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| **Agency:** | **Location:** |
| **Reviewed as Part of:** | |
| **\*Note: Please note all data sources are just suggestions and may not be applicable to all agencies. Also, remember most 5 CFR 250 requirements are levied against agencies and not components of agencies.**  [**Quick Link to "Case File Summary/Comments:"**](#_Case_File_Summary/Comments:) | |

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| **Focus Area 1 – Business Analytics – Agency leadership reviews current activities and past practices, including workforce and performance data, metrics, and results to anticipate and plan for future strategic and operational requirements.** | | | | |
| **COMPLIANCE RELATED ITEMS** | | | | |
| **Y** | **N** | | **Review Item** | **Comments** |
|  |  | | 1. The agency’s human capital policies and programs establish and maintain an Evaluation system to evaluate human capital outcomes that is both formal and documented; and approved by OPM. [[5 CFR 250.204(d)(4)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-250/subpart-B/section-250.204#p-250.204(d)(4))] (Source: Agency Strategic Plan) |  |
|  |  | | 2. The agency maintains an independent audit program to review periodically all human capital management systems and the agency’s human resources transactions to ensure legal and regulatory compliance. [[5 CFR 250.204(d)(5)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-250/subpart-B/section-250.204#p-250.204(d)(5))] (Source: HCSRs) |  |
|  |  | | 3. The agency improves strategic human capital management by adjusting strategies and practices, as appropriate, after assessing the results of performance goals, indicators, and business analytics. [[5 CFR 250.204(d)(6)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-250/subpart-B/section-250.204#p-250.204(d)(6))] (Source: Agency Strategic Plan, HCOP, and HRStat) |  |
| **EFFECTIVENESS AND EFFICIENCY ITEMS** | | | | |
| **Y** | **N** | **Review Item** | | **Comments** |
|  |  | | 1. The agency applies an independent audit process and accountability system that periodically reviews human resource systems to ensure compliance with merit systems principles and Federal laws, rules, and regulations. (Sources: HCSRs) |  |
|  |  | | 2. The agency tracks costs and benefits and evaluates all human capital management systems for mission alignment, effectiveness, and efficiency. (Sources: HCOP and IAP) |  |
|  |  | | 3. Data measures/milestones with targets for each strategic human capital goal/objective provide a basis for assessing progress and results. (Sources: HCOP and HRStat) |  |
|  |  | | 4. The agency has staff with the appropriate competencies to conduct accurate measurement and rigorous evaluation of human capital policies, programs, and initiatives. (Sources: HCOP, HCSRs and interviews) |  |
|  |  | | 5. The agency provides adequate and appropriate resources to track and evaluate human capital policies, programs, and initiatives. (Sources: HCOP, HCSRs, and interviews) |  |
|  |  | | 6. The agency focuses evaluation resources on assessing the effectiveness of human capital policies, programs, and initiatives that require high investments, affect large proportions of the workforce, create significant change, and/or are expected to have significant impact. (Sources: HCOP and HCSRs) |  |
|  |  | | 7. The agency examines linkages between human capital policies, programs, and initiatives and organizational performance to identify human capital drivers and predictors of performance. (Sources: HCRs and IAP) |  |
| **Focus Area 2 – Data Driven Decision-Making – Agency leadership implements a systemic, flexible, and inclusive process to gather relevant information from a variety of sources to identify solutions for complex situations and uses the data to support strategic and operational decisions. CHCOs lead HRstat quarterly data driven reviews (in collaboration with the PIO)** | | | | |
| **COMPLIANCE RELATED ITEMS** | | | | |
| **Y** | **N** | | **Review Item** | **Comments** |
|  |  | | 1. The agency’s HCOP includes annual human capital performance goals and measures that will support the evaluation of the agency’s human capital strategies, through HRStat quarterly reviews, and that are aligned to support mission accomplishment. [[5 CFR 250.205(d)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-250/subpart-B/section-250.205#p-250.205(d))] (Source: HCOP and HRStat) |  |
| **EFFECTIVENESS AND EFFICIENCY ITEMS** | | | | |
| **Y** | **N** | **Review Item** | | **Comments** |
|  |  | | 1. The agency has mechanisms in place to collect persistent, reliable and valid human capital data and systematically develop new data collection methods, as needed, to inform decision making. (Sources: HCOP, HCSRs, IAP, and interviews) |  |
|  |  | | 2. The human capital function clearly communicates data and analyses to leadership that are relevant to accomplishment of mission, strategic goals and objectives, and annual organizational performance plans. (Sources: HCOP and interviews) |  |
|  |  | | 3. The agency takes action to improve human capital policies and programs and correct deficiencies based on data-driven analysis and audit results. (Sources: HCSRs) |  |
| Case File Summary/Comments: | | | | |

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| **Reviewer/Title:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ | **Date:** \_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_\_ |