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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.

[**Quick Link to "Case File Summary/Comments:"**](#_Case_File_Summary/Comments:)

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| **Focus Area 1 - Engaged Employees – Agency leadership fosters and provides employees with tools, resources, and support to contribute to the mission of the organization.** |
| **Focus Area Indicators** |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | 1. The organization regularly assesses its relative strengths and weaknesses on aspects of employee engagement and compares results to within-agency trends and benchmarks from other organizations (e.g., other Federal agencies). (Sources: Policy documents, agency audit results, and interviews)*Example: Agency has goals and measures related to employee engagement included in the Annual Performance Plan.*  |  |
|  |  | 2. Upward feedback mechanisms (e.g., multi-source feedback, town meetings, suggestion systems, focus groups, surveys) are used to obtain information on employee engagement and satisfaction with conditions. (Source: Interviews) |  |
|  |  | 3. The organization uses data from the EVS and other data sources, to include employee input to develop and implement action plans to improve employee engagement. (Sources: Productivity rates, EVS results, turnover/attrition rate, upward pikes in leave usage, interviews) |  |
|  |  | 4. The human capital function communicates to leadership the business case for the links between employee engagement and organizational outcomes, such as employee recruitment, absenteeism, and retention; customer and constituent service; and work quality and productivity. (Sources: Retention rates, EVS results, and interviews) |  |
|  |  | 5. Leadership communicates to employees how it is using upward feedback from employees to improve the organization. (Sources: Policy documents, feedback mechanism/tool, EVS results, and interviews) |  |
|  |  | 6. Leadership communicates the importance of the organization’s mission and the workforce’s role in achieving that mission to employees. (Sources: Policy guidance including employee engagement, EVS results and interviews)*Examples: 1) Agency has a policy for addressing employee engagement. 2) Agency has scheduled and conducted employee engagement training for managers and supervisors.*  |  |
|  |  | 7. Employees are satisfied with the organization as a place to work. (Sources: EVS results and surveys) |  |
|  |  | 8. Employees know what is expected of them and have the resources they need to perform their work. (Sources: EVS results and interviews) |  |
|  |  | 9. Employees’ competencies fit their assigned work. (Sources: EVS results and interviews) |  |
|  |  | 10. Employees feel that they are recognized for doing good work. (Sources: EVS results and interviews) |  |
|  |  | 11. Employees feel that their supervisor cares about them, encourages their development, and tracks their progress. (Sources: EVS results and interviews) |  |
|  |  | 12. Employees feel that they have opportunities to learn and grow at work. (Sources: EVS results and interviews) |  |
|  |  | 13. Employees believe their co-workers are committed to doing quality work. (Source: Interviews) |  |
|  |  | 14. Employees feel that their ideas and opinions are listened to and considered. (Sources: EVS results and interviews) |  |
|  |  | 15. Employees believe their work is important because it contributes to mission accomplishment. (Sources: EVS results and interviews) |  |
| **Focus Area 2 – Continuous Learning – Agency leadership fosters a learning culture that provides opportunities for continuous development and encourages employees to participate. Leaders invest in education, training, and other developmental opportunities to help themselves and their employees build mission critical competencies.** |
| **Focus Area Indicators** |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | 1. The agency encourages and motivates employees to engage in continuous learning and development and apply new knowledge, skills, and abilities. (Sources: EVS results and interviews) |  |
|  |  | 2. Data from competency gap analyses and individual development plans are aggregated to inform organizational learning needs. (Sources: Agency’s Strategic Plan and interviews) |  |
|  |  | 3. Employees are provided with resources for continuous learning consistent with mission-critical competencies and organizational needs. (Sources: Agency’s Strategic plan, policy documents, and interviews) |  |
|  |  | 4. Leaders and managers stress the importance of continuous learning through communications and foster an environment that is complementary to development, such as through encouraging mentoring, cross-training, coaching and other activities. (Sources: EVS results and interviews) |  |
|  |  | 5. The organization applies methods for detecting errors, breakdowns, backlogs, and loopholes in policies, processes, and procedures. (Sources: Policy documents, surveys, and interviews) |  |
|  |  | 6. The organization applies methods for detecting causes for the problems and documents and applies the findings to make improvements. (Sources: Surveys and interviews) |  |
|  |  | 7. The agency uses appropriate learning technology and innovative learning strategies to meet the learning needs of the workforce, including alternatives to traditional training, such as communities of practice or lunch meetings where outside experts or knowledgeable staff members can teach other staff. (Sources: EVS results, surveys, and interviews) |  |
|  |  | 8. The workforce’s use of career development and continuous learning programs is being tracked to review usage to improve relevance and availability of offerings. (Sources: Interviews) |  |
| **Focus Area 3 – Performance Management – Agency leadership creates a systemic approach to employee and organizational performance improvement through an ongoing process of establishing strategic performance objectives; measuring performance; making meaningful distinctions in performance; collecting, analyzing, reviewing, and reporting performance data; and using that data to drive performance and improvement.** |
| **Focus Area Indicators** |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | 1. Agency has an OPM approved performance appraisal system(s) and has established agency-wide policies for the application and operation of performance appraisal for employees covered. [[5 CFR 430.204(b)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-B/section-430.204) and [5 CFR 430.209(a)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-B/section-430.209)]**\*Note: Agency must also obtain OPM approval prior to implementing changes that modify any element of the system subject to regulatory requirement. [**[**5 CFR 430.209(a)**](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-B/section-430.209)**]** (Source: Policy documents) |  |
|  |  | 2. At a minimum, coverage includes GS/GM, prevailing rate, senior-level, and scientific and professional employees paid under [5 U.S.C 5376](https://uscode.house.gov/view.xhtml?req=code+of+federal+regulations&f=treesort&num=64). [[5 U.S.C. 4301(2)](https://uscode.house.gov/view.xhtml?req=granuleid%3AUSC-prelim-title5-chapter43&edition=prelim) and [5 CFR 430.202(a)(2)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-430/subpart-B/section-430.202)] (Source: Policy documents) |  |
|  |  | 3. An agency appraisal system shall establish agencywide policies and parameters for the application and operation of performance appraisals. (Source: Policy documents)***\*Note: Use Performance Policy Checklist, SES Performance Appraisal System Checklist, and a review of performance plans using the Performance Plan Checklist, as applicable.*** |  |
|  |  | 4. Agency has one or more award programs. [[5 CFR 451.103(a)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.103)] (Source: Policy documents)***\*Note: Use Awards Action Review Checklist to review individual awards.*** |  |
|  |  | 5. Employees are involved in developing the programs. (OPM encourages such involvement.) [[5 CFR 451.103(b)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.103)] (Sources: EVS results and interviews) |  |
|  |  | 6. Relevant parts of awards program are communicated to employees and supervisors (e.g., through formal training) [[5 CFR 451.106(c)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.106)] (Sources: EVS results and interviews) |  |
|  |  | 7. Agency evaluates the awards program. [[5 CFR 451.106(d)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.106)] (Source: Agency audit results) |  |
|  |  | 8. Due weight given to performance awards in promotion program [[5 CFR 451.106(i)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-451/subpart-A/section-451.106) and [5 U.S.C. 3362](https://uscode.house.gov/view.xhtml?req=5+U.S.C.+3362&f=treesort&num=1&edition=prelim)] (Sources: Merit promotion plan and announcements) |  |
| **EFFECTIVENESS AND EFFECIENCY ITEMS - PERFORMANCE** |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | 1. The organization’s performance appraisal system(s) are effectively and efficiently designed, implemented and evaluated, as represented by a Performance Appraisal Assessment Tool (PAAT) score that meets the threshold or a comparable assessment of the performance appraisal system. (Source: PAAT results) |  |
|  |  | 2. Managers and supervisors are given time for and are held accountable for their exercise of supervisory responsibilities, including timely and effective performance management and feedback. (Sources: Performance plans/standards for managers and supervisors, EVS results, and interviews with managers and supervisors) |  |
|  |  | 3. The performance management system motivates employees to focus their work effort on activities that are most important to accomplishment of agency mission and strategic goals and objectives. (Sources: EVS results and interviews) |  |
|  |  | 4. Executives, managers, and supervisors receive training on appraisal and awards systems and how to appropriately use them to motivate employees. (Sources: Available training, EVS results, and interviews)*Example: EHRI results for Agency XYZ show 80% of awards focused on one type: rating based. Interview results with employees revealed employees rarely get awards outside of rating-based, despite agency policy allowing for a variety of award types. Conclusion: Employees were unmotivated because they could predict their awards each year.* |  |
|  |  | 5. Executive, manager, and supervisor performance plans and appraisals cascade from organizational mission and strategic objectives and goals (e.g., the organization’s mission and goals serve as the foundation for work unit goals, which in turn serve as the basis for individual job requirements and performance measures). (Source: Cascading performance plans and interviews) |  |
|  |  | 6. The organization provides adequate resources and support so that employees can achieve the objectives set out for them. (Sources: EVS results and interviews) |  |
|  |  | 7. Employees and leaders perceive that the performance management system is fair and consistent with merit system principles. (Sources: EVS results and interviews) |  |
|  |  | 8. Do employees perceive the awards to be fair? (Sources: EHRI, EVS results, and interviews)*Example: EVS shows negative results for the question, “Awards in my work unit depend on how well employees perform their jobs.” Interview results reveal everyone is given the same award amount regardless of the appraisal rating. Conclusion: The awards system is unfair since it does not recognize differences in performance. Evaluators would want to determine the root cause of why everyone is getting the same award amount. Is it because supervisors lack training on how to appropriately use awards, budget restrictions, etc.?*  |  |
|  |  | 9. Surveys or other data collection methods indicate that employees feel valued and appropriately recognized for performance. (Sources: Agency surveys, EVS results, and interviews) |  |
|  |  | 10. Regular reviews of formal grievances and complaints do not indicate agency mistakes or wrongdoing in performance management. (Source: review of a sample of formal grievances filed by employees) |  |
|  |  | 11. A review of the agency’s PAR results, or similar document, shows a linkage to the ratings distribution. (Sources: PAR results, rating distribution, and PAAT results) |  |
| **EFFECTIVENESS AND EFFECIENCY ITEMS - AWARDS** |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | 1. Does the organization have clear criteria for awards and is that criteria communicated effectively so employees understand the purpose of the awards? (Sources: Policy documents, surveys, EVS results, and interviews)*Example: Agency XYZ processes non-rating-based awards, such as time off awards; however, criteria for using those awards are not included in agency policy. Interview results revealed most supervisors were unaware of the availability to recognize employees using TOAs, while only a few supervisors were aware of the option as a result of an agency-wide memorandum. Conclusion: The agency’s outdated policy and lack of communication of the policy update contributed to an ineffective awards program.*  |  |
|  |  | 1. 2. Do executives, managers, and supervisors receive training on awards systems and how to appropriately use them to motivate employees? (Sources: Policy documents, surveys, EVS results, and interviews)

*Example: EHRI results for Agency XYZ show 80% of awards focused on one type: rating-based. Interview results with employees revealed employees rarely get awards outside of rating-based, despite agency policy allowing for a variety of award types. Conclusion: Employees were unmotivated because they could predict their awards each year.* |  |
|  |  | 3. Do employees perceive the awards to be fair? (Sources: EHRI, EVS results, and interviews)*Example: EVS shows negative results for the question, “Awards in my work unit depend on how well employees perform their jobs.” Interview results reveal everyone is given the same award amount regardless of the appraisal rating. Conclusion: The awards system is unfair since it does not recognize differences in performance. Evaluators would want to determine the root cause of why everyone is getting the same award amount. Is it because supervisors lack training on how to appropriately use awards, budget restrictions, etc.?*  |  |
|  |  | 1. 4. Review the awards distribution per person (EHRI reports) to see how much money on average the agency is spending on awards per person. Compare that information with EVS results and interview notes. (Sources: EHRI, EVS results, and interviews)

*Example: Based on EHRI data, Agency XYZ is spending what looks like a high amount of money on awards per person. EVS results show the overall global satisfaction score is lower than the government-wide average. Also based on EHRI data, separations are outpaced by accessions, meaning they have a low retention rate. Conclusion: This could be an indication of an ineffective awards program. The evaluator would want to explore or recommend to the agency to explore the agency’s intention of high award amounts based on the high turnover rate.*  |  |
|  |  | 1. 5. Review of the awards distribution (EHRI reports). Are there any patterns or trends in the distribution that help tell a story? (Source: EHRI)

*Example: Is one organization receiving either a significantly higher number of awards or higher value of awards than another?* *Example: Are the same employees receiving multiple awards? Are they splitting up the award amounts to bypass the award cap?* *Example: Are higher graded employees receiving significantly more awards than lower graded employees?**Example: Are there trends across series? i.e. one series receives the bulk of the awards.*  |  |
| **Focus Area 4 – Labor/Management Partnership – Agency leadership promotes cooperative and productive labor management relations among employees, unions, and managers to enhance the effectiveness of agency operations in an open and collaborative environment.** |
| **EFFECTIVENESS AND EFFICIENCY ITEMS** |
| **Y** | **N** | **Review Item** | **Comments** |
|  | 1. HR leadership has a collaborative relationship with the collective bargaining unit, developing solutions jointly, without impeding agency mission. (Sources: Policy documents including the Collective Bargaining Unit and interviews)*Example: Agency XYZ has outdated HR policies. Interviews with HR leadership revealed policies were not updated because the CBA required the agency to conduct proper labor negotiations prior to effecting change. Conclusion: While collaborative relationships with the BU are encouraged, CBAs should not take precedence over HR regulations and requirements. Because the agency failed to enforce their authority, HR policies and practices remained outdated and ineffective.* |  |
|  | 2. The agency tracks grievances, unfair labor practices, and litigation (e.g., the number and nature of disputes per year) and examines trends and concentrations (i.e., frequencies) by nature of dispute. (Sources: Policy documents, surveys, and interviews) |  |
| **Focus Area 5 – Work/Life – Agency leadership fully integrates Work-Life programs and policies to incorporate the business practice of creating a flexible, supportive work environment to engage employees and maximize organizational performance.*****\* Note the linkage to Employee Engagement and the Retention focus area within the Talent system.*** |
| **EFFECTIVENESS AND EFFICIENCY ITEMS** |
| **Y** | **N** | **Review Item** | **Comments** |
|  | 1. The agency has a work-life vision and plan or policy statement that provides the business case, assesses potential barriers, and has measurable goals. (Sources: Policy documents, breakdown of work-life programs, EVS results, and interviews)*Example: Review the breakdown of work/life programs from EVS and do a trend analysis from previous years.* |  |
|  | 2. The organization’s work-life strategy is directed at the broadest spectrum of employees and locations possible. (Source: Policy documents) |  |
|  | 3. The overall culture of the organization is consistent with the work-life strategies and programs. (Sources: EVS results and interviews) |  |
|  | 4. Senior leaders, managers, and supervisors promote and support the use of quality of work-life programs and provide resources necessary to establish and sustain these programs. (Sources: EVS results and interviews) |  |
|  | 5. Policies and procedures describe guidelines for flexible working arrangements, including: a.) Temporary, term, and seasonal appointments, b.) Flexible and/or part-time work schedules, c.) Telework, including the technology required to support it. (Sources: Policy documents and other published guidance) |  |
|  | 6. Policies and procedures describe guidelines for sustaining a productive, supportive work environment, including: a.) Ergonomic work stations, b.) Reasonable accommodation, c.) Child care/elder care, d.) Wellness programs, e.) Employee assistance programs, f.) Safety inspections and education, g.) Parking facilities and transit subsidies, h.) Benefits. (Sources: Policy documents and other published guidance) |  |
|  | 7. The organization regularly communicates its work-life policies and procedures through multiple channels and methods. (Sources: Policy documents and other published guidance, EVS results and interviews) |  |
|  | 8. The quality of work-life programs is evaluated to determine if these programs are effective at creating a more positive work environment, are meeting workforce needs, and are contributing to recruitment and retention goals, and whether results are used to improve the programs. (Sources: Policy documents, retention, and agency audit results) |  |
| Case File Summary/Comments: |

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