* Candidate Decision to Accept (or Decline) Employment, Negotiated Terms of Employment
2.6.4	Initiate Pre-employment Processes Role: HR Organization	*Inputs:* Candidate Decisions to Accept (or Decline) Employment, Negotiated Terms of Employment Build the prospective employee record or, if the prospective employee is already an employee or former employee of the Federal government, obtain the employee's information from the previous agency or record center. Initiate administrative activities as required of the job (e.g. security clearance, drug testing, medical screening, polygraph, relocation paperwork). *Outputs:* Pre-employment Forms (e.g. Security Clearance), Results
2.6.5	Certify Compliance with Pre-Employment Requirements Role: HR Organization	*Inputs:* Pre-employment Forms (e.g. Security Clearance), Results Certify that prescribed pre-employment activities are complete and employment contingencies are satisfied. *Outputs:* Completed New Hire Pre-employment Forms (e.g. Security Clearance), Results

Process	2.6 Hire Employee	
ID	Activity Name	Activity Definition
2.6.6	Bring Candidate On Board Role: HR Organization	*Inputs*: Completed New Hire Pre-employment Forms (e.g. Security Clearance), Results Negotiate the entrance on duty date; notify other agency personnel to begin post-employment processes such as orientation, work location and workstation, and granting of security access. Conduct in-processing and enter employee information into HRIS. Place Employee(s) in new work environment. *Outputs*: Post-employment Documentation and Notification, Completed Requisition
2.6.7	Close Out Case File Role: HR Organization	*Inputs*: Vacancy Case File Close the vacancy case file. Notify remaining candidates they were not selected and flag them as non-selected in the applicant database for future reference and reporting, as available. *Outputs*: Notification Letters, Employee Files, Closed Vacancy Case File

3. Administer Organization and Position Management Dictionary

Process	3.1 Administer Organization and Position Management	
ID	**Activity Name**	**Activity Definition**
3.1.1	Administer Position Management Program Role: Management HR Organization	*Inputs*: Government-wide Laws, Rules and Regulations, Administration's Agenda, Organizational Structure, Agency Mission and Vision, Agency Objectives and Strategies, Reevaluation Requests, Classification Appeal Results Development, implement and manage the agency's position management program. A periodic review of processes is performed. Procedures are developed or refined and responsibilities are assigned. Appeal results and trends are also periodically reviewed to detect position management program issues. *Outputs*: Position Management Program Review Results, Authorized Staffing Patterns
3.1.2	Determine Organization Structure Role: Management	*Inputs*: Mission Requirements, Government-wide Laws, Rules and Regulations (including mandatory organizational functions) Analyze and translate the mission requirements into an efficient and effective organization design. The design of the organization will take into account the needs of the agency and provide growth opportunities for its human capital. *Outputs*: Organization Chart and Documentation, Organization Codes, Federal Register Materials
3.1.3	Establish Job Requirements Role: Management HR Organization	*Inputs*: Agency Mission and Vision, Agency Objectives and Strategies, Agency Programs and Initiatives, Agency Budget, Human Capital Mission and Vision, Human Capital Objectives and Strategies, Workforce Plan, Management Reorganization, Legislative Action, OPM's Occupational Study Results and Resulting New / Revised Classification Standards, Classification Appeal Decisions, Consistency Review Results, Third Party Decisions Identify the agency workforce job requirements necessary to achieve the mission of the agency. The result is a view of the projected inventory of jobs given: ▪ the inventory of existing agency jobs ▪ the agency's budgeted FTEs ▪ unmet requirements ▪ expected employee movement from job to job given career path alternatives available to employees of the agency *Outputs*: Job Requirements

Process	3.1 Administer Organization and Position Management	
ID	**Activity Name**	**Activity Definition**
3.1.4	Analyze Job Requirements Role: Management HR Organization	*Inputs:* Job Requirements The identification of tasks to be performed and the competencies needed to perform the tasks. This is accomplished through: ▪ interviews with employees, managers / supervisors, subject matter experts and interest groups ▪ review of same or like jobs ▪ benchmarking Descriptions of duties are developed to document these tasks. *Outputs:* Descriptions of Duties
3.1.5	Evaluate Job Requirements Against Standards / Criteria Role: Management HR Organization	*Inputs:* Description of Duties, Classification Standards and Criteria Associate a job to a job classification using standards and other criteria. This evaluation authorizes payment of Federal funds for the job. *Outputs:* Classified Job
3.1.6	Maintain Positions Role: Management HR Organization	*Inputs:* Job Requirements, New Classification Standards, Classified Jobs, Evolving Mission Requirements, Labor Agreements Ensure that the agency's inventory of positions accommodates evolving organization competency needs and changes in laws, regulations, policies, organizational design and technology by reviewing the inventory on a continual basis. As a result of this review, jobs and job requirements may be reevaluated. Over time, job requirements may be changed, and jobs may be deactivated or removed. *Outputs:* Revised Descriptions of Duties, Job Reclassifications, New Job Requirements
3.1.7	Request Reevaluation Role: Management Employee	*Inputs:* Description of Duties, Classified Job, HR Advice, HR Policy, Agency Procedures, Employee or Manager Provided Documentation Request the reevaluation of a job. Required documentation is gathered in accordance with agency or OPM policy and is forwarded to the agency or to OPM as appropriate. *Outputs:* Acceptance or Denial of Reevaluation Request or Classification Appeal Package
3.1.8	Review Reevaluation Request Role: Management HR Organization	*Inputs:* Classification Appeal Package Examine and consider appeal rationale, as applicable, to determine whether a classification reevaluation is warranted. Like positions may also be identified for reevaluation. *Outputs:* Evaluation Decision, New Position Description

Process	3.1 Administer Organization and Position Management	
ID	**Activity Name**	**Activity Definition**
3.1.9	Adjudicate Appeal Role: HR Organization	*Inputs*: Reevaluation Request, Classification Appeal Package Determine the classification actions to be taken for the jobs that have been reviewed. *Outputs*: Agency or OPM Classification Appeal Decision, Consistency Review Requirement, New Position Description
3.1.10	Implement Appeal Decision Role: HR Organization	*Inputs*: Agency or OPM Classification Appeal Decision Complete the follow-up activities that are required to realize the appeal judgment. These activities include initiating personnel actions, rewriting descriptions of duties and reclassifying jobs. *Outputs*: Revised Description of Duties, Job Reclassifications, Personnel Actions

4. Manage and Administer Compensation Dictionary

Process	4.1 Adopt Non-discretionary Compensation Programs	
ID	**Activity Name**	**Activity Definition**
4.1.1	Establish or Adopt Non-discretionary Compensation Program Role: Management HR Organization	*Inputs:* Government-wide Laws, Rules and Regulations, OPM Regulations and / or Guidance Interpret broad OPM guidance to establish specific agency-level policies and regulations for new or revised non-discretionary compensation programs. *Outputs:* Non-discretionary Compensation Program(s), Agency Non-discretionary Compensation Policies and / or Regulations
4.1.2	Implement Non-discretionary Compensation Program Role: HR Organization	*Inputs:* Non-discretionary Compensation Program(s), Agency Non-discretionary Compensation Policies and / or Regulations, Agreements Create an implementation plan for developing, testing and staging any necessary process, tools and technology changes. Coordinate execution of implementation plan. Participate as necessary in development or modification of new processes, tools or technologies. *Outputs:* Implementation Plan, Systems Requirements, Process Design Changes
4.1.3	Create Non-discretionary Compensation Program Communications Approach and Content Role: HR Organization	*Inputs:* Non-discretionary Compensation Program(s), Agency Non-discretionary Compensation Policy Establish an overall approach to deliver information to applicable audiences (e.g., eligible employees, candidates) regarding the Discretionary Compensation Program. Develop Compensation Program communications content to be delivered across the appropriate communications media. *Outputs:* Agency Non-discretionary Compensation Program(s) Communication Approach and Content

Process	4.2 Adopt Alternative Compensation Programs	
ID	**Activity Name**	**Activity Definition**
4.2.1	Review Laws, Regulations, Policies and Trends Role: Management HR Organization	*Inputs:* Emerging Compensation Trends, Leading Practices, Employment Market Benchmark Data, Salary Surveys, Administration's Agenda, Agreements, Agency Budget, Government-wide Laws, Rules and Regulations, Workforce Plan Track compensation trends in the public and private sectors and review laws, rules, regulations and policies to understand implications for possible alternative compensation programs to be implemented at the agency (e.g., Pay for Performance). *Outputs:* Alternative Compensation Program Research Findings
4.2.2	Develop Alternative Compensation Program Role: Management HR Organization	*Inputs:* Alternative Compensation Program Research Findings Work with stakeholders to design and develop alternative compensation program. Institute standards for determining the employee populations to be eligible for alternative compensation program, to fit within the overall budget parameters. *Outputs:* Alternative Compensation Program, Agency Alternative Compensation Policies and / or Regulations
4.2.3	Implement Alternative Compensation Program Role: HR Organization	*Inputs:* Alternative Compensation Program, Agency Alternative Compensation Regulations and / or Policies, Agreements Create an implementation plan for developing, testing and staging any necessary process, tools and technology changes. Coordinate execution of implementation plan. Participate as necessary in development or modification of new processes, tools or technologies. *Outputs:* Implementation Plan, Systems Requirements, Process Design Changes
4.2.4	Create Alternative Compensation Program Communications Approach and Content Role: HR Organization	*Inputs:* Alternative Compensation Program, Agency Alternative Compensation Policies and / or Regulations Establish an overall approach for effectively delivering information to applicable audiences (e.g., eligible employees, managers / supervisors) regarding the alternative compensation program. Develop compensation program communications content to be delivered across the appropriate communications media. *Outputs:* Alternative Compensation Program Communication Approach and Content

Process	4.3 Adopt Discretionary Compensation Programs	
ID	**Activity Name**	**Activity Definition**
4.3.1	Identify Parity Issues Role: Management HR Organization	*Inputs:* Workforce Plan, Human Capital Supply Model, Human Capital Demand Model, Salary Surveys Review the Workforce Plan to understand the implications for employee compensation. Perform ongoing salary surveys to understand compensation in other sectors and industries that influence availability and compensation requirements of the Federal government workforce to view pay parity for similar occupations in the same geography. Make recommendations on any inequities. *Outputs:* Parity Findings, Compensation Program Recommendations
4.3.2	Establish or Adopt Discretionary Compensation Programs Role: Management HR Organization	*Inputs:* Government-wide Laws, Rules and Regulations, Mandatory Government Compensation Program, Budget, Parity Findings, Compensation Program Recommendations, Agreements, Stakeholder Input Identify discretionary compensation program (e.g., recruitment, retention and relocation allowances, student loan repayments) or adopt existing program for implementation at agency level. Institute standards for determining discretionary compensation eligibility to fit within the overall budget parameters. *Outputs:* Discretionary Compensation Program, Agency Discretionary Compensation Policies and / or Regulations
4.3.3	Implement Discretionary Compensation Program Role: HR Organization	*Inputs:* Discretionary Compensation Program, Agency Discretionary Compensation Policy, Agreements Authorize implementation of discretionary compensation program at the agency. Create an implementation plan for developing, testing and staging any necessary process, tools and technology changes. Coordinate execution of implementation plan. Participate as necessary in development or modification of new processes, tools or technologies. *Outputs:* Implementation Plan, Systems Requirements, Process Design Changes
4.3.4	Create Discretionary Compensation Program Communications Approach and Content Role: HR Organization	*Inputs:* Discretionary Compensation Program, Agency Discretionary Compensation Policy Establish an overall approach to deliver information to applicable audiences (e.g., eligible employees, candidates) regarding the Discretionary Compensation Program. Develop Compensation Program communications content to be delivered across the appropriate communications media. *Outputs:* Agency Discretionary Compensation Program Communication Approach and Content

Process	4.4 Administer Bonus and Monetary Awards Programs	
ID	**Activity Name**	**Activity Definition**
4.4.1	Identify Awards and Bonus Payout Strategies Role: Management	*Inputs:* Agency Discretionary Compensation Policy, Agency Budget, Agency Performance Results, Workforce Plan, Succession Plan, Legislation, Agreements, Agency Mission and Vision, Stakeholder Input Identify award and bonus payout strategies for any given year. *Outputs:* Awards and Bonus Payout Strategies
4.4.2	Determine Eligibility for Bonus or Monetary Award Role: Management HR Organization	*Inputs:* Awards and Bonus Payout Strategies, Bonus or Award Eligibility Guidelines, Annual Performance Rating, Agency Budget, Management Input, Agency Discretionary Compensation Policy Identify individuals or groups of employees who are eligible to receive bonus or monetary award; document justification. *Outputs:* List of Employees to Receive Bonus or Award
4.4.3	Set Bonus or Award Pay Role: Management HR Organization	*Inputs:* List of Employees to Receive Bonus or Award Determine bonus or monetary award amount and capture data in payroll and other systems. *Outputs:* Bonus or Award, HR Transaction
4.4.4	Deliver Discretionary Compensation Communication Role: Management HR Organization	*Inputs:* Bonus or Award, Discretionary Compensation Program Communication Approach and Content Inform eligible employees of the pending receipt and value of their award. *Outputs:* Discretionary Compensation Program Communication

Process	4.5 Administer Pay Changes	
ID	**Activity Name**	**Activity Definition**
4.5.1	Identify Employees to Receive Pay Change Role: Management HR Organization	*Inputs:* Agency Non-discretionary Compensation Policy, Agency Alternative Compensation Policy, Agency Discretionary Compensation Policy, Pay Change Guidelines, Employee Performance, Time in Grade, Agency Budget, Management Action, Employee Requests, Agreements Determine eligibility and calculate amount of pay change (e.g. annual salary increases, temporary salary increases, salary changes due to promotion, demotion and relocation). Determine eligibility for any applicable allowances and differentials. Update pay data in payroll and other systems. *Outputs:* Updated Employee Payroll Data, Employee Step, Grade or Salary Updates, Allowances, HR Transaction

Process	4.6 Manage Time, Leave and Pay	
ID	**Activity Name**	**Activity Definition**
4.6.1	Manage Leave Usage Role: Management HR Organization Employee	*Inputs:* Leave Policy and Guidelines, Leave Begin and End Dates, Approved Time and Attendance and Project Cost Data, Beginning Leave Balances Track the accrual and usage of leave (e.g. FMLA, leave banks, voluntary leave transfer, home leave, an employee based on time worked and leave taken. For employees on leave of absence, verify and approve eligibility for leave and leave duration. Complete forms and provide applicable justification for leave. *Outputs:* Current Leave Balances, Continuation of Leave Request, Leave End Date, Leave Documentation, Updated Project Cost Data
4.6.2	Schedule Employees Role: Management	*Inputs:* Agency Available Work Schedules, Legislation, Agreements, Employee Preferences, Roster of Employees, Assigned Employee Roles, Projected Workload Define work schedules of employees based on project and / or work requirements and record schedules into the system. *Outputs:* Assigned Basic Work Schedule (Tour of Duty), Transaction
4.6.3	Attest Attendance Data Role: Employee	*Inputs:* Employee Information, Assigned Basic Work Schedule, Current Leave Accrual, Official Time Tracking Data Record time worked (e.g. premium pay, differentials, hazardous pay, and work / schedule adjustments) by an employee, including leave. The time recorded may or may not be associated with a project work code. *Outputs:* Validated Time and Attendance and Project Cost Data
4.6.4	Certify Employee Attendance Data Role: Management	*Inputs:* Validated Time and Attendance and Project Cost Data Certify the reported time for employees. *Outputs:* Approved Time and Attendance and Project Cost Data

Process	4.7 Manage Payroll	
ID	**Activity Name**	**Activity Definition**
4.7.1	Manage Employee Furnished Payroll Data Role: HR Organization Employee	*Inputs:* Employee Furnished Payroll Data Capture and validate individual employee payroll data including direct deposit, voluntary and involuntary deductions and tax withholding information. *Outputs:* Validated Employee Payroll Data
4.7.2	Prepare for Payroll Processing Role: HR Organization	*Inputs:* Pay Schedule, Validated Employee Payroll Data, Employee Time Card Hours Worked, Employee Pay Data or Salary Updates, Voluntary, Involuntary and Mandatory Deductions, Dues Withholding, Allowances Ensure pay data for the pay period is available to the payroll system; perform preliminary payroll calculations and resolve any discrepancies. *Outputs:* Preliminary Payroll Calculation
4.7.3	Process On-cycle Payroll Role: HR Organization	*Inputs:* Preliminary Payroll Calculation, Pay Limitations Calculate gross pay, apply taxes and deductions to calculate net pay, verify payroll and generate and disburse pay (e.g. employee, taxes, allotments) *Outputs:* Pay Disbursements and Advices, Employee Payroll and Third Party Disbursements
4.7.4	Process Manual Payroll Role: HR Organization	*Inputs:* Employee Time Card Hours Worked, Pay Schedule, Validated Employee Payroll Data, Employee Pay Data or Salary Updates, Voluntary, Involuntary and Mandatory Deductions, Dues Withholding, Allowances For individuals or groups who must be paid outside the parameters of a pay calendar, calculate gross pay, apply taxes and deductions to calculate net pay, verify, generate and distribute pay check(s) or advice(s); these are typically one time payments. (e.g. awards, advances, defactos, settlements) *Outputs:* Pay Disbursements or Advices, Employee Payroll and Third Party Disbursements
4.7.5	Process Disbursements to Third Parties Role: HR Organization	*Inputs:* Payroll Disbursements, Disbursement Frequency Calculate and send payments to third parties including benefits providers and garnishment collection agencies; reconcile payment data with applicable Third Parties. *Outputs:* Third Party Disbursements

Process	4.7 Manage Payroll	
ID	Activity Name	Activity Definition
4.7.6	Handle Payroll Issues Role: HR Organization	*Inputs:* Payroll Discrepancies, Employee Inquiries Manage and resolve all reported payroll issues. Respond to or refer employee questions as necessary. *Outputs:* Resolved Payroll Issues, Request for Manual Checks
4.7.7	Distribute Labor Costs Role: HR Organization	*Inputs:* Labor Cost Distribution Obligated Funds (from Finance LOB), Charge Codes, Time and Attendance Data Allocate payroll costs to projects or accounts. Transmit labor cost allocation information to General Ledger and other financial accounting systems and / or Third Party(s). *Outputs:* Labor Cost Allocation
4.7.8	Perform Periodic Reporting Role: HR Organization	*Inputs:* Payroll Disbursements, HR Data Calculate and report on payroll and HR information by pay period, quarterly, annually and as requested.(e.g. social security, retirement, EHRI, EEOC). *Outputs:* Reported Payroll Information

5. Benefits Management Dictionary

Process	5.1 Establish Benefits Programs	
ID	**Activity Name**	**Activity Definition**
5.1.1	Adopt or Establish Discretionary Benefits Programs Role: Management	*Inputs:* Government-wide Laws, Rules and Regulations, Government-wide Benefits Programs Identify new discretionary benefits programs or adapt discretionary benefits programs. *Outputs:* Benefits Offerings
5.1.2	Establish Benefits Eligibility Rules Role: Management HR Organization	*Inputs:* Government-wide Laws, Rules and Regulations, Benefits Industry Products and Services, External Data, Negotiated Agreements Institute standards for determining benefits eligibility. *Outputs:* Agency Benefits Policy
5.1.3	Coordinate Process Implementation With Partners and Providers Role: HR Organization	*Inputs:* Mandatory Government Benefits Programs, Discretionary Government Benefits Programs, Agency Benefits Policy. Create implementation plan for developing, testing, staging any necessary people, process, and technology changes. Coordinate execution of plan with partners including unions and providers. Negotiate benefits / services with partners (internal) and providers (external) and ensure results meet service level expectations. Authorize implementation of the program at the agency. HR will continue to be involved in people, process and technology. Develop / Modify Process, Tools, and Technology. *Outputs:* Service Level Agreements, Implementation Plan, Systems Requirements, Process Design Changes, Organizational Change Requirements
5.1.4	Create Benefits Communications Approach and Content Role: HR Organization	*Inputs:* Benefits Offerings, Agency Benefits Policy, Service Level Agreements Plan the approach and content to communicate benefits programs. *Output:* Communication Content, Communications Strategy and Plan

Process	5.2 Process Benefits Actions	
ID	Activity Name	Activity Definition
5.2.1	Deliver Benefits Communication Role: HR Organization	*Inputs:* Communication Content, 3rd Party Communication Content, Communication Strategy and Plan Make benefits communication content available via various media e.g. websites, brochures, one on one counseling. *Outputs:* Communications Materials
5.2.2	Manage Provider Contracts Role: HR Organization	*Inputs:* Service Level Agreements, Provider Pricing Data, Industry Benchmarks, Employee Satisfaction Data, Changes to Provider Offerings Provide benefits data to external and internal benefits providers. Monitor service levels and price with providers and track performance over time, renegotiate Service Level Agreements as necessary. *Outputs:* Benefits Provider Performance Results, Revised Benefits Provider Service Level Agreement
5.2.3	Elect Benefits Role: Employee	*Inputs:* Communication Materials , Benefits Offerings, Agency Benefits Policy Elect benefits, selecting from among available choices. Benefits participation data is received from the employee and validated as appropriate. Discontinue participation, if necessary, per eligibility rules. *Outputs:* Benefits Elections, Payroll Provider
5.2.4	Activate Enrollments Role: HR Organization	*Inputs:* Benefits Provider Performance Results, Revised Benefits Provider Service Level Agreement, Benefits Offerings, Agency Benefits Policy Determine eligibility and activate employee into benefits programs. *Outputs:* Benefits Elections, Payroll Provider
5.2.5	Maintain Appropriate Records Role: HR Organization	*Inputs:* Benefits Elections, Payroll Provider Receive completed and signed Designation of Beneficiary forms from benefits participants and file them as appropriate. *Outputs:* Employee Records

6. Employee Development and Performance Management

Process	6.1 Establish Agency Development and Performance Management Strategy	
ID	**Activity Name**	**Activity Definition**
6.1.1	Review Laws, Regulations, Policies and Guidelines Role: HR Organization	*Inputs:* Government-wide Laws, Rules and Regulations, HR Policy, HR Procedures, Agreements Monitor, on an ongoing basis, legislative and regulatory changes, events, trends and documentation that could have an impact on employee development and performance management. *Outputs:* Notification of Change in Government-wide Laws, Rules and Regulations or Trends
6.1.2	Develop Agency Development and Performance Management Strategy Role: Management HR Organization	*Inputs:* Agency Mission and Vision, Agency Objectives and Strategies, HC Mission and Vision, HC Objectives and Strategies, HR Mission and Vision, HR Objectives and Strategies, Workforce Plan, Succession Plan, Staff Acquisition Strategy, Notification of Change in Government-wide Laws, Rules and Regulations or Trends Create an overall strategy for resource development and performance management. The strategy supports HC and HR objectives and strategies and provides guidance on philosophies, approaches, methods, tools and technologies for helping agency employees acquire and demonstrate the competencies required of the job. It also lays out various career path alternatives available to agency employees. The development of the Agency Development Strategy includes identification of performance metrics against which to measure actual results against the strategy. *Outputs:* Agency Development and Performance Management Strategy
6.1.3	Communicate Agency Development and Performance Management Strategy Role: HR Organization	*Inputs:* Agency Development and Performance Management Strategy Convey the Agency Development and Performance Management Strategy to various populations (e.g., gency executives, HR staff, agency line managers) using a variety of media. *Outputs:* Communicated Agency Development and Performance Management Strategy

Process	6.2 Conduct Employee Development Needs Assessment	
ID	**Activity Name**	**Activity Definition**
6.2.1	Determine Competencies to be Addressed by Employee Development Role: Management HR Organization	*Inputs*: Projected Agency Human Capital Requirements, Workforce Plan Prioritize competency gaps and identify high priority competencies to be addressed based on need expressed by, managers, executives, employee input, the link to HC / HR Mission, Vision, Objectives and Strategies and the degree to which an employee development program could practically address the need. *Outputs*: Needs Assessment
6.2.2	Identify / Propose Employee Development Program Alternatives Role: Management HR Organization	*Inputs*: Needs Assessment, Internal and External Program Options, Employee and Union Recommendations Identify possible employee development programs (e.g., traditional classroom training, technology enabled training, coaching and mentoring programs (technical and cross-functional), brown bag lunch series, e-mail based newsletter, student employment programs, conferences, certifications, blended learning approach, short term assignment, communities of practice, education, on-the-job training) to address high priority competency gaps. *Outputs*: Proposed Employee Development Programs
6.2.3	Select Employee Development Programs to be Implemented Role: Management HR Organization	*Inputs*: Proposed Employee Development Programs Select and prioritize employee development programs to be implemented based on results of needs assessment, opportunity, potential agency impact, timeline, cost and available budget. *Outputs*: Approved Employee Development Programs

Process	6.3 Design Employee Development Program	
ID	**Activity Name**	**Activity Definition**
6.3.1	Outline Employee Development Program Content and Methods of Delivery Role: Management HR Organization	*Inputs:* Needs Assessment, Employee Development Program Goals, Learning Objectives, Target Audiences Create a broad outline of the topics to be covered in the program. Select learning activities for each topic. *Outputs:* Employee Development Program Outline
6.3.2	Determine Methods of Delivery Role: Management HR Organization	*Inputs:* Employee Development Program Outline Identify and select from available approaches to accomplish learning goals and objectives. *Outputs:* Methods of Delivery
6.3.3	Define Target Audiences for Employee Development Program Role: Management HR Organization	*Inputs:* Approved Employee Development Program, Needs Assessment, Government-wide Laws, Rules and Regulations, Policies, Directives Identify the employee populations (e.g., occupational groups, positions, organizations, locations) who will benefit from the employee development program and who are expected to take advantage of the program. *Outputs:* Target Audiences
6.3.4	Establish Employee Development Program Goals and Learning Objectives Role: Management HR Organization	*Inputs:* Approved Employee Development Program, Needs Assessment, Program Evaluations Understand and document the overall development goals the program is proposed to meet. Outline learning objectives to document the knowledge participants will possess, the behaviors participants will exhibit and / or the tasks the participants will be able to perform as a result of experiencing the program. Establish performance criteria against which to measure attainment of desired results. A *program* may have a single component (e.g., Presentation Skills Workshop) or it may have multiple components that are packaged into a single program (e.g., Professional Certification including self-study materials, pre-tests, mentoring by a certified colleague, certification test and certification re-test as necessary). *Outputs:* Employee Development Program Goals, Learning Objectives, Performance Criteria
6.3.5	Establish Overall Implementation Time Frames and Predict Program Life Span Role: Management HR Organization	*Inputs:* Needs Assessment, Employee Development Program Goals, Learning Objectives, Performance Criteria, Target Audiences, Employee Development Program Outline, Budget Propose and document the overall time frames and probable program life span for design, development and implementation of the program. *Outputs:* Implementation Time Frame

Process	6.3 Design Employee Development Program	
ID	*Activity Name*	*Activity Definition*
6.3.6	Select Employee Development Program Provider / Offering Role: Management HR Organization	*Inputs:* Provider Profile, Provider Offerings, Needs Assessment, Employee Development Program Goals, Learning Objectives, Target Audiences, Employee Development Program Outline, Methods of Delivery Identify the potential program providers based on the providers' existing offerings and / or the providers' ability to produce an offering that meets program goals and learning objectives. The provider may be an external vendor, an internal agency group or a group from another agency. Identify selection criteria and provider performance criteria and select the provider / offering that will best meet program needs. The employee may identify the source or provider. *Outputs:* Provider Selection Criteria, Provider Evaluation Results
6.3.7	Create Employee Development Program Implementation Plan Role: HR Organization	*Inputs:* Needs Assessment, Employee Development Program Goals, Learning Objectives, Employee Development Program Outline, Target Audiences, Implementation Time Frame Work with the provider to establish a plan that produces results in the time frames established. Identify resource requirements. Schedule resources. Identify key milestones and approval dates. *Outputs:* Employee Development Program Implementation Plan
6.3.8	Review Employee Development Program Materials Role: Management HR Organization	*Inputs:* Employee Development Program Implementation Plan, Employee Development Program Content Review completed program content to ensure it will meet program goals and learning objectives, for quality and for appropriateness to target audience. Propose revisions and re-review as necessary. *Outputs:* Approved Employee Development Program Content, Program Evaluation Systems

Process	6.4 Establish and Implement Performance Management Plans	
ID	**Activity Name**	**Activity Definition**
6.4.1	Design Performance Management Plan(s) Role: Management HR Organization	*Inputs:* Government-wide Laws, Rules and Regulations, Agency Mission and Vision, Agency Objectives and Strategies, Human Capital Mission and Vision, Human Capital Objectives and Strategies, HR Mission and Vision, HR Objectives and Strategies, Proposed Agency Programs, Workforce Plan, Agency Core Competencies, Agency Policy, Agreements, Proposed Revisions to Performance Management Plan(s) and Process(es), Performance Management Program Assessment Results Design an agency-wide, competency based performance management approach that sets policies and parameters for the application and operation of written and verbal performance feedback, other intermittent performance assessments, employee individual development plans measured against core and competencies, performance elements and standards. *Outputs:* Approved Performance Management Plan(s)
6.4.2	Develop Performance Management Process(es) Role: HR Organization	*Inputs:* Approved Performance Management Plan(s) Identify employee audiences for whom performances plans need to be developed and develop the plans. Work with unions as appropriate. Obtain required management approval. *Outputs:* Performance Management Policies and Procedures, Performance Management Process(es)
6.4.3	Implement Performance Management Process(es) Role: HR Organization	*Inputs:* Performance Management Policies and Procedures, Performance Management Process(es), Performance Management Plan, Performance Management System Proposed Revisions, Performance Management Program Assessment Results Develop communication materials and roll out the policies, procedures, standards and governance for managing performance. Negotiate with unions as appropriate. *Outputs:* Performance Management Communication Materials, Policy Implementation Plan
6.4.4	Assess Performance Management Plan(s) Role: Management HR Organization	*Inputs:* Policy Implementation Plan, Agency Performance Results, Performance Trends, Performance-Related Grievances, Other Benchmarks, Leading Practices Ensure that the performance management plan(s) and process(es) meet the needs of the agency, managers and employees through communicating performance expectations, fostering commitment and mutual understanding among managers and employees, improving productivity through constructive feedback, identifying training needs ensuring competency skills are acquired and demonstrated and ensuring employee's development and career goals are achieved. *Outputs:* Proposed Revisions to Performance Management Plan(s) and Process(es), Performance Management Program Assessment Results

Process	6.5 Implement Employee Development Program	
ID	**Activity Name**	**Activity Definition**
6.5.1	Pilot Employee Development Program Role: HR Organization	*Inputs:* Program Materials, Program Evaluations, Approved Employee Development Program Content Offer a new or substantially revised program to a sample of the target audience and / or to individuals who will in the future be delivering the program (train the facilitator) to identify revisions or improvements to content, sequencing of content, program timing, delivery method and program logistics (e.g., Web access, facilities). A pilot may be warranted if the program content or delivery approach varies substantially from the past. A substantial revision to an existing program may also warrant a pilot. *Outputs:* Developer, Observer and / or Facilitator Feedback, Completed Program Evaluations
6.5.2	Revise Employee Development Program Content and Methods of Delivery Role: HR Organization	*Inputs:* Developer, Observer and / or Facilitator Feedback, Completed Program Evaluations Make adjustments to the program based on pilot experience and feedback. *Outputs:* Revised Program Materials, Revised Methods of Delivery
6.5.3	Announce Employee Development Program Role: HR Organization	*Inputs:* Employee Development Program Outline, Target Audiences Determine frequency and timing of program offerings based on organizational or employee need or opportunity, target audience organization and location, and budget. Add offerings to program catalog(s) (e.g., Web-based catalogs, hard copy catalogs). Produce and disseminate via various media any program announcement materials. *Outputs:* Revised Training / Development Catalog(s), Program Announcement Materials
6.5.4	Administer Training Role: Management HR Organization Employee	*Inputs:* Training / Development Catalog(s), Program Evaluations Coordinate the administrative and logistical aspects of delivering the program including participant registration and authorization, billing for the program as appropriate, tracking participation (e.g., self-study, Web-based training) or attendance (e.g., traditional classroom training), cancellations and absences, and receiving and summarizing program evaluation data. This also includes scheduling and setting up facilities for programs that are delivered in a classroom or other settings. Manage providers as necessary. *Outputs:* Program Registrations, Attendance Data, Group Training Costs, Individual Training Costs, Summarized Program Evaluations, Provider Performance Results and / or Reports

Process	6.5 Implement Employee Development Program	
ID	**Activity Name**	**Activity Definition**
6.5.5	Deliver Employee Development Program Role: HR Organization	*Inputs*: Program Materials, Methods of Delivery, Program Evaluations Deliver program to participants per schedule and / or availability published in program catalog(s). Update employee records to document program attendance and / or completion. *Outputs*: Program Evaluations, Employee Record Updates

Process	6.6 Manage Employee Performance	
ID	**Activity Name**	**Activity Definition**
6.6.1	Establish Individual Performance Requirements Role: Management HR Organization Employee	*Inputs:* Performance Management Policies, Performance Management Procedures, Previous Annual Performance Rating, Previous Performance Plan, Individual Development Plan, Agency Strategic Plan, Description of Duties, Mission Critical Competencies Initiate discussion with employee to establish a performance plan for the given rating period. Finalize and communicate the individual's performance requirements and proficiency levels where the employee understands the measures against which he or she will be rated, including agency-wide core competencies and position specific competencies. *Outputs:* Final Performance Plan
6.6.2	Conduct Feedback Role: Management Employee	*Inputs:* Performance Management Policies, Performance Management Procedures, Final Performance Plan, Employee Performance Results, Individual Development Plan Set up and conduct regular documented feedback sessions during the rating period. During these sessions, the manager discusses with the employee recent feedback on work performed including the proficiencies and deficiencies against the employee's individual performance requirements and competencies. Development needs are addressed and training needs are identified. *Outputs:* Interim Performance Rating, Interim Performance Plan, Performance Proficiencies and Performance Deficiencies, Updated Individual Development Plan, Performance Improvement Plan
6.6.3	Complete Annual Performance Appraisal Role: Management Employee	*Inputs:* Performance Management Policies, Performance Management Procedures, Interim Performance Rating, Interim Performance Rating, Employee Performance Results, Appropriate Third-Party Feedback, Documented Feedback, Individual Development Plan, Performance Improvement Plan Perform formal performance appraisal, evaluating the employee against the performance expectations established at the beginning of the appraisal cycle. Obtain any necessary reviewer approval(s). *Outputs:* Proposed Performance Rating
6.6.4	Discuss Annual Performance Appraisal Role: Management Employee	*Inputs:* Proposed Performance Rating Engage employee in dialogue to establish common understanding between the manager and employee regarding the appraisal results. Finalize and document the employee's performance appraisal. *Outputs:* Finalized Annual Performance Rating, Documented Dispute of Annual Performance Rating, Performance Improvement Plan, Aggregated Data and Reports, Updated Individual Development Plan, Recommended Personnel Actions, Revised Performance Plan

Process	6.6 Manage Employee Performance	
ID	*Activity Name*	*Activity Definition*
6.6.5	Finalize Performance Appraisal Role: Management HR Organization	*Inputs:* Finalized Annual Performance Rating The appraisal and rating are finalized, reviewed for consistency and accuracy, and recorded. Initiate any applicable administrative actions. Provide copy of appraisal to employee. *Outputs:* Recorded Performance Rating, Notification to Compensation (if applicable for award, bonus or salary adjustment)

Process	6.7 Manage Employee Development	
ID	**Activity Name**	**Activity Definition**
6.7.1	Establish Employee Career Plan Role: Management Employee	*Inputs:* Performance Plan, Career Plan, Annual Performance Rating, Performance Proficiencies and Deficiencies, Career Path Alternatives, Workforce Plan, Employee Goals and Objectives, Training / Development Catalog, Agency Strategic Plan, Agency Mission and Vision Document a career strategy that promotes growth, retention and long range goals for a given employee based on individual goal, skills, objectives and organizational needs. *Outputs:* Career Plan In Line With Agency Mission and Vision and Agency Objectives and Strategies
6.7.2	Create Individual Development Plan Role: Management Employee	*Inputs:* Annual Performance Rating, Career Plan, Agency Strategic Plan, Agency Mission and Vision In a collaborative effort, the manager and employee identify developmental activities to address performance goals and / or deficiencies and set up an action plan for developmental activities going forward. *Outputs:* New or Updated Individual Development Plan, Performance Plan, Updated Career Plan.
6.7.3	Execute Individual Development Plan Role: Management HR Organization Employee	*Inputs:* Individual Development Plan, Training Catalog, Career Plan Act upon agreed upon plan with management support. (e.g. enrollment in a web-based learning activity, certification class, or developing a coaching and / or mentoring relationship.) *Outputs:* Completed Individual Development Plan
6.7.4	Assess Progress Against Individual Development Plan Role: Management HR Organization Employee	*Inputs:* Training results, Annual Performance Rating, Individual Development Plan, Career Plan Measure skills attained (e.g. through testing, on the job performance, employee and manager feedback) and progress made against the Individual Development Plan and Career Plan. *Outputs:* Revised Individual Development Plan, Performance Appraisals

Process	6.8 Evaluate Employee Development Effectiveness	
ID	**Activity Name**	**Activity Definition**
6.8.1	Evaluate Employee Development Program Role: HR Organization	*Inputs*: Completed Program Evaluation Forms Review program evaluations to identify improvements for future sessions. Review existing programs for relevance, on an ongoing basis, and revise or discontinue as appropriate. *Outputs*: Program Evaluation Trends, Program Material Revisions, Updated Training / Development Catalog(s)
6.8.2	Evaluate Employee Development Program Results Role: Management HR Organization	*Inputs*: Participant Surveys, Manager Surveys, Participants' Performance Appraisals Determine the value of the program to participants and the agency in terms of how well participants are using what they learned and are meeting learning objectives. This review may be conducted using appropriate evaluation tools (e.g. 360 ratings, supervisor feedback and self assessment) and may take place six months to a year after the participants experienced the program. *Outputs*: New Program, Completed Participant Surveys, Completed Manager Surveys, Program Effectiveness Conclusions, Program Material Revisions, Assessment Results
6.8.3	Evaluate Long-term Impacts and Value of Employee Development Programs Role: Management HR Organization	*Inputs*: Agency Performance Results, Participants' Performance Appraisals, Completed Participant Surveys, Completed Manager Surveys Determine the value of the program to the agency based on whether the program has addressed the competency deficiencies identified during the needs assessment and this expanded competency base is producing measurable results. It may take at least eighteen months to two years before these results can be measured. *Outputs*: Program Effectiveness Conclusions, ROI Assessment

7. Employee Relations Dictionary

Process	7.1 Address Employee Misconduct	
ID	**Activity Name**	**Activity Definition**
7.1.1	Establish Employee Conduct Expectations Role: Management HR Organization	*Inputs:* Agency Policies, Government-wide Laws, Rules and Regulations, Agreements Develop, validate and publish practices that govern employee conduct and behavior. Train and counsel supervisors and managers on rules of conduct. Interpret agency policy to set practices for workforce within managers' or supervisors' span of control. *Outputs:* Guidelines on Documenting Offense and Appropriate Actions, Individual Manager Expectations, Table of Penalties
7.1.2	Communicate Employee Conduct Expectations Role: Management HR Organization	*Inputs:* Guidelines on Documenting Offense and Appropriate Actions, Individual Manager Expectations, Table of Penalties, Agreements Use a variety of media and / or communication methods to communicate and ensure notice to employees of conduct expectations and consequences. Train and counsel employees on rules of conduct. *Outputs:* Compliance / Misconduct, Communication Materials
7.1.3	Conduct Fact Finding Into Employee Misconduct Role: Management HR Organization	*Inputs:* Alleged Employee Misconduct, Case Law, Agency Precedent, Government-wide Laws, Rules and Regulations, Guidelines on Documenting Offense and Appropriate Actions, Legal / HR Advice and Guidance, Agreements Gather and document facts on alleged employee misconduct and create file. Inform employee as appropriate. *Outputs:* Decision to Take Informal or Formal Action, Referral (e.g., Investigative Entity, EAP)
7.1.4	Execute Formal or Informal Action Role: Management HR Organization	*Inputs:* Case File, Table of Penalties, Government-wide Laws, Rules and Regulations, Employee Data, Agency Precedents, Agreements, Agency Policies Effect action in accordance with applicable government-wide and agency policies and / or take other measures as appropriate (e.g., settlement, last chance agreement, resignation). *Outputs:* Agency Case File, Decision Letters, Settlement Agreement, Transaction

Process	7.2 Address Employee Performance Problems	
ID	*Activity Name*	*Activity Definition*
7.2.1	Address Performance Improvement Plan Results Role: Management HR Organization	*Inputs:* Interim Performance Rating, Performance Plan, Annual Performance Rating, Performance Proficiencies and Performance Deficiencies, Performance Improvement Plan, Performance Improvement Plan Results, Case Law, Precedent Findings, Government-wide Laws, Rules and Regulations, Agency Policies Review annual performance rating and compare against expectations detailed in the Performance Improvement Plan. Decide appropriate action based on results in accordance with agency regulations. *Outputs:* Decision to Take Action, Performance Rating of Record
7.2.2	Execute Formal or Informal Action Role: Management HR Organization	*Inputs:* Decision to Take Action, PIP File, Agreements, Agency Policy, Government-wide Laws, Rules and Regulations, Rating of Record Effect action in accordance with applicable government-wide and agency policies. *Outputs:* Agency Case File, Decision Letter, Transaction

Process	7.3 Manage Administrative Grievances	
ID	**Activity Name**	**Activity Definition**
7.3.1	Identify Issue (Informal Grievance) Role: Management HR Organization	*Inputs:* Employee(s) Claim of Wrongdoing Receive information to define and clarify the issue(s) and resolve where possible. *Outputs:* Decision, Finding, Recommendation on How to Address the Grievance, Resolution, Documented Complaint
7.3.2	Advise on Means of Resolution Role: Management HR Organization	*Inputs:* Alternative Resolution Methods, Documented Complaint Provide information on available resolution options and / or venues (e.g., mediation, fact finding, "ombudsman" meeting, dispute panels and facilitation). Provide offers of informal resolution. *Outputs:* Resolution, Decision on Informal Grievance, Settlement Agreement, Decision to Employ Alternative Dispute Resolution (ADR) Methods
7.3.3	File Formal Grievance Role: Employee	*Inputs:* Informal Grievance, Decision on Informal Grievance, Results of ADR, Documentation Supporting Grievance, Agreements Submit grievance in accordance with prescribed procedures. *Outputs:* Grievance
7.3.4	Engage in Alternative Dispute Resolution Role: Management HR Organization Employee	*Inputs:* Agreements, Grievance, Interests of the Parties, Agency Policies and Procedures Engage in alternative methods of dispute resolution, as appropriate, (e.g., mediation, fact finding, ombudsman meeting, dispute panels, facilitated discussion). *Outputs:* Resolved Dispute, Settlement Agreement, Continued Formal Grievance
7.3.5	Process Grievance Role: Management HR Organization	*Inputs:* Grievance, Agreements, Legal / HR Advice and Guidance, Government-wide Laws, Rules and Regulations, Third Party Decisions, Case Law, Agency Policy and Procedures Determine jurisdiction and refer as appropriate. Collect, review and analyze information related to the grievance (e.g., hold discussions, collect data, supporting documentation). Determine findings and address requested relief. *Outputs:* Grievance Findings, Grievance Case File
7.3.6	Render Decision on Grievance Role: Management HR Organization	*Inputs:* Grievance Findings, Grievance Case File, Results of ADR, Legal / HR Advice and Guidance, Government-wide Laws, Rules and Regulations, Agreements Render a decision in accordance with prescribed procedures. *Outputs:* Grievance Decision

Process	7.4 Provide Accommodation	
ID	*Activity Name*	*Activity Definition*
7.4.1	Request Accommodation Role: Employee	*Inputs:* Employee Request, Third Party Decision File a request for accommodation (an employee to address a need or a decision and a settlement or resolution of a grievance or EEO complaint). *Outputs:* Acknowledgement, Request for Documentation, Accommodation File
7.4.2	Determine Accommodation Needs Role: Management HR Organization	*Inputs:* Documentation, Agency Policy and Procedures, Government-wide Laws, Rules and Regulations, Job Requirements, Legal / HR Advice and Guidance Review information provided by the employee. Request clarification or additional information and evaluate to identify appropriate accommodation, if any. Decide to accommodate or deny in accordance with agency specific procedures. *Outputs:* Decision on Accommodation Request
7.4.3	Put Accommodation Into Place Role: Management HR Organization	*Inputs:* Decision on Accommodation Request, Agency Policies and Procedures, Accommodation File Work with other areas (e.g. facilities, IT, procurement) to implement the accommodation. Inform and / or train the employee and / or manager / supervisor. Follow up to ensure needs are being met. *Outputs:* Accommodation

Process	7.5 Administer Employee Assistance Program (EAP)	
ID	**Activity Name**	**Activity Definition**
7.5.1	Provide EAP Services Role: Management HR Organization	*Inputs:* Government-wide Laws, Rules and Regulations, EAP Service Offerings Research and evaluate Employee Assistance Program (EAP) service offerings and establish EAP services. Monitor service usage and service provider performance over time. Adjust services and / or providers as necessary. Communicate availability of services for employees and families. Ensure employees and managers / supervisors are informed of self-service features to the Employee Assistance Program. *Outputs:* New or Renewed EAP Services, Communications
7.5.2	Make Referrals to EAP Services Role: Management HR Organization	*Inputs:* EAP Service Provider Contact Information Provide service contact information when employees request the information or the agency directs counseling or services. *Outputs:* Employee Referral

Process	7.6 Participate in Administrative Third Party Proceedings	
ID	Activity Name	Activity Definition
7.6.1	File With a Third Party Role: Employee	*Inputs:* Appealable Decision / Action, Government-wide Laws, Rules and Regulations Exercise right to request a decision by a third party (e.g., EEOC, MSPB, OSC, OPM, US District Court). *Outputs:* Filing
7.6.2	Engage in Discovery Role: Management HR Organization Employee	*Inputs:* Request for Discovery, Interrogatories, Legal / HR Advice and Guidance Request and provide information related to the issue under appeal. Depose potential witnesses. *Outputs:* Response to Discovery Request, Discovery Request
7.6.3	Prepare a Response to Third Party Filing Role: Management HR Organization	*Inputs:* Notification from Third Party, Filing Provide agency's position / facts / supporting documentation in accordance with prescribed procedures. *Outputs:* Agency Response
7.6.4	Participate in Alternative Dispute Resolution Role: Management HR Organization Employee	*Inputs:* Request or Notice to Participate in ADR Engage in alternative methods of dispute resolution, as required by third party policy, (e.g., mediation, fact finding, ombudsman meeting, dispute panels and facilitated discussion). *Outputs:* Resolved Dispute, Settlement Agreement, Continued Third Party Process
7.6.5	Participate in Hearing / Meeting / Trial Role: Management HR Organization Employee	*Inputs:* Notice of Hearing, Meeting or Trial, Case File, Case Law Represent agency's interest. Select and prepare witnesses. Compile and present evidence. *Outputs:* Decision of Third Party
7.6.6	Appeal Third Party Decision Role: Management HR Organization	*Inputs:* Decision of Third Party, Case Law, Government-wide Laws, Rules and Regulations, Legal / HR Advice and Guidance Exercise rights (i.e., agency, employee, OPM, DOJ, OSC) to appeal the decision of the third party through appropriate procedures. *Outputs:* Appeal
7.6.7	Implement Third Party Decision / Settlement Role: Management HR Organization	*Inputs:* Decision of Third Party Take directed action(s) and report compliance as required or settle. *Outputs:* Compliance Report, Data Transactions, Settlement Agreement

Process	7.7 Determine Candidate / Employee Suitability	
ID	**Activity Name**	**Activity Definition**
7.7.1	Review Investigative File Role: HR Organization	*Input:* Background Investigative File, Financial Disclosure Review and analyze investigative file to make a preliminary determination about a candidate's suitability for employment or position. If there are no issues, the personnel action takes effect. If there are issues, the adjudication process is triggered. *Output:* Preliminary Determination of Suitability, Notification to Candidate / Employee
7.7.2	Respond to Request for Information Role: Employee	*Input:* Preliminary Determination of Suitability, Notification to Candidate / Employee Provide requested information to address agency's concerns. *Output:* Response to Request for Information
7.7.3	Adjudicate Suitability Issues Role: Management HR Organization	*Input:* Response to Request for Information, Investigative File, Government-wide Laws, Rules and Regulations, Agency Precedent Conduct process to determine final suitability of candidate / employee. *Output:* Suitability Determination, Notification to Candidate / Employee with Appeal Rights, Report to OPM

8. Labor Relations Dictionary

Process	8.1 Manage Labor Relations	
ID	**Activity Name**	**Activity Definition**
8.1.1	Obtain Recognition Role: Management Unions HR Organization Employee	*Inputs:* Petitions or Interest Cards, Agency Response, Agency Employee Data Collect petitions or interest cards from group of employees. Union petitions FLRA for recognition, agency responds to petition, FLRA decides on petition and, if favorable, FLRA sponsored election takes place and employees vote. *Outputs:* Certification of Recognition, FLRA Decision, Notice of Election, Election Results, Bargaining Unit Status (BUS) Codes, Employee Record Updates, Communication Materials, Training Requirements
8.1.2	Clarify Bargaining Unit(s) and Representation Role: Management Unions HR Organization	*Inputs:* Clarification of Unit Petitions, Reorganization, FLRA Decision, Notice of Election, Election Results, Memoranda of Understanding / Agreement (MOU / MOA), Certification of Recognition, Government-wide Laws, Rules and Regulations, Employee and Organizational Data Clarify organization and employees that should be included in the appropriate defined bargaining unit. Resolve recognition issues. *Outputs:* Decision on Appropriate Unit, Decision on Recognition, MOU / MOA , BUS Codes, Employee Record Updates, Communication Materials, Training Requirements, Interests of the Parties
8.1.3	Establish Communication Protocol Role: Management Unions HR Organization	*Inputs:* Government-wide Laws, Rules and Regulations, Third Party Decisions, Communication Materials, Interests of the Parties Establish the relationship for ongoing communication between union and management. *Outputs:* Communication Protocol
8.1.4	Initiate Bargaining Process Role: Management Unions HR Organization	*Inputs:* Changes to Conditions of Employment, Statutory Requirements, Government-wide Laws, Rules and Regulations, Notifications and Requests to Bargain Provide notifications and requests to bargain. *Outputs:* Response to Notification or Request

Process	8.1 Manage Labor Relations	
ID	Activity Name	Activity Definition
8.1.5	Prepare for Negotiation Role: Management Unions HR Organization	*Inputs:* Prior Contracts, New Issues (e.g., automation of workplace), New Initiatives, Third Party Order, Case Law, Affirmative Response to Notification or Request, Data from OPM's Labor Agreement Information Retrieval System (LAIRS), Automated Case Law Research, Proposals / Counterproposals, Ground Rules, Government-wide Laws, Rules and Regulations Establish the team. Identify a chief negotiator and negotiation approach. Train team in areas of problem solving and negotiation skills. Anticipate interests. Identify objectives. Prepare for negotiating sessions. *Outputs:* Documented Authority to Negotiate, Team Member Roles, Trained Negotiation Team, Objectives and Strategies, Proposals and Counterproposals
8.1.6	Conduct Negotiation Role: Management Unions HR Organization	*Inputs:* Initial Proposals and Counterproposals, Case Law, Dispute Resolution Procedures, Third Party Assistance (e.g., Federal Mediation and Conciliation Service), Documented Authority to Negotiate, Team Member Roles, Trained Negotiation Team, Agency Objectives and Strategies, Schedule of Negotiation Sessions, Government-wide Laws, Rules and Regulations Meet to bargain in good faith to reach agreement. *Outputs:* Agreements, Decision to Initiate Third Party Process, Union Ratification (if appropriate)
8.1.7	Perform Agency Head Review Role: Management Unions HR Organization	*Inputs:* Union Ratification (if appropriate), Agreements, Case Law, Agency Policies and Procedures, Government-wide Laws, Rules and Regulations Review agreement for legality / compliance with government-wide laws, rules or regulations. *Outputs:* Approval or Disapproval, Effectuation of Agreement
8.1.8	Administer Agreements Role: Management Unions HR Organization	*Inputs:* Collective Bargaining Agreement, Bargaining History – Negotiators Notes, Government-wide Laws, Rules and Regulations, Third Party Decisions, Case Law Implement agreement provisions within the organization. Provide training on contract details. Attempt to resolve implementation issues. Collect input on administration of agreement issues to ensure management compliance with terms of the contract. *Outputs:* Agreement Compliance, Decision to Initiate Third Party Process, Dues Withholding, Official Time Tracking Data

Process	8.1 Manage Labor Relations	
ID	*Activity Name*	*Activity Definition*
8.1.9	Provide for Government-wide or National Consultation Role: Management Unions HR Organization	*Inputs:* Agency Policies and Procedures, Unions Granted National Consultation Rights, Government-wide Laws, Rules and Regulations Provide national unions the opportunity to comment on proposed government-wide or agency rules, regulations and policies, as appropriate, prior to implementation. *Outputs:* Union Comments or Recommendations
8.1.10	Provide Information to Unions Role: Management Unions HR Organization	*Inputs:* Union Request for Information, Agreements, Statutory Requirements / Prohibitions Regarding Release of Information (e.g. Privacy Act, Security Classifications), Case Law Provide information to unions as appropriate. *Outputs:* Grievance, Unfair Labor Practice Charge, Release or Denial of Information

Process	8.2 Manage Negotiated Grievances	
ID	**Activity Name**	**Activity Definition**
8.2.1	Identify Issue (Informal Grievance) Role: Management Unions HR Organization Employee	*Inputs:* Employee(s), Management or Union Claim of Wrong Doing Receive information to define and clarify the issue(s) and resolve where possible. *Outputs:* Decision, Finding, Recommendation on How to Address the Grievance, Resolution, Documented Complaint
8.2.2	Advise on Means of Resolution Role: Management Unions HR Organization Employee	*Inputs:* Alternative Resolution Methods, Documented Complaint, Finding, Decision Provide information on available resolution options and / or venues (e.g., mediation, fact finding, "ombudsman" meeting, interest-based negotiation, dispute panels and facilitation). Provide offers of informal resolution. *Outputs:* Resolution, Decision on Informal Grievance, Settlement Agreement, Decision to Employ ADR Methods, Formal Grievance
8.2.3	File Formal Grievance Role: Management Unions Employee	*Inputs:* Informal Grievance, Decision on Informal Grievance, Results of ADR, Documentation Supporting Grievance, Agreements, Formal Grievance Submit grievance in accordance with prescribed procedures. *Outputs:* Grievance
8.2.4	Engage in Alternative Dispute Resolution Role: Management Unions HR Organization Employee	*Inputs:* Agreements, Grievance, Interests of the Parties, Agency Policies and Procedures Engage in alternative methods of dispute resolution, as appropriate (e.g., mediation, fact finding, ombudsman meeting, interest based negotiation, dispute panels, facilitated discussion). *Outputs:* Resolved Dispute, Settlement Agreement, Continued Formal Grievance
8.2.5	Process Grievance Role: Management Unions HR Organization	*Inputs:* Grievance, Agreements, Legal / HR Advice and Guidance, Government-wide Laws, Rules and Regulations, Third Party Decisions, Case Law, Agency Policies and Procedures Collect, review and analyze information related to the grievance (e.g., hold discussions, collect data). Determine findings and address requested relief. *Outputs:* Grievance Findings, Grievance Case File
8.2.6	Render Decision on Grievance Role: Management Unions	*Inputs:* Grievance Findings, Grievance Case File, Results of ADR, Legal / HR Advice and Guidance, Government-wide Laws, Rules and Regulations, Agreements Render a decision in accordance with prescribed procedures. *Outputs:* Grievance Decision

Process	8.2 Manage Negotiated Grievances	
ID	Activity Name	Activity Definition
8.2.7	Participate in Arbitration Process Role: Management Unions HR Organization Employee	*Inputs:* Arbitration Invocation (Management or Union), Grievance Case File, Legal / HR Advice and Guidance, Agreements Arbitrate between Unions and the agency as the final step of the negotiated grievance process that meets statutory requirement. The decision of the arbitrators is binding on the parties. *Outputs:* Arbitrator's Decision, Arbitration Case File
8.2.8	Challenge Arbitrator's Decision Role: Management Unions	*Inputs:* Arbitrator's Decision, Case Law, Arbitration Case File, Agreements, Legal / HR Advice and Guidance File exception / appeal to the arbitrator's decision to the appropriate third party (e.g., Federal Labor Relations Authority, OPM). *Outputs:* Filing

Process	8.3 Participate in Negotiated Third Party Proceedings	
ID	**Activity Name**	**Activity Definition**
8.3.1	File With a Third Party Role: Management Unions HR Organization	*Inputs:* Appealable Decision / Action, Negotiation Impasse, Absence of Decision Exercise right under law, rule and regulation to request a decision by a third party (e.g., FLRA, FSIP, FMCS, OSPV, OPM, US District Court). *Outputs:* Filing
8.3.2	Engage in Discovery Role: Management Unions HR Organization	*Inputs:* Request for Discovery, Interrogatories, Legal / HR Advice and Guidance Request and provide information related to the issue under appeal. Depose potential witnesses. *Outputs:* Response to Discovery Request, Discovery Request
8.3.3	Prepare a Response to Third Party Filing Role: Management Unions HR Organization	*Inputs:* Notification from Third Party, Filing Provide party's position / facts / supporting documentation in accordance with prescribed procedures. *Outputs:* Response
8.3.4	Participate in Alternative Dispute Resolution Role: Management Unions HR Organization	*Inputs:* Request to Participate in ADR Engage in alternative methods of dispute resolution, as appropriate, including mediation, fact finding, ombudsman meeting, interest based negotiation, dispute panels and facilitated discussion. *Outputs:* Resolved Dispute, Settlement Agreement, Continued Formal Grievance
8.3.5	Participate in Hearing / Meeting Role: Management Unions HR Organization	*Inputs:* Notice of Hearing or Meeting, Continued Formal Grievance Represent party's interest. Select and prepare witnesses. Compile and present evidence. *Outputs:* Decision of Third Party
8.3.6	Appeal Third Party Decision Role: Management Unions HR Organization	*Inputs:* Decision of Third Party, Case Law, Government-wide Laws, Rules and Regulations, Legal / HR Advice and Guidance Exercise right to appeal the decision of the third party through appropriate procedures. *Outputs:* Appeal

Process	8.3 Participate in Negotiated Third Party Proceedings	
ID	*Activity Name*	*Activity Definition*
8.3.7	Implement Third Party Decision Role: Management Unions HR Organization	*Inputs:* Decision of Third Party Take directed action(s) and report compliance as required. *Outputs:* Compliance Report, Data Transactions

9. Separation Management

Process	9.1 Manage Employee Separation	
ID	**Activity Name**	**Activity Definition**
9.1.1	Initiate Separation Role: HR Organization Employee	*Inputs*: Separation Notification (voluntary / involuntary), Separation Policies, Government-wide Laws, Rules and Regulations Notify appropriate parties that an employee is leaving an agency. (i.e., voluntary / involuntary separation, transfer, retirement or death). Notification event could be employee to manager; or employee to HR to manager; or family to manager, or HR to employee. *Outputs*: Separation Notification (to HR / Manager / Employee), Type of Separation
9.1.2	Determine Terms of Separation Role: Management HR Organization	*Inputs*: Separation Notification, Type of Separation, Separation Policies Determine the terms and entitlements of separation by examining the reasons behind the event and what the employee will receive (where applicable) when the separation takes place (e.g., leave balance pay out or transfer of account, severance, pension, Temporary Continuation of Coverage (TCC), etc). *Outputs*: Documentation of Separation, Employee Entitlements
9.1.3	Provide Separation Support Role: HR Organization	*Inputs*: Documentation of Separation, Agency Specific Checklists Conduct counseling activities, when appropriate and requested, to assist employee and / or family with the transition and provide help to complete necessary documentation. (e.g., retirement seminar, outplacement services, TCC information, required forms). *Outputs*: Counseling Documentation, Agency Specific Checklists, Completed Employee Forms
9.1.4	Conduct Knowledge Transfer Role: Management	*Inputs*: Agency Specific Checklists, Project Tracking Information Initiate necessary interaction with the separating employee to capture institutional knowledge, intellectual capital, job-related information and status of current and pending assignments. *Outputs*: Statues Reports, Position Documentation, Work Products
9.1.5	Conduct Exit Processing Role: Management HR Organization Employee	*Inputs*: Separation Notification, Document of Separation, Completed Employee Forms Meet with and survey the exiting employee to understand the reasons behind the separation. The results of the discussion will be used to identify trends and develop appropriate intervention strategies to improve retention. During the session, the parties will complete exit checklist and collect agency property. Notify appropriate third parties of the event for action or coordination (e.g., benefits providers, payroll, facility services, security, IT). Gather and distribute appropriate materials to assist the employee and family with the separation. *Outputs*: Attrition Statistics, Retrieved Agency Assets, Exit Interview Results, Separation Notifications, Separation Materials

Appendix C
Participants

The purpose of the Verification and Validation Workshops was to *collaborate* to verify and validate the Target Business Process for the HR Line of Business. Many people participated in this cross-agency collaboration. This Appendix contains an overall view of how many agency representatives participated in each session, listed by workshop session, and the listing of individuals who contributed in one or more sessions, listed by agency.[3] The IBM support team and facilitators are listed at the end of the appendix.

Month	Date	Sub-function	Participants	Agencies
August	26	Day 1: Staff Acquisition	51[4] (34)[5]	21[2] (20)[3]
September	29	Day 2: Staff Acquisition	51 (23)	21 (15)
	30	Day 1: HR Strategy	52 (36)	20 (20)
October	7	Day 3: Staff Acquisition Day 1: Position Management	51 (19)	21 (14)
	13	Day 2: HR Strategy	52 (19)	20 (13)
	21	Day 1: Benefits Management	50 (42)	25 (21)
	28	Day 1: Separation Management	50 (17)	25 (14)
November	3	Day 2: Position Management	33 (22)	16 (13)
	9	Day 1: Employee Development and Performance Management	60 (28)	21 (16)
	17	Day 2: Employee Development and Performance Management	60 (32)	21 (17)
December	1	Day 1: Compensation Management	26 (24)	17 (17)
	8	Day 1: Labor Relations & Employee Relations	52 (24)	17 (13)
	9	Day 2: Labor Relations & Employee Relations	52 (14)	17 (11)
	15	HR LOB End-to-End Process Review	50 (30)	21 (15)

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[3] The individuals listed on the following pages are all those people that responded to the invitation for the workshop and received all the documents produced in the session. Some of them did not physically attend the session.

[4] The numbers not in parentheses capture the number of individuals or agencies that responded to the invitation to the workshop and received all the workshop documents.

[5] The numbers in parentheses represent the number of participants or represented agencies that signed in at the workshop.

Agency	Participant	Workshop Attended
CFTC	Oleson, Eric	Benefits and Separation Management
CIA	Silfies, Woody	Compensation Management
		End-To-End Process Workshop
CPMS	Grubbs, Janet	Employee Development and Performance Management
DFAS	Greely, Linda	Benefits and Separation Management
		Compensation Management
	LaBelle, Karen	Benefits and Separation Management
	Sebastian, Connie	Benefits and Separation Management
		Compensation Management
DHS	Albin, Ann	HR Strategy
	Bergquist, Randy	Employee Development and Performance Management
	Boteler, Pamela	Benefits and Separation Management
		Compensation Management
		Employee Relations and Labor Relations
		HR Strategy
		Staff Acquisition
	Doyle, Monica	Staff Acquisition
	Hill, Terry	Employee Development and Performance Management
	Manlove, Marian	Employee Relations and Labor Relations
	Mayrose, David	Position Management
	Oakey, Linda	Benefits and Separation Management
		Position Management
	Rumble, Steve	Compensation Management
	Stamerra, Robert	Employee Relations and Labor Relations
	Urkums, Robin	Position Management
	Vargas, Lucy	Employee Development and Performance Management
		Employee Relations and Labor Relations
	Wlaschin, Terri	Employee Development and Performance Management
	Zentz, Angela	Benefits and Separation Management
DOC	Anderson, Lois	Benefits and Separation Management
	Brandenberg, Kristin	Compensation Management
	Fleishell, Sheila	Compensation Management
	Guinyard, Janice	Employee Development and Performance Management
	Jamison, Jay	Employee Development and Performance Management
		Employee Relations and Labor Relations
	Jamison, Kristi	Employee Development and Performance Management
	Jordan, Paul	Position Management
		Staff Acquisition

DOC	Lang, Fred	Employee Development and Performance Management
	Liverani, Ed	Position Management
	Purifoy, Felicia	Employee Relations and Labor Relations
	White, Fran	Employee Relations and Labor Relations
	Yaag, Denise	End-To-End Process Workshop
		Position Management
		Staff Acquisition
DOD	Clayton, Eric	Compensation Management
	Creeger, Debra	Benefits and Separation Management
		Position Management
	Miles, Patricia	Employee Development and Performance Management
	Revay, John	Position Management
	Saine, Rebecca	Employee Relations and Labor Relations
	Smith, Becky	HR Strategy
	Strother, Patricia	Benefits and Separation Management
		End-To-End Process Workshop
		HR Strategy
		Position Management
DOE	Benner, Kathleen	Employee Relations and Labor Relations
	Brown, Toshia	Benefits and Separation Management
	Burks, Girtha	Staff Acquisition
	Dowell, Jeffrey	Employee Development and Performance Management
	Flood, Jackie	Benefits and Separation Management
	Lucket, Tanya	Employee Development and Performance Management
	Murray, Bruce	End-To-End Process Workshop
		HR Strategy
	Seto, Anita	Staff Acquisition
	Towne, Larry	Staff Acquisition
	Van Steinberg, Dottie	Employee Development and Performance Management
	Venanzi, Jerry	HR Strategy
	Wheeler, Thomas	HR Strategy
DOI	Alfono, Sal	Staff Acquisition
	Barbara, Kathy	Position Management
	Broussard, Lisa	Benefits and Separation Management
		Employee Relations and Labor Relations
	Bryning, Dana	Compensation Management
	Colburn, Michael	Benefits and Separation Management
		End-To-End Process Workshop
	Gregory, Sandra	Benefits and Separation Management
		Compensation Management

DOI	Jarman, Lori	Employee Development and Performance Management
	Kelly, Marta	Employee Development and Performance Management
	Kogut, Kathy	Benefits and Separation Management
		Employee Development and Performance Management
	Miller, Nancy	Employee Relations and Labor Relations
		End-To-End Process Workshop
	Muschett, Beres	Employee Development and Performance Management
		End-To-End Process Workshop
		HR Strategy
		Position Management
	Perry, Deborah	Employee Relations and Labor Relations
	Petrikat, Diane	Compensation Management
	Rabida, Gregory	Employee Development and Performance Management
	Robbs, Stephanie	End-To-End Process Workshop
	Stebbins, Bill	End-To-End Process Workshop
DOJ	Higgins, Jamie	Benefits and Separation Management
	Hirt, Matthew	Employee Relations and Labor Relations
	Humes-Dancy, Karen	Benefits and Separation Management
		Employee Development and Performance Management
		End-To-End Process Workshop
		Staff Acquisition
	Jezek, Rob	Compensation Management
	Kirkwood, Meg	Benefits and Separation Management
		Employee Development and Performance Management
		End-To-End Process Workshop
		HR Strategy
		Staff Acquisition
	Lee, Jeanarta	Employee Development and Performance Management
		Position Management
	Marshall, Sheila	Position Management
	McPeek, Steve	HR Strategy
	Shoun, Sandra	Employee Development and Performance Management
	Soffer, Mary Lou	Benefits and Separation Management
DOL	Glasgow, Andy	Compensation Management
		Employee Development and Performance Management
	Kelly, Jackson	Benefits and Separation Management
	Krein, Hans	End-To-End Process Workshop
		HR Strategy
	Simms, Drucilla	Employee Development and Performance Management
		End-To-End Process Workshop

DOL	Terrell, LaShonda	End-To-End Process Workshop
	Tyrrell, Diane	Staff Acquisition
		End-To-End Process Workshop
		HR Strategy
		Position Management
	Wachter, Thomas	Employee Relations and Labor Relations
	Welch, Craig	Employee Development and Performance Management
		Position Management
DOT	Gomez, Steve	Employee Development and Performance Management
		Employee Relations and Labor Relations
	Kaplan, Thomas	Employee Development and Performance Management
	Mason, Deborah	Employee Relations and Labor Relations
	Moody, Linda	HR Strategy
	Schaffer, Casey	Benefits and Separation Management
	Thomas, Pat	Staff Acquisition
ED	Allen, Cheri	Employee Development and Performance Management
	Covington, Eudora	Position Management
		Staff Acquisition
	Jackson, Stacie	Employee Development and Performance Management
		Employee Relations and Labor Relations
	Keenan, James	Employee Relations and Labor Relations
	Radcliffe, Samuel Keith	Position Management
EPA	Alfano, Joanne	HR Strategy
	Bair, Linda	Benefits and Separation Management
		Employee Development and Performance Management
		HR Strategy
		Position Management
	Bashar, Richard	HR Strategy
	Briggs, Ken	Employee Relations and Labor Relations
	Carson, William	Employee Relations and Labor Relations
	Castillo, Marcelle	Employee Relations and Labor Relations
	Clark, Jill	HR Strategy
	Hatfield, Melissa	Employee Relations and Labor Relations
	Henderson, Ken	Position Management
	Johnson, Carolyn	Benefits and Separation Management
		HR Strategy
		Staff Acquisition
	Martinez, Richard	Employee Relations and Labor Relations
	McClendon, Michelle	Employee Development and Performance Management

EPA	Munix, JoAnn	Employee Development and Performance Management
	Rashad, Johari Ph.D.	Employee Development and Performance Management
	Ridings, Sharon	Employee Development and Performance Management
	Rockwell, Richard	Employee Relations and Labor Relations
	Simms, Rosyletta	Compensation Management
		Employee Relations and Labor Relations
		End-To-End Process Workshop
	Wiggins, Sandra	HR Strategy
	Williams, Sandra	Benefits and Separation Management
		End-To-End Process Workshop
FERC	Briggles, Jill	Compensation Management
	Canter, Steven	Compensation Management
	Center, Steve	Employee Relations and Labor Relations
	Crawford, Sarah	Employee Relations and Labor Relations
	Dubbert, Janet	Benefits and Separation Management
		Employee Relations and Labor Relations
		HR Strategy
	Fawcett, Rhoda	Staff Acquisition
	Fludd, Patricia	Employee Development and Performance Management
	Javonillo, Tony	Employee Relations and Labor Relations
	Morgan, David	Employee Relations and Labor Relations
	Tony Javonillo	Employee Development and Performance Management
	Trainum, Mary	Benefits and Separation Management
GSA	Coleman, William	Employee Relations and Labor Relations
		HR Strategy
	Cowley, Thomas	Benefits and Separation Management
		Employee Relations and Labor Relations
	Huber, June	End-To-End Process Workshop
	Ingram, Daria	HR Strategy
	Kelly, William	End-To-End Process Workshop
	Okigbo, Jacqueline	Employee Relations and Labor Relations
	Otto, Paulette	Employee Development and Performance Management
	Paige, Cheryl	End-To-End Process Workshop
	Schoenfelder, Robert	Compensation Management
	Sergent, Elsa	End-To-End Process Workshop
	Sexton, Eugenio	HR Strategy
	Westbrook, Judith	End-To-End Process Workshop
	Williams, Thomasina	Benefits and Separation Management
		Employee Relations and Labor Relations

GSA	Wozniak, Maryann	Compensation Management
		Employee Development and Performance Management
		Employee Relations and Labor Relations
		End-To-End Process Workshop
		Staff Acquisition
HHS	Dewberry, Vernelle	Benefits and Separation Management
	Duval, Linda	HR Strategy
	Gipson, Pam	Benefits and Separation Management
	Goldstein, Audrey	Employee Development and Performance Management
	Green, Matthew	End-To-End Process Workshop
	Seaward, Steven	HR Strategy
	Smith, Mary	HR Strategy
		Staff Acquisition
	Stoute, Jack	HR Strategy
		Staff Acquisition
	Ward, Nancy	HR Strategy
		Staff Acquisition
HUD	Boykins, William	Staff Acquisition
	Fox, Scott	Staff Acquisition
		Position Management
	Mathews, Yvonne	HR Strategy
	Wiggins, Sandra	Staff Acquisition
	Williams, Bessie	Benefits and Separation Management
IRS	Franklin, Charmaine	Benefits and Separation Management
	Leavell, Eric	Benefits and Separation Management
	Osburn, Frank	Benefits and Separation Management
	Tackett, Willie	Benefits and Separation Management
	Wells, Shirley	Position Management
ITC	Buchholz, Jeri	End-To-End Process Workshop
NASA	Conlin, Craig	Staff Acquisition
	Golis, Steve	Position Management
	Hill, Mike	Staff Acquisition
	Irwin, Candy	Staff Acquisition
	Jones, Joy	HR Strategy
	Lloyd, Janice	Benefits and Separation Management
	Robinson, Terri	Benefits and Separation Management
	Tingwald, Jim	Compensation Management
		Position Management

NRC	Davis, Kristin	End-To-End Process Workshop
NSF	Arietti, Charlene	Employee Development and Performance Management
	Bealafeld, Paul	Employee Relations and Labor Relations
	Black, Alvin (Chip)	HR Strategy
	Bowen-Brown, Sabriena	Position Management
	Burt, Toby	HR Strategy
	Davis, Robin	Employee Relations and Labor Relations
	Everett, Curtis	Employee Development and Performance Management
	Parnell, Al	Staff Acquisition
	Roddy, Nancy	End-To-End Process Workshop
		HR Strategy
	Ross, Anne	Compensation Management
	Tran, Kim	Staff Acquisition
NTIS	Burton, Spence	End-To-End Process Workshop
	Jackson, Bill	End-To-End Process Workshop
OPM	Anderson, Dave	Staff Acquisition
		End-To-End Process Workshop
	Andujar, Carmen	Staff Acquisition
	Bates, Ken	Employee Relations and Labor Relations
	Batitto, David	Employee Development and Performance Management
		HR Strategy
		Staff Acquisition
	Bell, Barbara	End-To-End Process Workshop
	Bellamy, Rachel	Employee Development and Performance Management
	Buckley, Tim	Staff Acquisition
	Campbell, Joe	Compensation Management
		End-To-End Process Workshop
	Canning, Gordon	Employee Relations and Labor Relations
		End-To-End Process Workshop
	Dang, Nina	End-To-End Process Workshop
	Diaz, Rhonda	End-To-End Process Workshop
		HR Strategy
	Dobson, Sharon	HR Strategy
	Enger, Norm	End-To-End Process Workshop
	Gibbons, Claire	End-To-End Process Workshop
		HR Strategy
		Staff Acquisition

OPM	Goldberg, Barbara	Benefits and Separation Management
		Employee Development and Performance Management
		HR Strategy
		Position Management
	Husheck, Frank	HR Strategy
	Hyder, George	Benefits and Separation Management
	Kane, Robert	Benefits and Separation Management
	Kirwan, Eileen	Benefits and Separation Management
	Leibach, Karen	Benefits and Separation Management
	Linz, Adrian	HR Strategy
	Ludwig, Ann	HR Strategy
	Magee, Edward	Employee Relations and Labor Relations
		End-To-End Process Workshop
	Mahoney, Kevin	Staff Acquisition
	Martin, John	End-To-End Process Workshop
	Mautner, Liz	End-To-End Process Workshop
	McGehee, Joyce	End-To-End Process Workshop
		Staff Acquisition
	McKenzie, Gladys	Benefits and Separation Management
	Perrini, Jo Ann	End-To-End Process Workshop
	Phelps, Darlene	Staff Acquisition
	Raphael, Eric	End-To-End Process Workshop
	Rayside, Mona	Compensation Management
	Roberts, Brenda	Compensation Management
		Employee Relations and Labor Relations
		End-To-End Process Workshop
	Rogers, Ileen	Employee Development and Performance Management
	Rosario, Omar	Employee Development and Performance Management
		End-To-End Process Workshop
	Umana, Gigi	Compensation Management
	Wahlert, Gary	Employee Relations and Labor Relations
	Williams, Victoria	Employee Relations and Labor Relations
SSA	Barry, Carla	Employee Relations and Labor Relations
	Grantland, Kathleen	Benefits and Separation Management
	Harris, Ron	Compensation Management
		Employee Development and Performance Management
		End-To-End Process Workshop
		HR Strategy
		Position Management

SSA	Lidard, Mary	Employee Relations and Labor Relations
	Parker, Gwendolyn	Benefits and Separation Management
	Pugh, Tom	Employee Relations and Labor Relations
	Ryan, Richard	Employee Development and Performance Management
	Simmons, Ed	Position Management
	Smith, William	Employee Relations and Labor Relations
	Swindle, Jill	Employee Relations and Labor Relations
State	Kelley, Mary	Staff Acquisition
	Phillips, Chet	HR Strategy
	Shen, Daniel	Staff Acquisition
	Townsend, Doug	HR Strategy
		Staff Acquisition
Treasury	Boyer, Phillip	Employee Relations and Labor Relations
	Bracy, Gayle	Employee Development and Performance Management
	Carpenter, Russell	Employee Relations and Labor Relations
	DeLuca, Laura	Benefits and Separation Management
	Hopkins, Jennifer	Position Management
	Mariano, Jade	Employee Relations and Labor Relations
	Reeves, James	Employee Development and Performance Management
	Scott, Linda Washington	Staff Acquisition
	Snowden, Gloria	Employee Development and Performance Management
		HR Strategy
USAID	Conboy, Mary Anne	Employee Relations and Labor Relations
USDA	Arnott, James	Employee Development and Performance Management
	Fonte, Susan	Employee Development and Performance Management
	Francis, Ray	Employee Development and Performance Management
	Jenkins, MaryAnn	End-To-End Process Workshop
		HR Strategy
	Moore, Patti	Compensation Management
	Murray, Karen	Employee Development and Performance Management
	Nyers, Jody	Benefits and Separation Management
	Phillips, Carol	Benefits and Separation Management
	Ruf, Cheryl	End-To-End Process Workshop
		HR Strategy
USGS	Huttman, Gregory	Staff Acquisition
	Yarborough, Wanda	Staff Acquisition
USPS	Carl, Dianna	Employee Development and Performance Management

VA	Baratta, Robert	HR Strategy
		End-To-End Process Workshop
	Beckley, Mary Alan	Benefits and Separation Management
	Broadie, Wanda	Employee Development and Performance Management
	Corcoran, Joanne	End-To-End Process Workshop
	Doroshaw, Anna	Employee Development and Performance Management
	Ellison, William	Position Management
	Hanson, Joan	HR Strategy
	Hunter, Thurstan	Compensation Management
	Marshall, Elaine	Staff Acquisition
	McClellan, Charles	Position Management
	Murray, Elodie	Staff Acquisition
	Oliver-Simon, Gloria	Employee Development and Performance Management
	Rowe, Kenneth	Position Management
	Walker, Sheila	Position Management
		Staff Acquisition
	White, Elizabeth	Benefits and Separation Management

IBM Support Team	Role
Biggert, Tim	Facilitator, HR SME
Delaney, Tom	Facilitator, HR SME
Engelman, Ida	Facilitator, HR SME
Gillispie, Sean	Modeler, Process SME
Schaeffer, Patti	Co-facilitator, HR SME
Suryavanshi, Kunal	HR LOB PMO

Appendix D
Comments Log

Over the past several months, we have received communication, primarily e-mails, from participants providing feedback and recommendations about the processes. Some comments were received prior to the publishing of the Interim Report; other comments were received after the process was "frozen" in the interim report. This Comments Log documents this feedback and provides information about any action taken.

Provided By	Comment	Response
1. HR Strategy		
David Anderson, Office of Personnel Management on 10/12/04 via e-mail	During the first HR Strategy Workshop, there was a recurring issue that managers are taking a far more active role in many activities previously relegated to HR Offices. I think we need to capture this involvement by showing dual responsibility.	Reflected in the diagrams where activities span Management and HR Organization roles.
Ron Harris, Social Security Administration on 12/17/04 via e-mail	... the current "HR Life Cycle" ... and the "End to End Business Process" diagram ... reflect a fairly standard or traditional view of HR management and administration activities. This does fit nicely with the activities and services of HR in the "as is" world, but doesn't seem to capture what could or should be done by HR as HR Specialists in the agencies transition away from "administrative processing" to the management consultant, customer service, and strategic partner roles mentioned in the HR LOB Business Case. It doesn't seem that work such as the "Change Consultant" activities described in Appendix A (Human Resources Competency Model) and referenced throughout the study are really captured in our list of the end to end business processes. The question from our meeting yesterday was: "Is there anything done in HR that is not captured here?" It could be argued that this work isn't being done to any great extent and therefore is not needed in the diagram, but I think we were being asked also to have some vision for the transformation of HR services rather than just documenting our activities to facilitate the movement to shared service centers. If that's the case, you may want to consider adding in the more future-oriented view for HR described by OPM in this report.	Agreed to conduct a work session with HR subject matter experts to review the entire end-to-end process and extend it so it appropriately reflects the strategic consultative role.

2. Staff Acquisition		
Bill Ellison, Department of Veterans Affairs on 10/18/04 via e-mail	On the sub-function overview diagram, the arrow going to Staff Acquisition is not clear. It should show a stronger link between HR Strategy and Position Management with the arrow going from Position Management to Staff Acquisition. Position Management should precede Staff Acquisition since the end result of the process will be the number of positions that can be filled. HR Strategy should precede Position Management. You need to add Position Management to the process hierarchy.	The new End-to-End Business Process Diagram will correct the perception of a linear process flow and show better relationships between the sub-functions. Links clearly show up via inputs and outputs. Organization and Position Management was added as a sub-function.
Bill Ellison, Department of Veterans Affairs on 10/18/04 via e-mail	Develop Staff Acquisition Plan: In my opinion, determining classification of positions should precede hiring analysis since the grade / title / series determines basic qualifications and impacts sourcing for vacancies. It also should be done prior to job analysis.	Reflected in the reconciled dictionary that Determine Classification of Positions 2.2.1 precedes Job Analysis 2.3.1. Hiring Analysis is a key activity in creating a strategy for acquiring the type of staff needed. Classifications might have been previously developed and used as a template for a specified position or created when given the factors to consider when a position has been identified.
Bill Ellison, Department of Veterans Affairs on 10/18/04 via e-mail	Appendix D Cross agency systems inventory: Note VA has a PD library but it is primarily a reference tool and is not linked with USA Staffing at this time.	Noted
Bill Ellison, Department of Veterans Affairs on 10/18/04 via e-mail	Appendix E / F, Administer Position Management Diagram / Definitions: In my opinion conduct Position and Organization Management should be the first step in the process since it defines the organization structure on which jobs are attached. Establishing and analyzing job requirements would follow.	Organization and Position Management was added as a sub-function.
Dave Anderson, Office of Personnel Management on 8/27/04 via e-mail	What do you think about a new EXECUTE process entitled Manage Staff Acquisition (SA) that has three activities: Implement SA Plans and Efforts; Analyze Effectiveness of SA Plans and Efforts; and Adjust SA Plans and Efforts?	This was incorporated into the process. Meg's concern about capturing the implementation of the plans was also addressed.
David Batitto on 8/27/04 via e-mail	I think the groups should focus on the "as is" rather than trying to incorporate "to be". Looking to incorporate "to be" adds a different dimension to the conversation. I would suggest that "to be" ideas be placed in a "parking lot."	The work group was charged with the task of thinking to the future and building a "to-be" model that will serve as a basis for HR LOB Planning.
David Batitto on 8/27/04 via e-mail	There is a need for a "parking lot" process framework. Discussion related to the steps in the process fell into 3 categories: Legal / Regulatory Requirements, Agency Requirements, and Constitutional Values / People Values (access, equity, fairness, timeliness). These issues should be automatically placed in the parking lot to allow conversation to re-focus on process flow.	Agreed. The work group became more efficient over time and this was the first sub-function to be covered.

2. Staff Acquisition		
David Batitto on 8/27/04 via e-mail	The diversity perspective of HR's role in the organization was very insightful. Many had a perspective of HR and the roles HR plays in the organization in a very traditional sense; advisory, service, and control. With the PMA and the CHCO Act, HR's roles have broadened to a strategic partner in the organization. I would recommend using roles that coincide with the progression of HR as a strategic partner. The new nomenclature would be: strategic (long term and forward thinking), operational (day to day task), and administrative (deals with compliance and record-keeping).	Agreed. HR plays important roles in all of the processes and should be viewed as a strategic partner as well as central to planning operational and administrative roles. The recommended roles are more role categories than role names. We do in fact want to make sure the strategic, operational and administrative elements are covered in all roles.
Douglas Townsend, Department of State on 10/17/04 via e-mail	I seemed to remember that the Process Hierarchy Diagram was going to be changed to include a new Level 2 phase for "Evaluate". There was much discussion about whether to add performance criteria / measures in each sub-process or to include an evaluation phase that covers the entire Staff Acquisition process. This plan, execute / evaluate approach could be used for all high-level processes.	The Process Hierarchy Diagram was used as a transition from a functional view to an end-to-end process view. This level no longer exists.
Ron Harris, Social Security Administration on 10/13/04 via e-mail	The participants decided that Administer Position Management should be a process or even a sub-function that exists outside of the Staff Acquisition sub-function.	The "Staff Acquisition" Sub-function report was updated to reflect "Position Management" as a separate sub-function in accordance with the group's recommendation.
Yadira Bermea, Department of Transportation on 9/22/04 via e-mail	Several items were placed in the "parking lot" during discussions, but were not included in the workshop report. These items included the process for hiring SES / political appointees and non Title V hiring practices.	Parking lot items were covered in the second workshop.

2. Staff Acquisition		
Yadira Bermea, Department of Transportation on 9/22/04 via e-mail	There was no clear guidance on what needed to be included in the reference model. Was it a matter of only including statutory and regulatory staffing requirements, or also include best practices in the staffing area from the various agencies and the method used to gain consensus (i.e. when discussions were such that consensus was not within reach, the resolution was to raise the item to the next level, thereby losing any meaningful distinctions that necessarily differentiate government hiring requirements from those of private industry)?	We discussed the requirements for the reference model during the workshop. The "level" of process and activity shown in the models is to be developed by the workshop participants, although we don't want to get too far down in the weeds. They can include regulatory, statutory and best agency practices - as long as they're at the process / activity level. We did not ignore any agency process, as we did some considerable work on the "Evaluate Candidate" process diagram to accommodate the NASA approach. The processes are all based on Federal hiring activities. Definitions and diagrams were revised to produce a result the work group agreed is a valid representation.

3. Organization and Position Management		
Bill Ellison, Department of Veterans Affairs on 11/22/04 via e-mail	The process diagrams in Appendix B are confusing. The outputs for Organization and Position Management are not clearly depicted in the Sub-function and Contextual View charts. I recommend broadening the output to include position allocation / reallocation to include both classified and rank in person systems.	The diagrams were amended due to the recommendation.
Joyce McGehee, Office of Personnel Management on 11/17/04 via e-mail	The focus of the "Establish Job Requirements" process is within the agencies to establish their job requirements. OPM's occupational studies are not conducted by the agencies so the study results would not be an input. Only final classification standards would be an input.	OPM's Occupational Study results were deleted as an input and "Classification Standards" was inserted.

3. Organization and Position Management		
Joyce McGehee, Office of Personnel Management Karen Humes-Dancy, Department of Justice Meg Kirkwood, Department of Justice on 10/4/04 via e-mail	We should be talking about a broader concept "Position Management" versus "Position Classification". If we start at the point where a FTE (position) is available or the budget has approved a FTE, then we can start with your diagram, managing a position that has been approved. The process map must show that the inputs come from the budget formulation process not from HR Strategy or HR Management. The way it should work is, each mission has a defined budget value and part of that value is the assumed cost of labor needed to accomplish the goals and objectives. A definition of the workforce needed to achieve the goals should be defined during the budget formation process for the mission activity. Only when the budget is approved and only when an existing classification is not already available would the HR classification process be needed.	Agreed. The budget feeds into HR where strategy and other sub-functions manage their goals and objectives to that budget. The process that comprises the sub-function Organization and Position Management takes this broader view.
5. Benefits Management		
Meg Kirkwood Department of Justice on 10/20/04 via e-mail	Under benefits, the reported categories are federal or agency. Some benefits are occupation oriented but only apply to a limited number of agencies. Would this be federal or agency? I also think there may be LEO benefits that are line to LEOs but only in some but not all agencies. I think that DHS has some examples of LEO occupations that aren't eligible for standard LEO benefits. You'll have to ask the question on the LEO stuff.	Agreed. Noted for future process iterations.
6. Employee Development and Performance Management		
Curtis Everett, National Science Foundation on 12/8/04 via e-mail	The document uses (in places) only HR specific language vs. training and development language (e.g. conducting needs assessment processes for development instead of "front end analysis" and "instructional systems design"). Paul Barsnica and I have spoken at length about how this process is actually a TD function vs. an HR function (current literature and research puts Competency and Development responsibilities in Training Branches, not in HR). These comments are more of an observation than a request to "fix the document."	Acknowledged. These processes fall within the Human Resources process, regardless of placement in the organization. Training and development subject matter experts participated and changed language of the sub-function to be training and development. Noted for future process iterations.

6. Employee Development and Performance Management		
Meg Kirkwood, Department of Justice on 11/2/04 via e-mail	I am interested that we make sure that the training process has identified the feed to the financial system for the financial events, the planning (the financial obligation), the completion (when the obligation becomes a true debt to the agency) and when cancellations, absences or other events effect the financial obligation. We also need to know when the training is an individual and when it is a grouped cost. If grouped costs are not reported as a breakdown into the cost per individual, it will not be possible to calculate the true per employee cost later. Wherever a decision is made to procure services in support of a training need you have to be very careful about how you report those costs or you will not be able to extract them again.	The definition of the activity was extended to acknowledge the cost per individual and per group.
Meg Kirkwood, Department of Justice on 11/2/04 via e-mail	In addition, it is very important that the training be aligned to the status of the employee at the time of training and that the "picture" of the employee at the time of training doesn't change as the employee changes. It is very important for union and legal reasons as well as to get proper analysis of our activities over time that we not only know who got trained in what, be also to know "who they were" at the time they were trained.	Good point. The activity 'Administer Training' captures the data that would be used to do this analysis.
Sandra Shoun, Department of Justice on 12/12/04 via fax	I would think you develop the program first and then decide alternatives. (6.2.2)	The word alternatives was meant to consider options of various training modes.
Sandra Shoun, Department of Justice on 12/12/04 via fax	6.3.3. Work with unions to define target audiences as everyone should have the opportunity.	Noted. Union Agreements is an input to this activity.
Sandra Shoun, Department of Justice on 12/12/04 via fax	I don't understand the ordering of activities in section 6.3. It seems one would first establish goals and objectives, then outline the development program.	This is correct. The agency goals and objectives feed into establishing the Development and Strategy in 6.1.
9. Separation Management		
Meg Kirkwood Department of Justice on 10/20/04 via e-mail	On separations: Should there be a task for the HR process to prepare and certify the retirement information? Should there be a task that includes transfer employee data to next federal employer when the transfers out is to another agency? Do we assume that the notifications will include the change to position Management to reduce the FTE and potential to increase the recruitment activity? In general, the area surrounding "perform notification" needs to be flushed out in great detail.	Retirement information would be identified and certified during the Determining Terms of Separation activity (9.1.2) Transferring employee data would culminate in Conduct Exit Processing (9.1.5) The "handshakes" between the sub-functions will trigger when an event causes it to do so (e.g. replacement of FTE).

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