TALENT MANAGEMENT SYSTEM CHECKLIST

Agency:	**Location:**
Reviewed as Part of:	

References: 5 CFR Part 250 ; Agency policy documents, workforce planning documents, interviews, and training plans

***Note: Please note all data sources are just suggestions and may not be applicable to all agencies.**

Instructions: Use this checklist to evaluate the Talent Management System.

Quick Link to "Case File Summary/Comments:"

Focus Area 1 – Workforce Planning – Agency leadership identifies the HC required to meet organizational goals, conducts analyses to identify competency and skill gaps, develops strategies to address HC needs and close competency and skill gaps, and ensures the organization is structured effectively.			
Focus Area Indicators			
Y	**N**	**Review Item**	**Comments**
		1. The agency's human capital policies and programs are based on comprehensive workforce planning and analysis. [5 CFR 250.204(a)(2)] (Sources: Policy documents, workforce planning documents, and interviews)	
		2. The agency identifies and closes skill gaps. [5 CFR 250.203(b)] (Sources: Workforce planning documents and interviews)	
EFFECTIVENESS AND EFFICIENCY ITEMS			
		1. The agency has a workforce plan that links directly to its strategic and annual performance plans. The workforce plan identifies current and future human capital needs, and competencies needed for the agency to pursue its vision. (Sources: Agency's Strategic Plan and HCOP)	
		2. The agency identifies and regularly reviews its mission-critical occupations and competencies. (Sources: Agency's Strategic Plan and HCOP)	
		3. The agency regularly scans the environment to understand how external factors will affect its labor supply and workforce. (Source: HCOP)	
		4. The agency regularly conducts a forecasting process to project its workforce supply and demands in the immediate future (e.g., 1-2 years) and in the long term (e.g., 3 or more years), which includes calculation of risks to the agency's strategy. (Sources: Agency's Strategic Plan, HCOP, and HRStat)	

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		5. The agency develops and implements a talent management plan to close staffing and competency gaps, manage staffing surpluses, maintain the strengths of the existing workforce, and mitigate risks. (Sources: HCOP and workforce planning documents)	
		6. The agency thinks broadly about techniques it can use to close staffing and competency gaps, such as job redesign, organizational restructuring, cross-training, job sharing, details, or use of technology. (Sources: HCOP, workforce planning documents, and training materials)	
		7. The agency regularly assesses the effectiveness of human capital strategies and workforce plans on addressing gaps and surpluses and uses the assessments to adjust strategies and plans. (Source: HCOP)	
Focus Area 2 – Recruitment and Outreach – The strategic recruitment plan ensures that HR and hiring managers partner to attract diverse and qualified candidates. Practices are in place to promote outreach efforts, which generate high quality candidates and an appropriate return on investment.			
Focus Area Indicators			
Y	**N**	**Review Item**	**Comments**
		When assessing this focus area, it is often evaluated with Focus Area 7: Staffing Compliance.	
EFFECTIVENESS AND EFFICIENCY ITEMS			
		1. The agency has identified recruitment and outreach priorities based on the agency strategic plan, workforce plan, and human capital strategies. (Sources: Agency's Strategic Plan, HCOP, or standard-alone recruitment plan; *ideally, they should all be linked*)	
		2. Ongoing relationships are established and maintained with recruiting and outreach sources, such as colleges, universities, outplacement organizations, professional associations, veterans' programs, recruitment fairs, and programs supporting individuals with disabilities. (Sources: Interviews with Special Employment Program officer, HR staff, and hiring manager)	
		3. The agency recruits qualified individuals from appropriate sources to achieve a workforce from all segments of society. (Sources: EVS results and interviews with hiring manager and EEO)	
		4. The agency involves senior leaders and managers in recruitment and outreach planning and implementation (e.g., job analysis, evaluation, job fairs, outreach planning, and visits) of strategic recruitment initiatives.	

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		(Sources: Signatures of SMEs on job analyses and interviews with the Special Employment Program officer, EEO, HR staff, and hiring manager)	
		5. The agency uses data, such as applicant and new hire demographics, applications per announcement, applicant surveys, new hire surveys, hiring manager surveys, and costs and benefits, to evaluate recruiting and hiring processes and develop strategies to improve them. (Sources: HRStat and HR staff interviews)	
		6. The agency engages in continuous improvement in the hiring process, which may include reducing red tape, using plain language, reducing time-to-hire, applying hiring authorities and flexibilities, or engaging hiring managers in the hiring process. (Sources: HRStat, HCOP, announcements, case file review, 80 Day Hiring Model, and interviews)	
		7. The agency selects and promotes qualified individuals on the basis of relative knowledge, abilities, and skills after fair and open competition that assures all receive equal opportunity. (Sources: EVS results, merit promotion plan, and interviews)	
		8. The agency has documented, for the processes and instruments it uses to make employment decisions (e.g., to appoint, promote, and reassign employees) that meet or exceed professional and Federal laws and guidelines (e.g., 5 CFR 300.103) and are consistent with merit system principles (5 U.S.C. 2301).	
		9. Length of time to hire is consistent with or less than recommended hiring models. (Source: 80 Day Hiring Model) *Example: Is the agency taking a very long time after the vacancy closes to determine min quals?*	
		10. The recruiting and selection process results in new hires with realistic expectations about their jobs and organization. (Sources: EVS results, and interviews with new hires)	
		11. Compensation flexibilities (e.g., referral bonuses, recruiting incentives, relocation bonuses) are used as needed to attract qualified employees with mission-critical competencies for hard-to-fill positions. (Source: EHRI, case file review, and interviews) *Example: The agency strategically uses compensation flexibilities to staff MCO positions and conducts ROI*	

		analysis.	
		12. Reasons for declinations of job offers, as well as resignations and separations during the first 1-2 years after appointment, are collected, reviewed, and used to improve recruiting and hiring processes. (Source: Interviews)	
Focus Area 3 – Employee Development – Agency leadership establishes and implements formal and informal processes for orienting employees and dedicates resources to enable them to acquire and apply new and advanced knowledge, skills, and abilities and continue to progress in the organization through learning and development activities.			
Focus Area Indicators			
Y	**N**	**Review Item**	**Comments**
		1. Agency training and development programs support the agency's strategic plan and performance objectives. [5 CFR 410.101(d)(1)] (Source: Agency's Strategic Plan)	
		2. The organization establishes, budgets for, operates, maintains, and evaluates employee development plans and programs. [5 CFR 410.201(a)] (Source: Policy documents)	
		3. The organization establishes written policies governing employee training, including a statement of alignment of employee training and development with agency strategic plans, the assignment of responsibility to ensure training goals are achieved, and the delegation of training approval authority to the lowest possible level. [5 CFR 410.201(b)]	
		4. The organization establishes priorities for training employees and allocates resources according to those priorities. [5 CFR 410.201(c)] (Source: Training plans)	
		5. Training plans identify mission-critical occupations and competencies, identify workforce competency gaps, and include strategies for closing gaps. [5 CFR 410.201(d)]	
		6. The organization evaluates their training programs annually to determine how well such plans and programs contribute to mission accomplishment and meet organizational performance goals. [5 CFR 410.202]	
		7. Training programs are integrated with other personnel management and operating activities. [5 CFR 410.301(b) and Executive Order 11348] (Sources: Training plans and interviews)	
		8. Agency has established procedures to ensure that selection for training is fair and equitable and in accordance with the merit system principles. [5 CFR	

		410.302(a) and 410.306(a)] (Sources: Policy documents and training plans)	
		9. Employees and Agency share in the responsibility for identifying training needs [5 CFR 410.303] (Source: EVS results and interviews)	
		10. If applicable, agency authorizes training for promotion or placement in other positions in accordance with prescribed procedures [5 CFR 410.307] (Source: Training plans)	
		11. If applicable, agency authorizes training for employees to obtain academic degrees in accordance with prescribed competitive procedures [5 CFR 410.308] (Source: Training plans)	
		12. Agency maintains records of training plans, expenditures, and activities. [5 CFR 410.601(a)] (Source: Training plans)	
EFFECTIVENESS AND EFFICIENCY ITEMS			
		1.The organization incorporates training and development needs in its strategic plan and dedicates resources to it.	
		2.The organization prioritizes use of its training and development resources to close mission-critical staffing and competency gaps, improve organizational performance, while complying with legal and regulatory requirements.	
		3.Career development guides and career paths include descriptions of the organization's strategic needs (mission-critical occupations and occupations with gaps) to encourage employees to develop themselves in those directions.	
		4.Employees have access to up-to-date information about training and development opportunities and how those opportunities map to the agency's mission-critical competencies.	
		5.The organization provides assessment information to employees and supervisors through competency models and assessment instruments.	
		6.The organization tracks education, experience, training, and development of employees to help it effectively deploy its human capital and conduct organizational needs and gap analysis.	
		7.Supervisors are held accountable for working with their employees to create individual development plans, identify developmental opportunities, and regularly monitor employees' progress.	

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		8.The organization uses a variety of training and development methods (classroom, online, details, mentoring, shadowing, etc.) to develop employees with different learning styles.	
		9.The organization provides cross-training and lateral career movement to help employees maintain their interest, motivation, and contribution to organizational performance.	
		10.Job aids, performance objectives, recognition, and other means are used to reinforce on-the-job application of learning from training and development. (Source: interviews)	
		11.The organization evaluates the effectiveness of employee training and development programs, including effects on learning, performance change, results, and return on investment.	
		12.The organization monitors its development programs to ensure they keep pace with the demands and changing requirements of the work.	
Focus Area 4 – Leadership Development - The agency establishes a comprehensive set of activities, aligned with supervisory, managerial, and executive competencies to enhance the quality of leadership across the organization.			
Focus Area Indicators			
Y	**N**	**Review Item**	**Comments**
		1. The agency's human capital policies and programs ensure leadership continuity by implementing and evaluating recruitment, development, and succession plans for leadership positions. [5 CFR 250.204(a)(5)] (Source: Policy documents)	
		2. The head of each agency must develop a comprehensive management succession program, based on the agency's workforce succession plans to fill agency supervisory and managerial positions. [5 CFR 412.201]	
		3. The agency conducts regular evaluations of leadership development and succession management policies and programs to ensure that development and succession planning goals are being met (e.g., recruitment, selection, development, and retention of high-performing leaders) and uses results to improve programs. [5 CFR 412.201(c)] (Sources: Policy documents, agency audit results, and interviews)	
		4. Agency must provide systematic training and development of supervisors, managers, and executives. Agencies must establish written policies governing	

		leadership development programs. [5 CFR 412.202] (Sources: policy documents, leadership Development programs, and interviews)	
		5. Provides training within one year of an employee's initial appointment to a supervisory appointment and follow-up periodically, but at least once every three years, by providing each supervisor and manager additional training. [5 CFR 412.202(b)] (Source: Supervisory training materials)	
		6. Determine if agency has established an SES candidate development program (not required, but has authority to do so) and program has been approved by OPM [5 CFR 412.301] or agency participates or partners in an OPM-approved program. (Sources: SES candidate development program and PAAT results)	
EFFECTIVENESS AND EFFECIENCY ITEMS - PERFORMANCE			
		1. The agency has a leadership development strategy and policy based on accurate workforce analyses and forecasts of leadership supply, demand, and gaps. (Source: Policy documents)	
		2. The agency has an effective process to identify and develop future leaders throughout the workforce. (Sources: Policy documents and interviews)	
		3. The succession management process considers evidence on the advantages and disadvantages of various potential sources of talent (e.g., internal development, other Government organizations, non-Government organizations) for supporting achievement of agency mission, culture, and diversity objectives. (Sources: Policy documents and interviews)	
		4. The organization systematically identifies leadership competencies that are critical for mission accomplishment and how those competencies can be measured and developed. (Source: Policy documents)	
		5. The organization reliably and validly assesses leadership competencies of leaders at all levels, provides them with developmental feedback, and communicates available training and development opportunities that support development of critical competencies. (Sources: Policy documents and interviews)	
		6. The organization requires regular reviews of progress on and revision to individual development plans for all leaders. (Sources: Policy documents, individual	

		development plans, and interviews)	
		7. Managers and executives are held accountable for directing the development of subordinate leaders. (Sources: Policy documents, management performance plans, EVS results, and interviews)	
		8. The organization provides a formal Senior Executive Service candidate development program and other merit-based methods of developing future executives.	
		9. The agency provides appropriate and adequate resources to develop current and future leaders for effective succession management. (Sources: Interviews)	
Focus Area 5 – Retention – Leaders, managers, and supervisors implement strategies for a workplace that retains the talent needed to accomplish mission objectives. The workplace is characterized by 1.) a motivated and engaged workforce; 2.) attractive and flexible work arrangements; and 3.) employees who demonstrate critical skills, knowledge, and competencies.			
Focus Area Indicators			
Y	**N**	**Review Item**	**Comments**
		1. Retention policies, practices, and guidelines to managers are consistent with mission critical needs, merit system principles (5 U.S.C. 2301) and legal requirements. [5 CFR Part 575] (Sources: Retention policy documents, interviews, and retention checklists, as applicable)	
EFFECTIVENESS AND EFFECIENCY ITEMS			
		1. The agency tracks different types of separations by occupation, level, tenure, location, demographics, performance level, and other characteristics to identify retention problems. (Sources: Agency's tracking mechanism/workforce planning tools, Incentive plans (Relocation, Recruitment, and Retention), and EHRI to verify data)	
		2. The agency tracks the percent of voluntary and involuntary separations of new Federal employees. (Sources: Review VERA/VISP procedures and EHRI data)	
		3. The agency uses forecasting to assess potential (future) retention problems. (Sources: Trend analysis techniques, EVS results, and attrition rates including retirement eligibles)	
		4. The agency tracks the average or typical costs per loss and replacement of employees. (Sources: Compensation flexibility data and strategies)	
		5. The agency prioritizes solutions for retention problems on the basis of their effect on agency strategy and mission criticality. (Sources: Compensation	

	flexibility data and strategies)	
	6. The agency develops a successful business case for funding and appropriately uses flexible compensation strategies to retain employees who possess mission critical competencies. (Sources: Compensation flexibility data and strategies)	
	7. The agency evaluates whether initiatives implemented to reduce retention problems have had the intended effect. (Sources: EHRI, compensation flexibility data and strategies, and interviews) *Example: Review compensation flexibility data such as the breakdown of the compensation flexibilities used to include the 3Rs. Compute the average spent on each employee and determine how long the employee stays after receiving the compensation flexibility. If the agency regularly uses compensation flexibilities but employees still leave, then the agency may need to adjust the strategy in order to determine the root cause of why employees continue to leave the agency, e.g., location of the position, workload, lack of training, opportunities for growth, leadership, or other reasons in order determine what, if any, compensation flexibilities to use.*	
	8. Exit interviews or surveys are used to assess the reasons for separations and identify areas for improvement. (Sources: EHRI and interviews) *Example: Determine how the agency uses the exit interviews, e.g., included in the retention strategies. Review exit interview questions to ensure the questions are thorough enough to obtain the root cause as to why an employee would leave.*	

Focus Area 6 – Knowledge Management – Agency leadership establishes a systemic approach for evaluating organizational effectiveness, which improves mission objectives and performance by identifying actions to enhance and sustain continued mission accomplishment.			
Focus Area Indicators			
Y	**N**	**Review Item**	**Comment**
		1. The agency's human capital policies and programs implement a knowledge management process to ensure continuity in knowledge sharing among employees at all levels within the organization [5 CFR 250.204(a)(6) and 5 CFR 410] (Source: HC policy documents)	
EFFECTIVENESS AND EFFICIENCY ITEMS			

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		1. The agency has a knowledge management strategy supported by appropriate investments in development, technology, maintenance, and training. (Sources: EVS results and interviews)	
		2. The organization has used strategic plans, identification of critical occupations and competencies, workforce and competency gap estimates, and retirement and turnover projections to identify occupations and positions where the organization most needs to focus its knowledge management resources. (Source: interviews)	
		3. The agency has a systematic knowledge management process that provides a means to share critical knowledge across the organization. (Source: interviews)	
		4. The knowledge management infrastructure facilitates knowledge capture, warehousing, indexing, processing, and retrieval to support knowledge sharing through the intranet, shared networks, and communities of practice. (Sources: Intranet and interviews)	
		5. Training, orientation, or instructions are publicized and provided to the workforce on available knowledge management systems and processes. (Sources: Intranet and interviews)	
		6. The agency considers and takes action on organizational culture changes needed to support effective use of knowledge management systems and processes. (Source: Interviews)	
		7. Top leadership, managers, supervisors, and organizational culture and systems (e.g., appraisal and recognition) support the documentation and sharing of knowledge. (Sources: EVS results and interviews)	
		8. The agency evaluates the use of knowledge management systems and processes to assess their usage, effectiveness, and value to the organization and improve them. (Source: Interviews)	
Focus Area 7: Staffing Compliance – Recruitment, hiring, and merit promotion activities adhere to the merit system principles in 5 U.S.C. 2301 and follow pertinent legal and regulatory requirements.			
Focus Area Indicators			
Y	**N**	**Review Item**	**Comment**
		1.Merit promotion actions comply with the merit system principles and appropriate regulations. [5 CFR 335] *Use the Merit Promotion Checklist, Career Conditional Checklist, and VEOA Checklist*	
		2.Excepted Service Staffing actions comply with the merit system principles and appropriate regulations. [5	

		CFR 302] *Use the Pathways Program Review Checklist, Internship Program Review Checklist, Recent Graduate Checklist, 30 Percent or More Disabled Veteran Appointment Checklist, Excepted Appointment Checklist, Expert and Consultant Checklist, and Special Vet Appointment Checklist*	
		3.Direct Hire staffing actions comply with the merit system principles and appropriate regulations. [5 CFR 337 Subpart B] *Use the DHA Checklist*	
		4. Temp and Term appointments comply with the merit system principles and appropriate regulations. [5 CFR 316] *Use the Temp/Term Appointment Checklist*	
		5. Flexible compensation strategies are used as needed to attract and retain quality employees who possess mission-critical competencies. [5 CFR 575 (3Rs), 5 CFR 537 (Student Loan Repayment), and 5 CFR 531.212 (SQA).] *Use the Recruitment Incentive Checklist, Relocation Incentive Checklist, Retention Incentive Checklist, Salary Offset Waiver Checklist, and Student Loan Repayment Checklist*	
		6. Personnel action (SF-50) processing, OPF maintenance, and other administrative activities conform to legal and regulatory requirements. [5 CFR 250.101] *Use the OPF Checklist*	
		7.DE Staffing actions comply with the merit system principles and appropriate regulations. [5 CFR 250.102] *Use the DE Program Review Checklist and DE Action Review Checklist*	
		1. The organization establishes, budgets for, operates, maintains, and evaluates employee development plans and programs. [5 CFR 410.201(a)] (Source: Policy documents)	
		2. Agency training and development programs support the agency's strategic plan and performance objectives. [5 CFR 410.201 and 5 CFR 410.101(d)(1)] (Source:	

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		Agency's Strategic Plan)	
		3. The organization prioritizes use of its training and development resources to close mission-critical staffing and competency gaps, improve organizational performance, while complying with legal and regulatory requirements. [5 CFR 410.201(c)] (Source: Training plans)	
		4. Employees have access to up-to-date information about training and development opportunities and how those opportunities map to the agency's mission-critical competencies. [5 CFR 410.203] (Source: Interviews)	
		5. The organization tracks education, experience, training and development of employees to help it effectively deploy its human capital and conduct organizational needs and gap analysis. [5 CFR 410.201] (Sources: Tracking mechanism and interviews)	
		6. Supervisors are held accountable for working with their employees to create individual development plans, identify developmental opportunities, and regularly monitor employees' progress. [5 CFR 412.202(b)(1)-(4)] (Sources: Interviews and performance plans)	
		7. The organization uses a variety of training and development methods (classroom, online, details, mentoring, shadowing, etc.) to develop employees with different learning styles. [5 CFR 410.203] (Sources: Policy documents and interviews)	
		8. The organization provides cross-training and lateral career movement to help employees maintain their interest, motivation, and contribution to organizational performance. [5 CFR 410.203] (Sources: Case file review and interviews)	
		9. The organization evaluates the effectiveness of employee training and development programs, including effects on learning, performance change, results, and return on investment. [5 CFR – 410.201(d)(4)] (Sources: Agency audit results and interviews)	
		10. The organization monitors its development programs to ensure they keep pace with the demands and changing requirements of the work. [5 CFR 410.202] (Sources: Reports and interviews)	
Case File Summary/Comments:			

Reviewer/Title:_____ **Date:**_____