STRATEGIC ALIGNMENT CHECKLIST

Human Capital Planning, Workforce Planning, Human Capital Best Practices and Knowledge Sharing

Organization Name:			
Critical Success Factor: <u>Human Capital Planning</u> – the agency/organization designs a coherent framework of human capital policies, programs and practices to achieve human capital requirements to directly support the strategic plan			
ITEMS	**Y/N**	**N/A**	**COMMENTS (may be asked to provide examples)**
Does the agency/organization have a human capital planning system that promotes alignment of human capital strategies with agency/organization mission, goals, and objectives?			
Are human capital activities and investments included in the annual performance plans and budget requests?			
Does the agency/organization have a system to continually assess and improve human capital planning and investment and impact on mission accomplishment?			
Are managers held accountable for effective implementation of human capital plans and overall human capital management? How?			
Critical Success Factor: <u>Workforce Planning</u> – the agency/organization identifies the human capital required to meet agency/organizational goals, conducts analyses to identify competency gaps, develops strategies to address human capital needs and close competency gaps, and ensures the agency/organization is appropriately structured			
ITEMS	**Y/N**	**N/A**	**COMMENTS (may be asked to provide examples)**
Is there a strategic approach to workforce planning, basing decisions on mission needs and customer expectations, workload, and workforce? • Position management is reviewed at the strategic level • Organizational units are structured around work-flow Reorganizations are documented and substantiated			
Does the agency/organization have documented workforce planning strategies that outline roles, responsibilities, and other program requirements to include reviews and frequency of reviews? • Are established performance measures tracked and regularly updated? • Are trends analyzed? • Organizational deployment strategies are assessed using workforce planning reports			

and studies • Are best practice benchmarks used in determining workloads and resources? • Customer requirements for support and services are evaluated regularly and incorporated into plan			
Are barriers (statutory, administrative, physical, or cultural) effectively dealt with in restructuring efforts? • Documented? • Solutions developed?			
Are workforce strategies based on identified current and future human capital needs, including size and deployment of the workforce and the competencies needed to carry out the mission? • Published strategic workforce plan that includes mission-critical positions, current needs, projected growth, future needs • Process to assess competency gaps • Plan to close competency gaps (strategic recruitment, training, etc.) • Well documented review of employment trends, demographic data • Strategic recruitment plan is tied to organizational objectives Are mission-critical occupations and competencies identified? Are competency gaps identified? Are these included in strategic plans and/or performance plans? Are mission-critical occupations, competencies and competency gaps used in developing strategies to recruit, develop and retain needed skills? **Mission Critical Occupations** – *limited set of occupations that are key to the successful execution of current/future mission requirements, supportive of Department program objectives, and/or present a challenge regarding recruitment and retention rates and for which structured succession planning is needed*			

Do human capital strategies ensure agencies/organizations are appropriately structured to avoid excess organizational layers (horizontal) and redundant operations (vertical)? • Plan includes specific areas targeted for workforce redeployment • Documentation shows review, planning, design and implementation of efforts to realign the workforce			
Do human capital strategies ensure that organizations have the right balance of supervisory and non-supervisory positions to better meet customer needs?			
Do workforce planning and management practices include strategies such as: ☐ Restructuring ☐ Competitive sourcing ☐ Retraining ☐ Retention ☐ Redeployment ☐ Technology solutions			
Is a system in place to assess and improve HC planning and impact on mission accomplishments? Are workload studies conducted and analyzed for trends? Does analysis of data include workforce demographics in mission-critical occupations, and distribution of workforce by grade, series, geographical location, type of positions occupied, pay plan, average age, retirement (eligible and expected), separations, turnover, etc. ☐ Are turnover indicators (e.g., transfers, retirements, and separations in each of the last several years, overall, and by professional and administrative occupations) analyzed and monitored?			

Is business forecasting done to determine what changes are expected in the work and how these changes will affect the workforce**?**			
Critical Success Factor: <u>Human Capital Best Practices and Knowledge Sharing</u> – to leverage its efforts, agency/organization works with others to share best practices and learn about new developments			
ITEMS			**Y/N**
Agency/organization has a human capital best practices and knowledge sharing system that benchmarks best practices and lessons learned by other Government agencies and private sector organizations, using resources such as web sites, research findings, special studies, program guidance, from sources such as: • Office of Personnel Management (OPM) • Office of Management and Budget (OMB) • Government Accountability Office (GAO) • Defense Civilian Personnel Advisory Service (DCPAS) • Society for Human Resource Management			

• International Public Management Association for Human Resources NOTE: The Agency's Chief Human Capital Officer (CHCO) identifies best practices and benchmarking studies in accordance with the CHCO Act (5 U.S.C. 1402)			
Agency/organization has established a method or process for collaborating with other government agencies/organizations, regarding effective human capital strategies and setting of human capital strategic goals, using Government-wide benchmarks, such as: • Staffing Timeliness • Central Personnel Data Files/FedScope • Federal Employee Viewpoint Survey (FEDVIEW) Participation in human capital managerial/professional employee groups, e.g., the CHCO council, Small Agency council, Federal Executive Boards (FEB), and National Academy of Public Administration			
Agency/organization provides valuable information to human capital planners on effective human capital strategies, used to improve human capital planning, thru participation in Government-wide collaborative efforts and/or managerial/professional/employee organizations to share best practices and leverage lessons learned.			

Critical Success Factor: <u>Human Resources as Strategic Partner</u> – Human resources (HR) professionals act as consultants with managers to develop, implement, and assess human capital policies and practices to achieve the agency/organization shared vision. Senior leaders, managers, HR professionals, and key stakeholders contribute to the human capital vision and the agency/organization broader strategic planning process

ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Are HR professionals and key stakeholders proactively involved in strategic and workforce planning efforts? How?			
Are employees aware of HR programs and services? Are they publicized?			
Are HR offices adequately staffed, trained and prepared to partner with and consult with managers to adequately address their needs?			

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REVIEWER   **DATE**