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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 – Agency Strategic Planning - Agency leadership develops a 1.) comprehensive mission statement covering the major functions and operations of the agency; 2.) general goals and objectives, including outcome-oriented goals, for the major functions and operations of the agency; and 3.) a description of how goals and objectives contribute to the Federal Government priority goals.** |
| **COMPLIANCE RELATED ITEMS** |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | 1. Agency has a current Strategic Plan. [[OMB Circular A-11](https://obamawhitehouse.archives.gov/omb/circulars_a11_current_year_a11_toc/)] (Source: Strategic Plan) |  |
| **EFFECTIVENESS AND EFFICIENCY ITEMS** |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | 1. The agency’s strategic plan includes the human capital strategies, goals, and objectives it will implement and corresponding performance measures and milestones that the agency will use to track progress. (Source: Strategic Plan) |  |
|  |  | 2. The Chief Human Capital Officer (CHCO) reviews the agency’s strategic plan to identify stated and implied expectations for the agency’s workforce and human capital management to consult with agency leadership on the implications for the agency’s ability to achieve its plans. (Source: Interviews) |  |
|  |  | 3. The agency frequently communicates its mission, vision, core values, and strategic objectives to its workforce through multiple methods. (Source: Interviews) |  |
| **Focus Area 2 – Annual Performance Planning - Agency leadership: 1.) establishes performance goals to define the level of performance to be achieved during the year; 2.) expresses goals in an objective, quantifiable, and measurable form; 3.) describes how the performance goals contribute to the general goals and objectives established in the agency’s strategic plan; and 4.) relates to an Federal Government performance goals.** |
| **COMPLIANCE RELATED ITEMS** |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | 1. Agency has an Annual Performance Plan in accordance with GPRA-MA. [[5 CFR 250.204(b)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-250/subpart-B/section-250.204#p-250.204(b))] |  |
|  |  | 1. Agency includes in their Annual Performance Plan HC practices that are aligned to the Agency Strategic Plan. [[5 CFR 250.204(b)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-250/subpart-B/section-250.204#p-250.204(b))] (Sources: Strategic Plan, HCOP, Annual Performance Plan, policy documents, and interviews) |  |
| **EFFECTIVENESS AND EFFICIENCY ITEMS** |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | 1. The annual performance plan describes how the agency is aligning its human capital performance plans and reviews to accelerate progress on organizational goals. (Source: Annual Performance Plan) |  |
|  |  | 2. All agency leaders have performance plans that identify the goals and objectives in the agency’s strategic plan, annual performance plan, or other organizational planning documents for which the leader has full or partial responsibility. (Source: Strategic Plan, cascade of performance plans, and interviews) |  |
| **Focus Area 3 – Strategic HC Planning - The agency designs a results-focused framework of HC policies, programs, and practices to achieve HC goals to support directly the agency’s strategic plan.** |
| **COMPLIANCE RELATED ITEMS** |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | 1. Agency uses HCF to plan, implement, evaluate, and improve HC policies and programs. [[5 CFR 250.204(a)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-250/subpart-B/section-250.204#p-250.204(a)(1))] (Sources: Strategic Plan, HCOP, policy documents, and interviews) |  |
|  |  | 2. Agency HC management strategies align with the Federal Workforce Priorities Report, Agency Strategic Plan, Agency Performance Plan, and budget. [[5 CFR 250.204(a)(1)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-250/subpart-B/section-250.204#p-250.204(a)(1))] (Sources: Strategic Plan, and HCOP)  |  |
|  |  | 3. Agency has current HCOP that aligns with Agency Strategic Plan and Annual Performance Plan. [[5 CFR 250.205](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-250/subpart-B/section-250.205#p-250.205(c))] (Sources: Strategic Plan, HCOP, and Annual Performance Plan) |  |
|  |  | 4. Agency HCOP explicitly describe Agency-specific skill and competency gabs that must be closed. [[5 CFR 250.205(c)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-250/subpart-B/section-250.205#p-250.205(c))] (Source: HCOP) |  |
|  |  | 5. Agency HCOP includes performance goals and measures that will support the evaluation of the Agency’s HC strategies through HRStat quarterly reviews, and that are aligned to support mission accomplishment. [[5 CFR 250.205(f)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-250/subpart-B/section-250.205#p-250.205(e))] (Sources: HCOP and HRStat) |  |
|  |  | 6. Agency HCOP reflects the systems and standards defined in 5 CFR 250.203. [[5 CFR 250.205(e)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-250/subpart-B/section-250.205#p-250.205(e))] (Sources: HCOP) |  |
| **EFFECTIVENESS AND EFFECIENCY ITEMS** |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | 1. Human capital policies and programs are aligned with and driven by the organization’s strategic plan, performance measures, and budget. (Sources: Strategic Plan, HCOP, Annual Performance Plan, policy documents, and interviews) |  |
|  |  | 2. The Chief Human Capital Officer reviews human capital policies and programs to ensure they complement and reinforce one another in supporting the organization’s strategic plan. (Source: Interviews) |  |
|  |  | 3. Agency leaders are held accountable for effective implementation of human capital management. (Sources: Review of performance plans and interviews) |  |
| **Focus Area 4 – HC Best Practices and Knowledge Sharing - The agency works with public and private sector organizations to share best practices, foster innovation, and collaborate in the development and implementation of new processes and procedures to improve individual and organizational performance.** |
| **EFFECTIVENESS AND EFFECIENCY ITEMS** |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | 1. The organization reviews other organizations’ best practices to determine whether their adoption would be cost-effective and beneficial to achieving the agency’s strategy. (Sources: GAO website, Communities of Practice, MAX portal, CHCO meetings, and APM meetings) |  |
|  |  | 2. The agency’s culture supports sharing best practices with other public sector agencies. (Sources: Policy documents and communication model) |  |
|  |  | 3. Components within the agency regularly exchange best practices, innovations, and lessons learned that may be useful to each other. (Sources: Policy documents and communication model) |  |
|  |  | 4. The organization solicits information from other agencies and industries for parts of the organization where external best practices and knowledge would be useful. (Sources: GAO website, Community of Practices, MAX portal, CHCO meetings, and APM meetings) |  |
|  |  | 5. The agency uses job rotations, details and other means to cultivate talent acquisition and sharing knowledge of best practices and innovations. (Sources: Policy documents, case file review and interviews) |  |
|  |  | 6. The human capital function participates in communities of practice that exchange information on human capital practices and benchmarks. (Sources: GAO website and Communities of Practice) |  |
|  |  | 7. The human capital function has staff responsible for scanning other public sector and private sector organizations for human capital best practices that might be adapted for use in the agency. (Source: Interviews with all levels of HR staff) |  |
|  |  | 8. When evaluating best practices or innovations from other organizations for potential adoption, the organization looks for objective evidence from rigorous evaluations, rather than anecdotal or subjective evidence that a practice had beneficial effects. (Source: Interviews) |  |
|  |  | 9. Human capital management staff stay up to date in their field by reading professional materials, attending training, or taking part in developmental experiences (online and/or in person). (Sources: Training programs available and interviews) |  |
| **Focus Area 5 – HR as a Strategic Partner - HR professionals act as consultants with managers to develop, implement, assess, and recommend HC policies and practices to achieve the organization’s shared vision. Senior leaders, managers, HR professionals, and key stakeholders contribute to the HC vision and the agency’s broader strategic planning process.** |
| **COMPLIANCE RELATED ITEMS** |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | 1. The human resources function implements strategic human capital plans on schedule, effectively, efficiently, and in compliance with legal and regulatory requirements. [[5 CFR 250 Subpart B](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-250/subpart-B) and [5 CFR 250.203(a)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-250/subpart-B/section-250.203#p-250.203(a))] (Sources: Policy documents, case file review, and interviews with all HR staff) |  |
| **EFFECTIVENESS AND EFFICIENCY ITEMS** |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | 1. Senior leadership recognizes the importance of HR being an integral part of the agency. Participation from all departments throughout the agency ensures that leadership makes sound business decisions based on the impact those decisions will have on the organization and its workforce. (Source: Interviews) |  |
|  |  | 2. The human capital function has the appropriate resources to ensure that both strategic and transactional activities are performed effectively and in compliance with laws and regulations. (Sources: Policy documents, case file review, and interviews with all HR staff) |  |
| **Focus Area 6 – Organizational Development - 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.** |
| **COMPLIANCE RELATED ITEMS** |
| **EFFECTIVENESS AND EFFCIENCY ITEMS** |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | 1. The organization reviews and modifies its organizational structure, as needed to help it achieve its mission and objectives. (Source: Organizational charts) |  |
|  |  | 2. The organization takes a long-range approach to improving its performance while considering the impact on the entire organization (i.e., it takes a systems approach). (Source: Policy documents and agency audit results) |  |
|  |  | 3. Annual organizational performance plans, budgets, and performance reports document plans for and progress toward organizational development. (Source: Performance plans) |  |
|  |  | 4. Adequate resources are provided to support organizational development. (Sources: Policy documents and budget) |  |
|  |  | 5. The organization’s culture supports the achievement of the organization’s mission and strategic objectives. (Source: Agency’s Strategic Plan and interviews) |  |
|  |  | 6. Appraisal, feedback, reward, and recognition systems are consistent with and support the direction of desired organizational development. (Sources: Policy documents, performance management system, award system, and interviews) |  |
|  |  | 7. The agency reviews the potential effects of organizational development initiatives that are targeted at specific systems on other organizational systems. (Sources: Policy documents and agency audit results) |  |
| **Focus Area 7 – Change Management - Agency leadership is committed to reviewing, implementing, and communicating organizational enhancements and collectively inspiring employees to achieve significant, sustained, and measurable improvements in performance on an ongoing and regular basis.** |
| **COMPLIANCE RELATED ITEMS** |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | 1. The agency’s human capital management strategies, plans, and practices communicate in an open and transparent manner to facilitate cross-agency collaboration to achieve mission objectives. [[5 CFR 250.203(a)(3)](https://www.ecfr.gov/current/title-5/chapter-I/subchapter-B/part-250/subpart-B/section-250.203)] (Source: Agency’s Strategic Plan and HCOP) |  |
| **EFFECTIVENESS AND EFFCIENCY ITEMS** |
| **Y** | **N** | **Review Item** | **Comments** |
|  |  | 1. Top leaders consider the implications that major organizational changes are likely to have on workforce morale and performance. (Sources: HCOP and interviews) |  |
|  |  | 2. Top leadership and line management play a key role in the introduction, communication and implementation of organizational development and change. (Sources: HCOP and interviews) |  |
|  |  | 3. The human capital function regularly delivers understandable communications to managers, supervisors, and employees on the strategic human capital initiatives that will affect them. (Sources: HCOP and HCRs) |  |
|  |  | 4. The human capital function has the competencies needed to provide effective guidance to the organization’s leaders on implementing organizational change (e.g., Organizational Awareness; Client Engagement/Change Management, Customer Service; Legal, Government & Jurisprudence). (Sources: HCSRs) |  |
|  |  | 5. The agency uses a variety of channels (e.g., newsletters, intranet, town halls) to communicate the business case and shared vision. (Sources: HCOP and interviews) |  |
|  |  | 6. When the organization introduces change, it communicates the advantages of, as well as realistic expectations for the change to employees. (Sources: HCOP and interviews) |  |
|  |  | 7. The organization monitors and evaluates the effects of organizational development and change management initiatives on its culture and performance to use the evaluations to make improvements. (Sources: HCSRs) |  |
| Case File Summary/Comments: |

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