

| HUMAN CAPITAL PLANNING | |
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| KEY ELEMENTS | SUGGESTED PERFORMANCE INDICATORS |
| <p><i>The agency has a human capital planning system that:</i></p> <ul style="list-style-type: none"> Promotes alignment of human capital strategies with agency mission, goals, and objectives through analysis, planning, investment, and management of human capital programs | <p><u>Effectiveness Indicators</u></p> <ul style="list-style-type: none"> Key stakeholders, including HR, participate in the development and revision of the agency's strategic plan and facilitate workforce planning and analysis efforts. Documents substantiate involvement of key human capital leaders and key stakeholders in the planning process (e.g., team members of review boards, working groups, or executive off-sites). Human capital planning is managed by a human capital review team or similar collaborative body comprised of the CHCO and senior leaders and managers from human resources, information technology, finance, and mission-specific program areas. <p><u>Compliance Indicator</u></p> <ul style="list-style-type: none"> As provided by 5 U.S.C. 1103(c), the agency holds managers and human resources officers accountable for efficient and effective human resources management in support of the agency's mission in accordance with merit system principles. |
| <ul style="list-style-type: none"> Establishes a process for including human capital activities and investments in the agency annual performance plan and budget | <p><u>Effectiveness Indicators</u></p> <ul style="list-style-type: none"> The agency's annual performance plan and budget request include human capital activities and investments. The annual plan identifies resources required to implement human capital strategies (e.g., retention bonuses, "buyouts," awards, training, student loan repayments, tuition assistance, Voluntary Early Retirement Authority (VERA)). Funding requirements are prioritized in case not all human capital strategies can be funded. |

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| <i>The agency has a human capital planning system that:</i> | |
| | <p><u>Compliance Indicators</u></p> <ul style="list-style-type: none"> • The agency has a standard for integrating its human resources strategies into the budget as stated in 31 U.S.C. 1115, as added by the CHCO Act of 2002. • As prescribed in the CHCO Act (31 U.S.C. 1115), the agency's performance plan provides a description of how the performance goals and objectives are to be achieved, including: <ul style="list-style-type: none"> – The operational processes, training, skills and technology, and the human capital information and other resources – The strategies required to meet the performance goals and objectives. <p>[Note: In addition to amending and adding to title 5, the CHCO Act amends provisions of the Government Performance and Results Act of 1993 (GPRA), which requires agencies to prepare annual performance plans.]</p> |
| <ul style="list-style-type: none"> • Results in the development of an annual human capital plan establishing human capital goals, objectives, and investments that link to the agency strategic plan and support mission accomplishment | <p><u>Effectiveness Indicators</u></p> <ul style="list-style-type: none"> • The agency's planning process links the human capital framework to the mission, function, and strategic management of the agency, as well as to other management initiatives such as e-Government and competitive sourcing. • The agency has designed human capital performance improvement strategies that support mission accomplishment. • The agency has approved and communicated human capital planning documents that describe human capital goals, objectives, investments, and strategies linked to the agency strategic plan. |

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| | <p><u>Compliance Indicators</u></p> <ul style="list-style-type: none"> • The agency includes human capital strategic planning in agency performance plans and performance reports as stated in 31 U.S.C. 1115, as amended by the CHCO Act. • As prescribed in the CHCO Act (31 U.S.C. 1115), the agency's program performance report includes a review of the performance goals and evaluation of the agency's performance plan relative to the agency's strategic human capital plan. |
| <ul style="list-style-type: none"> • Provides for a formal agency-wide evaluation of the strategies in the human capital plan and its implementation. | <p><u>Effectiveness Indicators</u></p> <ul style="list-style-type: none"> • The strategic human capital plan sets human capital progress milestones and identifies those responsible for meeting them. • The agency's annual performance review tracks and measures human capital activities and investments. • The agency defines successful achievement of the mission in terms of quantified long- and short-term human capital performance goals. • The agency has a documented change management/implementation process that identifies necessary human capital practices to facilitate change. • Where appropriate, individual performance plans and evaluations address accountability for successful implementation of human capital strategies. • Human capital partnering is considered in senior leaders' and managers' annual performance reviews. |

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| <i>The agency has a human capital planning system that:</i> | |
| | <p><u>Compliance Indicators</u></p> <ul style="list-style-type: none"> • In accordance with the Executive Performance and Accountability Interim Rule (5 CFR 430 and 1330), senior employee performance ratings appropriately and clearly link to organizational mission, GPRA strategic goals, or other program objectives. • Agency managers plan and communicate performance elements and standards linked with strategic planning initiatives in accordance with the Executive Performance and Accountability Interim Rule (5 CFR 430 and 1330). |