

DEPARTMENT OF DEFENSE



Defense Civilian Personnel Advisory Service



THE USE OF THE AIR FORCE CIVILIAN HUMAN CAPITAL  
SELF-ASSESSMENT GUIDE IS AUTHORIZED AS A REFERENCE FOR DOD  
HUMAN CAPITAL FRAMEWORK EVALUATIONS FOR CY2021-2022  
**DOD WILL PROVIDE SUBSEQUENT GUIDANCE BY CY2023**

# Air Force Civilian Human Capital Self-Assessment Guide



**HQ Air Force Personnel Center  
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<b>INTRODUCTION .....</b>	<b>4</b>
<b>Chapter 1 - CIVILIAN HUMAN CAPITAL ASSESSMENT AND ACCOUNTABILITY SYSTEMS OVERVIEW .....</b>	<b>6</b>
<b>Chapter 2 - STRATEGIC ALIGNMENT (PLANNING AND GOAL SETTING) .....</b>	<b>10</b>
2.1. Human Capital Planning .....	11
2.2. Workforce Planning .....	14
2.3. Human Capital Best Practices and Knowledge Sharing .....	19
2.4. Human Resources as Strategic Partner .....	20
<b>Chapter 3 - LEADERSHIP AND KNOWLEDGE MANAGEMENT .....</b>	<b>23</b>
3.1. Leadership Succession Management .....	25
3.2. Change Management .....	28
3.3. Integrity and Inspiring Employee Commitment .....	29
3.4. Continuous Learning .....	30
3.5. Knowledge Management .....	33
<b>Chapter 4 - RESULTS ORIENTED PERFORMANCE CULTURE .....</b>	<b>36</b>
4.1. Communication .....	38
4.2. Performance Appraisal .....	39
4.3. Awards .....	44
4.4. Pay for Performance .....	45
4.5. Diversity Management .....	46
4.6. Labor/Management Relations .....	49
<b>Chapter 5 - TALENT MANAGEMENT .....</b>	<b>51</b>
5.1. Recruitment .....	53
5.2. Retention .....	57
<b>Chapter 6 ACCOUNTABILITY SYSTEM (EVALUATION RESULTS) .....</b>	<b>61</b>
<b>Attachment 1 - GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION .....</b>	<b>65</b>

**Appendix A - HUMAN CAPITAL (HC) PROGRAM REVIEW AND CHECKLISTS ..... A-1**  
**Appendix B - HUMAN RESOURCES (HR) COMPLIANCE REVIEW AND ..... B-1**  
**Appendix C - SELF-ASSESSMENT SUMMARY ..... C-1**  
**Appendix D - RATING THE RESULTS OF COMPLIANCE SELF-ASSESSMENT ..... D-1**  
**Appendix E - GLOSSARY OF TERMS AND ACRONYMS ..... E-1**  
**Appendix F - DOD MISSION CRITICAL OCCUPATIONS ..... F-1**



## INTRODUCTION

The President's Management Agenda of 2002 called for improvement in the management of Federal government. One of the initiatives of the agenda shifted Human Resources Management to a more strategic function, "Human Capital Management." Strategic Human Capital Management holds agency managers and Human Resources Practitioners more accountable for efficient and effective mission support in accordance with merit system principles. The Chief Human Capital Officer's Council (CHCO) consisting of Federal agency executives formed in 2002 and advises the Office of Personnel Management (OPM), Office of Management and Budget (OMB), and agency leaders on Human Capital strategies and policies as well as on the assessment of Human Capital management in Federal agencies. Together, the Council, OMB, and OPM developed the Human Capital Assessment and Accountability Framework (HCAAF) as the Government-wide systematic method for assessment and accountability of strategic Human Capital management. With its development and implementation in 5 CFR Part 250, the [Office of Personnel Management Human Capital Assessment and Accountability Framework \(OPM HCAAF\)](#), has changed the focus of previous assessments and evaluations into a much broader view than regulatory compliance.

The framework requires Federal agencies to:

- Maintain an accountability system that contributes to agency and individual performance
- Monitor and evaluate results of its Human Capital management policies, programs, and activities
- Analyze compliance with merit system principles
- Identify and monitor necessary improvements

### **Purpose**

This guide aligns Air Force (AF) civilian personnel assessment activities with the OPM HCAAF, Department of Defense Civilian Human Capital Accountability System (DoD CHCAS) and requirements in the AF Inspection System (AFIS) Compliance Inspections. Results will assist the Defense Civilian Personnel Advisory Service (DCPAS) in meeting statutory requirements to assess how well military components are meeting Strategic Human Capital Management (SHCM) requirements, program goals and objectives, compliance with merit systems principles, and personnel laws and regulations. Within the Department of the Air Force, the functions covered by this guide are responsibilities often shared by commanders, senior leaders, Major Commands (MAJCOMs), Human Resources Service Centers (HRSCs), and Civilian Personnel Sections (CPSs) and Human Capital Practitioners. In some cases, organizations within serviced activities provide support, and should be assessed accordingly. This guide does not attempt to distinguish the responsibilities of each; it focuses instead on responsibilities to deliver support in partnership with each other.

The guide covers OPM and DoD Human Capital System requirements as well as assessment of major civilian human resources functional programs such as Affirmative Employment, Employee Relations, Training and Labor Relations. Established within each Human Capital System are standards, metrics, critical success factors, results, key elements and suggested performance indicators (both effectiveness indicators and compliance indicators). These elements will be discussed in more detail in the following sections.

The guide includes self-assessment checklists and provides commands, installations, HRSCs and CPSs with a tool for use in conducting civilian Human Capital management self-assessments and evaluation activities. Self-assessments and evaluations focus on the Human Capital areas within the OPM HCAAF and checklists are categorized accordingly. These checklists will assist in assessing the “health” of your organizations and in preparing for future OPM, DoD-directed CHCAS and component level on-site evaluations. Appendices and attachments to this guide provide information and instructions on self-assessment requirements and random sample compliance review of applicable personnel actions.

While the guide covers most Federal Human Capital assessment and accountability requirements, it does not address all Federal civilian laws, regulations, policies or procedures. The majority of the content of this guide was taken directly from the OPM HCAAF to incorporate the information into one location along with AF self-assessment guidance. The guide was carefully reviewed for applicability and accuracy, and changes made in the wording and interpretation of some Human Capital requirements are as they pertain to the Department of the Air Force. If a situation arises where the guide becomes inconsistent with the provisions of applicable laws or regulations, the requirement of the laws or regulations will take precedence.

Self-Assessments require a comprehensive formal review of all Human Capital (HC) program areas at least every other year and an annual compliance review of HR transactions to determine the efficiency and effectiveness of programs. Your organization should use these reviews not only to determine inefficiencies or deficiencies, but to reveal and share some highly effective programs or best practices. Organizations should validate the results of self-assessment and maintain documentation. Assessments may be conducted more frequently if deemed appropriate or in accordance with AFIS self-assessment requirements.

## Chapter 1

### CIVILIAN HUMAN CAPITAL ASSESSMENT AND ACCOUNTABILITY SYSTEMS OVERVIEW

In accordance with 5 CFR, Part 250, paragraph 250.202 (c)(3), OPM is responsible for holding agency heads, executives, managers, and human resources officers accountable for efficient and effective civilian Human Capital management that complies with merit system principles. In 2008, all Federal agencies were directed to align their Human Capital Accountability systems to the OPM Human Capital Assessment and Accountability Framework (HCAAF). The DoD CHCAS is aligned with the HCAAF and meets the intent of the regulatory requirements.

The OPM HCAAF consists of five *systems* that together provide a standardized and comprehensive representation of Federal Human Capital Management. Application of these five systems allows Federal agencies to focus on implementing practices that most affect attainment of their missions and objectives and provide measurable, observable agency and individual performance results.

OPM defines each of the *Human Capital systems* as shown below:

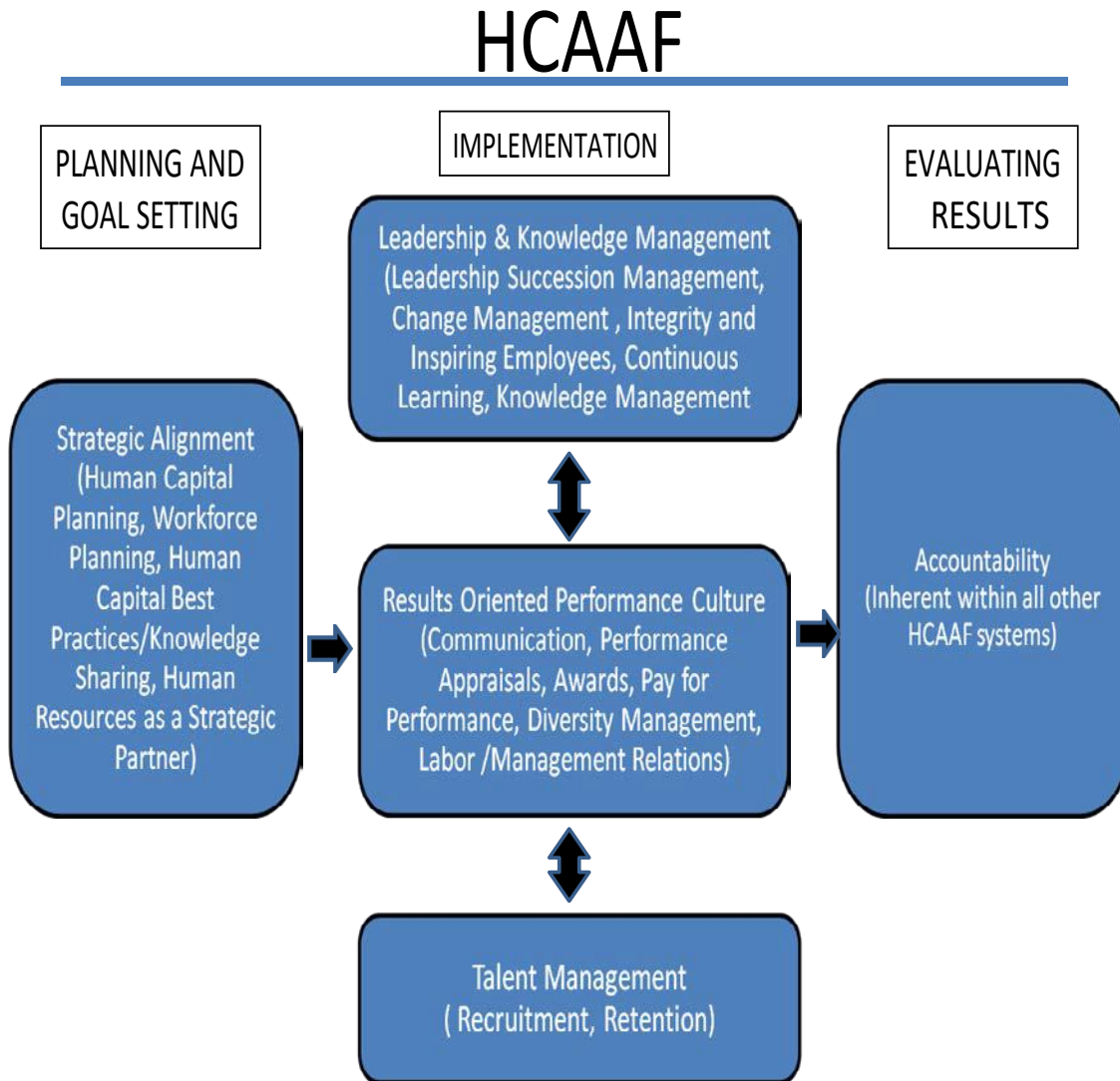
1. **STRATEGIC ALIGNMENT – (Planning and Goal Setting)** - A system led by senior management – typically the Chief Human Capital Officer (CHCO) – that promotes the alignment of Human Capital management strategies with agency mission, goals, and objectives through analysis, planning, investment, measurement, and management of Human Capital programs.
2. **LEADERSHIP AND KNOWLEDGEMENT MANAGEMENT** - A system that ensures continuity of leadership by identifying and addressing potential gaps in effective leadership and implements and maintains programs that capture organizational knowledge and promote learning.
3. **RESULTS ORIENTED PERFORMANCE CULTURE** - A system that promotes a diverse, high-performing workforce by implementing and maintaining effective performance management systems and awards programs.
4. **TALENT MANAGEMENT** – A system that addresses competency gaps, particularly in mission-critical occupations, by implementing and maintaining programs to attract, acquire, develop, promote, and retain quality talent.
5. **ACCOUNTABILITY (Evaluating Results)** – A system that contributes to agency performance by monitoring and evaluating results of its Human Capital management policies, programs, and activities; by analyzing compliance with merit system principles; and by identifying and monitoring necessary improvements.

Under the Human Capital framework, accountability refers to leadership and line management support and compliance with merit system and equal employment opportunity principles, and the efficient, timely, and legal completion of HR services, processes, and transactions.



## HCAAF Systems Relationships

The chart below lists the critical success factors for each system and the areas each organization must review during self-assessment. It also shows the relationships and continuous cycle of Strategic Human Capital Management.



**Note:** The Results Oriented Performance Culture System requires a periodic review of performance appraisal, awards, adverse actions, and pay for performance HR transactions and the Talent Management System requires a periodic review of Recruitment and Placement HR transactions.

It is extremely important to note that each of the Human Capital systems also has additional components that assist Federal agencies in assessing how well they are strategically managing

Human Capital and compliance with applicable merit system principles. Before grasping the specific requirements of each system; however, it is essential to gain a good understanding of the terminology of these components.

OPM defines the *additional components* as:

**Standard** - A standard describes the critical Human Capital management outcomes for agencies to strive toward in each of the five HCAAF systems.

**Metrics** – These are measurements that provide a basis for comparison. Strategic Human Capital Management requires a reliable and valid set of metrics that provide an accurate baseline against which individual agency progress can be assessed. Required outcome *metrics* are provided for the three systems that implement strategic Human Capital plans and programs: ***Leadership and Knowledge Management, Results-Oriented Performance Culture, and Talent Management.***

Metrics were developed based on extensive research from a variety of expert sources and are divided into two categories:

- ***Required metrics*** focus on Human Capital Management outcomes from three perspectives: *organization, employee, and merit system compliance*
- ***Suggested metrics*** focus on Human Capital management activities that support outcome metrics and show the health of a specific HCAAF critical success factor

These required and additional suggested metrics are summarized on the following pages and covered more in detail within each applicable system.

To be incorporated in the HCAAF, a metric had to meet the following criteria:

- Align with the HCAAF
- Drive organizational effectiveness directly or indirectly
- Be applicable government-wide
- Be actionable (under the control of the agency)
- Be practical (cost effective and acceptable)
- Be reliable (stable)
- Be valid (accurate and appropriate for its purpose)

**Critical Success Factors** - Each system is based on critical success factors that make up the overall system. Critical success factors are the areas on which agencies and Human Capital practitioners should focus to achieve a system's standard and operate efficiently, effectively, and in compliance with merit system principles. For example, ***Change Management and Leadership Succession Management*** are two critical success factors associated with the ***Leadership and Knowledge Management System.***

**Results** - The results describe the desired effects when key elements of a critical success factor are effectively implemented. Results are presented in two categories: ***Effectiveness results*** and ***compliance results.*** Compliance results refer to specific statutory or regulatory requirements.

**Key Elements** - Each critical success factor contains several key elements that are similar to the “*Elements of Yes*” that were initially developed as part of the HCAAF. *Key elements* describe what you would expect to see in an effective critical success factor.

**Suggested Performance Indicators** - The suggested indicators—both *effectiveness indicators* and *compliance indicators*—describe examples of visible evidence of the existence of key elements and compliance with merit system principles. Cumulatively, the indicators identify how well the agency is doing relative to key elements. The *suggested performance indicators* are linked to the key elements and are not meant to be an all-inclusive list. Human Capital Practitioners may need to search for other indicators if organizational approaches differ from the list of suggested performance indicators provided. Agencies may decide which suggested performance indicators provide the best evidence that they have implemented practices that lead toward achieving the standard.

The following sections including those within the remaining chapters lay out the components of each HCAAF system’s *standards, metrics* (required outcome metrics and specific system’s suggested metrics), *critical success factors, results, key elements, suggested performance indicators* and applicable *merit system principle* as well as any other assessment requirements.

The corresponding self-assessment checklists at Appendices A & B will assist you in determining whether your organization meets the effectiveness and compliance indicators as determined for each Human Capital system. Each checklist item directly corresponds to the critical success factors and key elements within each HCAAF system. You may copy the checklists for use in documenting self-assessment results.

You should retain completed checklists with your organization’s final overall determination of self-assessment ratings:

1. Provide a narrative response to the comments where explanation may be necessary, and;
2. You should be prepared to provide documentation to support your findings if requested

Whether your organization receives a “Meets,” “Partially Meets” or “Does Not Meet” level of rating for each Human Capital system will be determined by the extent to which narrative responses and supporting documentation (if applicable) reflect evidence of key elements and compliance with the requirements.

**NOTE: For further defining the HCAAF requirements, the term “agency” is defined as “organization” within the contents of this guide unless otherwise specified. In other words, the responsibility may be at the MAJCOM, Wing, FSS, CPS, line manager or HRSC level.**

## Chapter 2

### STRATEGIC ALIGNMENT – (PLANNING AND GOAL SETTING)

The first Human Capital System is Strategic Alignment. OPM defines this system as one that “...is led by senior management, typically the Chief Human Capital Officer (CHCO), that promotes alignment of Human Capital management strategies with agency mission, goals, and objectives through analysis, planning, investment, measurement, and management of Human Capital programs.”

#### Standard

Organization Human Capital management strategies are aligned with mission, goals, and organizational objectives and integrated into its strategic plans, performance plans, and budgets.

*Agencies are required under 5 CFR 250.203 to maintain a current Human Capital plan described by this system.*

#### Critical Success Factors

The areas below are the four critical success factors within the *Strategic Alignment System*:

***Human Capital Planning:*** The agency designs a coherent framework of Human Capital policies, programs, and practices to achieve Human Capital requirements to directly support the agency’s strategic plan.

***Workforce Planning:*** The organization identifies the Human Capital required to meet organizational goals, conducts analyses to identify competency gaps, develops strategies to address Human Capital needs and closes competency gaps, and ensures the organization is appropriately structured.

***Human Capital Best Practices and Knowledge Sharing:*** To leverage its efforts, the agency works with others to share best practices and learn about new developments.

***Human Resources as Strategic Partner:*** Human resources (HR) professionals act as consultants with managers to develop, implement, and assess Human Capital policies and practices to achieve the organization’s shared vision. Senior leaders, managers, HR professionals, and key stakeholders contribute to the Human Capital vision and the agency’s broader strategic planning process.

#### Applicable Merit System Principles

The following merit system principle is especially relevant to the Strategic Alignment system: The Federal work force should be used efficiently and effectively. [5 U.S.C. 2301(b)(5)]

## Metrics

Activities and outcomes of this system are assessed through documented evidence of a Strategic Human Capital Plan that includes Human Capital goals, objectives, and strategies; a workforce plan; and performance measures and milestones.

### 2.1. Human Capital Planning

## Results

According to the OPM HCAAF, the results or desired effects shown below are those you can expect when your organization has effectively implemented the key elements of the Human Capital Planning critical success factor. As you may recall from the definitions and terminology in Chapter 1, the results are presented in two categories:

#### Effectiveness Results:

- The agency’s strategic plan establishes an agency-wide vision that guides Human Capital planning and investment activities.
- The agency has a system in place to continually assess and improve Human Capital planning and investment and their impact on mission accomplishments.
- Managers are held accountable for effective implementation of Human Capital plans and overall Human Capital management.

**Compliance Results:** In accordance with the Chief Human Capital Officers Act of 2002 (CHCO Act), the agency CHCO carries out the functions authorized in 5 U.S.C. 1402, including aligning the agency’s human resources policies and programs with organizational mission, strategic goals, and performance outcomes

Table 2.1 provides the key elements and suggested performance indicators for the Human Capital Planning critical success factor.

## Key Elements and Suggested Performance Indicators

**Table 2.1. Human Capital Planning**

Key Elements	Suggested Performance Indicators
<p><i>The agency has a Human Capital planning system that:</i></p> <ul style="list-style-type: none"><li>▪ Promotes alignment of Human Capital strategies with agency mission, goals, and objectives through analysis, planning, investment, and management of Human Capital programs</li></ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"><li>▪ Key stakeholders, including HR, participate in the development and revision of the agency’s strategic plan and facilitate workforce planning and analysis efforts</li><li>▪ Documents substantiate involvement of key Human Capital leaders and key stakeholders in the planning process (e.g., team members of review boards, working groups, or executive off-sites)</li><li>▪ Human Capital planning is managed by a Human</li></ul>

	<p>Capital review team or similar collaborative body comprised of the CHCO and senior leaders and managers from human resources, information technology, finance, and mission-specific program areas</p> <p><b>Compliance Indicator</b></p> <ul style="list-style-type: none"> <li>▪ As provided by 5 U.S.C. 1303(c), the agency holds managers and human resources officers accountable for efficient and effective human resources management in support of the agency’s mission, in accordance with merit system principles</li> </ul>
<ul style="list-style-type: none"> <li>▪ Establishes a process for including Human Capital activities and investments in the agency annual performance plan and budget</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ The agency’s (DoD) annual performance plan and budget request include Human Capital activities and investments <ul style="list-style-type: none"> <li>▪ The annual plan identifies resources required to implement Human Capital strategies [e.g., retention bonuses, “buyouts,” awards, training, student loan repayments, tuition assistance, Voluntary Early Retirement Authority (VERA)]. Funding requirements are prioritized in case not all Human Capital strategies can be funded</li> </ul> </li> </ul> <p><b>Compliance Indicators</b></p> <ul style="list-style-type: none"> <li>▪ The agency has a standard for integrating its human resources strategies into the budget as stated in 5 U.S.C. 1303, as added by the CHCO Act of 2002 <ul style="list-style-type: none"> <li>▪ As prescribed in the CHCO Act (31 U.S.C. 1115), the agency’s performance plan provides a description of how the performance goals and objectives are to be achieved, including: <ul style="list-style-type: none"> <li>—The operational processes, training, skills and technology, and the Human Capital information and other resources</li> <li>—The strategies required to meet the performance goals and objectives</li> </ul> </li> </ul> </li> </ul> <p>[Note: In addition to amending and adding to Title V, the CHCO Act amends provisions of the Government Performance and Results Act of 1993 (GPRA), which requires agencies to prepare annual performance plans]</p>
<ul style="list-style-type: none"> <li>▪ Results in the development of an annual Human Capital plan establishing Human Capital goals, objectives, and investments that link to the agency strategic plan and support mission accomplishment</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ The agency’s planning process links the Human Capital framework to the mission, function, and strategic management of the agency, as well as to other management initiatives such as e-Government and competitive sourcing <ul style="list-style-type: none"> <li>▪ The agency has designed Human Capital performance improvement strategies that support mission accomplishment <ul style="list-style-type: none"> <li>▪ The agency has approved and communicated Human Capital planning documents that describe Human Capital goals, objectives, investments, and strategies that are linked to the agency strategic plan</li> </ul> </li> </ul> </li> </ul> <p><b>Compliance Indicators</b></p> <ul style="list-style-type: none"> <li>▪ The agency includes Human Capital strategic planning in agency performance plans and performance reports as stated in 31 U.S.C. 1115, as amended by the CHCO Act <ul style="list-style-type: none"> <li>▪ As prescribed in the CHCO Act (31 U.S.C. 1115), the agency’s (DoD) program performance report includes a review of the performance goals and evaluation of the</li> </ul> </li> </ul>

	agency's performance plan relative to the agency's strategic Human Capital plan
<ul style="list-style-type: none"> <li>▪ Provides for a formal agency-wide evaluation of the strategies in the Human Capital plan and its implementation.</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ The strategic Human Capital plan sets Human Capital progress milestones and identifies those responsible for meeting them <ul style="list-style-type: none"> <li>▪ The agency's annual performance review tracks and measures Human Capital activities and investments <ul style="list-style-type: none"> <li>▪ The agency defines successful achievement of the mission in terms of quantified long- and short-term Human Capital performance goals <ul style="list-style-type: none"> <li>▪ The agency has a documented change management/implementation process that identifies necessary Human Capital practices that facilitate change <ul style="list-style-type: none"> <li>▪ Where appropriate, individual performance plans and evaluations address accountability for successful implementation of Human Capital strategies <ul style="list-style-type: none"> <li>▪ Human Capital partnering is considered in senior leaders' and managers' annual performance reviews</li> </ul> </li> </ul> </li> </ul> </li> </ul> </li> </ul> </li> </ul> <p><b>Compliance Indicators</b></p> <ul style="list-style-type: none"> <li>▪ In accordance with the Executive Performance and Accountability Interim Rule (5 CFR 430 and 1330), senior employee performance ratings appropriately and clearly link to organizational mission, GPRA strategic goals, or other program objectives <ul style="list-style-type: none"> <li>▪ Agency managers plan and communicate performance elements and standards that are linked with strategic planning initiatives in accordance with the Executive Performance and Accountability Interim Rule (5 CFR 430 and 1330).</li> </ul> </li> </ul>



**REMINDER**

**KEY ELEMENTS** = WHAT you should do

**SUGGESTED PERFORMANCE INDICATORS** = visible evidence of Key Elements

- Suggested performance indicators shown above are items that should provide visible evidence of key elements & compliance within your organizations
- Civilian Human Capital planning efforts & goals should not only align to your organizational goals, but those of the Wing, AF Strategic Plan, AF Manpower, Personnel and Services Transformation Roadmap, & DoD Civilian Human Capital Strategic Plan
- The list of indicators is not all-inclusive. It may be necessary to look for other performance indicators that show examples of visible evidence of effectiveness & compliance with applicable merit system principles
- You may find additional information on the key components of Strategic Human Capital Plans at <http://www.opm.gov/policy-data-oversight/human-capital-management/>

**-Use corresponding STRATEGIC ALIGNMENT CHECKLIST at Appendix A**

## 2.2. Workforce Planning

### Results

According to the OPM HCAAF, the results or desired effects shown below are those you can expect when your organization has effectively implemented the key elements of the Workforce Planning critical success factor.

#### **Effectiveness Results:**

- The agency approaches workforce planning strategically and in an explicit, documented manner. The workforce plan links directly to the agency's strategic and annual performance plans and is used to make decisions about structuring and deploying the workforce
- Mission-critical occupations (MCOs) and competencies are identified and documented, providing a baseline of information for the agency to develop strategies to recruit, develop, and retain talent needed for program performance
- The agency's documented workforce plan identifies current and future workforce competencies and the agency is closing identified competency gaps through implementation of gap reduction strategies such as:
  - Restructuring
  - Recruitment
  - Competitive sourcing
  - Redeployment
  - Retraining
  - Retention (e.g., compensation, quality of work life)T
  - Technology solutions
- A business forecasting process is implemented that identifies probable workforce changes, enabling agency leadership to anticipate changes to Human Capital that require action to ensure program performance
- Based on functional analyses, the agency is appropriately structured to allow the right mix and distribution of the workforce to best support the agency mission
- Based on analysis of customer needs and workload distribution, the agency has the right balance of supervisory and non-supervisory positions to support the agency mission

**Compliance Result:** The CHCO assesses workforce characteristics and future needs based on the agency's mission and strategic plan in accordance with the CHCO Act of 2002 (5 U.S.C. 1402)

Table 2.2 provides the key elements and suggested performance indicators for the Workforce Planning critical success factor.



## Key Elements and Suggested Performance Indicators

**Table 2.2. Workforce Planning**

Key Elements	Suggested Performance Indicators
<p><i>The agency's workforce planning system includes a workforce analysis process that:</i></p> <ul style="list-style-type: none"> <li>▪ Identifies mission-critical occupations (MCOs) and competencies that are essential to achieving strategic goals               <ul style="list-style-type: none"> <li>▪ Analyzes current strengths and weaknesses regarding mission critical occupations and competencies</li> <li>▪ Identifies competency gaps and deficiencies, including current and future competency needs and losses due to voluntary attrition</li> <li>▪ Systematically defines the size of the workforce needed to meet organizational goals</li> <li>▪ Uses workforce planning reports and studies in conjunction with the best practice benchmarks to determine the most effective work levels, workloads, and resources for efficient functioning</li> <li>▪ Bases decisions related to restructuring, redeployment, and reorganization on current empirical and workforce analysis</li> <li>▪ Conducts risk assessments to minimize adverse impacts on workforce due to restructuring                   <ul style="list-style-type: none"> <li>▪ Documents and assesses key supporting functions of all business areas</li> </ul> </li> <li>▪ Regularly evaluates customer/citizen needs and incorporates these needs into workforce plans, organizational goals, and functions</li> </ul> </li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ Studies indicate which occupations and competencies are essential to achieving the agency's strategic goals               <ul style="list-style-type: none"> <li>▪ Mission-critical occupations (MCOs) and competencies are identified in the agency's strategic plan and/or performance plan, and its strategic Human Capital plan                   <ul style="list-style-type: none"> <li>▪ A methodology exists for determining mission-critical occupations and competencies based in part on professional qualifications (e.g., certifications, licenses)                       <ul style="list-style-type: none"> <li>▪ Trends in mission-critical occupations are analyzed in terms of the following suggested factors in order to continually adjust the agency's recruitment and retention strategy to its current state of need:                           <ul style="list-style-type: none"> <li>—Number and distribution of positions by pay plan/grade or pay band/series and geographic location</li> <li>—Average age</li> <li>—Average length of service</li> <li>—Diversity trends</li> <li>—Average grade/band</li> <li>—Retirement eligibility (current and expected)</li> <li>—Turnover (e.g., separations, resignations, transfers, retirements)</li> <li>—Surpluses in occupations and competencies</li> </ul> </li> </ul> </li> <li>▪ Competency and/or staffing models have been developed and there is analysis of gaps between the current and desired competencies for mission-critical occupations                       <ul style="list-style-type: none"> <li>▪ Documentation indicates workforce analysis occurs on a periodic basis and is used to drive Human Capital policy and decisions                           <ul style="list-style-type: none"> <li>▪ The agency uses a documented, systematic strategic workforce planning process that addresses the following issues:                               <ul style="list-style-type: none"> <li>—The link to the agency's strategic plan and the strategic Human Capital plan</li> <li>—The link to the agency's annual performance/business plan</li> <li>—Work activities required to carry out the goals and objectives of the strategic plan (long term) and performance plan (short term)</li> <li>—How to structure the organization (e.g., determine what must be done for continuance of Government operations, determine necessary layers, streamline functions, consolidate organizational elements) and its work processes/workflow to carry out work activities</li> <li>—How to continually update the process to reflect</li> </ul> </li> </ul> </li> </ul> </li> </ul> </li> </ul> </li></ul>

	<p>mission changes, technology advances (e.g., e-Government), funding levels, competitive sourcing, and other change drivers</p> <ul style="list-style-type: none"> <li>—Analysis and assessment of the current workforce (e.g., skills, demographics, attrition) to meet long-term and short-term goals and objectives</li> <li>—Workforce analysis including indicators such as size and distribution of workforce (including Senior Executive Service [SES]) by grade, series, geographic locations, types of positions occupied, pay plan, veteran representation, etc</li> <li>—How to develop current employees, recruit to fill long-term and short-term goals, and provide for continuity of leadership through succession to key positions</li> <li>—How to minimize the adverse impact on the workforce in restructuring the organization and its work processes <ul style="list-style-type: none"> <li>▪ The agency uses multi-faceted techniques to close competency gaps within the organization (e.g., strategic recruitment, mid-career hiring, training)</li> <li>▪ The agency conducts regular assessment of its need for, and deployment of, executive resources</li> </ul> </li> </ul>
<ul style="list-style-type: none"> <li>▪ Forecasts future business changes in the work of the agency and how the changes will affect the workforce</li> <li>▪ Regularly tracks established performance measures, workforce trends, and technological advances to ensure updated models for meeting citizen and organization needs</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ Line managers and key staff, including HR, consider and prepare for possible workforce changes in areas such as mission/goals, technology, program additions or deletions, functions, and outsourcing initiatives</li> <li>▪ The agency’s strategic plan and/or performance plan and its strategic Human Capital plan reflect forecasts of the Human Capital implications of future business plans, including expectations and trends concerning: <ul style="list-style-type: none"> <li>—Future workload and staffing needs</li> <li>—Workforce demographics in mission-critical occupations</li> <li>—Changing competency requirements</li> <li>—Industry benchmarking for similar occupations</li> <li>—Availability of competencies within applicable labor markets</li> </ul> </li> <li>▪ The forecast is shared widely and used within the agency by those who are responsible and accountable to meet Human Capital needs</li> </ul>
<p><i>The agency’s workforce analysis process is based on sources of information such as:</i></p> <ul style="list-style-type: none"> <li>▪ Current workforce demographic and competitive sourcing studies <ul style="list-style-type: none"> <li>▪ Descriptive and documented plans and processes for hiring, recruiting, employment, and retention efforts</li> <li>▪ Past agency assessments and workforce data</li> <li>▪ Information about anticipated changes related to e-Government and competitive sourcing, goals, and objectives</li> </ul> </li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ Information systems are in operation, which provide Human Capital data to all appropriate management levels to guide planning, analysis, and decision-making. Data integrity is maintained through quality control checks</li> <li>▪ The agency conducts and uses management studies to: <ul style="list-style-type: none"> <li>—Eliminate work and interfaces that add no value</li> <li>—Assess the organization’s deployment strategies, including identification of situations where competitive</li> </ul> </li> </ul>

	<p>sourcing is the most appropriate means to meet their strategic objectives</p> <ul style="list-style-type: none"> <li>▪ Staffing data showing trends in appointments, promotions, conversions, separations, and retirements are analyzed regularly, and management decisions regarding workforce deployment are based on documented data <ul style="list-style-type: none"> <li>▪ Turnover indicators (e.g., transfers, retirements, and separations in each of the last several years, overall, and by professional, administrative, technical, clerical, and other occupations) are monitored regularly.</li> </ul> </li> </ul>
<p><b><i>The agency’s workforce planning system includes an organizational structuring process that:</i></b></p> <ul style="list-style-type: none"> <li>▪ Utilizes functional analysis to determine appropriate organizational and physical structure</li> <li>▪ Clearly organizes the agency staffing plan by workflow, organizational initiative, and functional area</li> <li>▪ Anticipates change in citizen needs by continuously monitoring the evolution of needs, trends, and events affecting workforce planning</li> <li>▪ Avoids excess organizational layers</li> <li>▪ Reduces redundant operations</li> <li>▪ Analyzes internal workforce statistics (e.g., ratio of managers to workforce, distribution of workforce), data, and trends to make the most efficient choices for workforce deployment</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ Documentation of analyses of organizational functions shows review, planning, design, and, if applicable, implementation and outcome of efforts to realign the workforce <ul style="list-style-type: none"> <li>▪ Functional analyses and data analyses result in specific targets for workforce redeployment, which are reflected in the strategic Human Capital plan and the workforce plan</li> <li>▪ The benefits of proposed changes to the structure and/or the workforce mix are quantified and incorporated into the budget submissions</li> <li>▪ Duplications in support areas such as communications, legislative affairs, budget, and personnel and/or duplications in program areas are reduced and programs are streamlined and consolidated wherever possible <ul style="list-style-type: none"> <li>▪ Analysis of data includes statistics such as ratio of administrative jobs (e.g., administrative officer, budget analyst, budget clerk, management analyst, personnel clerk, personnel professional, support services specialist) to the workforce, distribution of administrative jobs by organizational component and geographic location, and trends in numbers and proportions of administrative jobs</li> <li>▪ A model organization has been developed that: <ul style="list-style-type: none"> <li>—Reflects the numbers of employees needed and their appropriate skill and grade or pay band/level mix</li> <li>—Identifies key leadership positions</li> <li>—Includes specific recruiting and training/development activities</li> </ul> </li> </ul> </li> </ul> <p><b>Compliance Indicator</b></p> <ul style="list-style-type: none"> <li>▪ The agency appropriately applies pertinent regulations and statutes to group or individual deployment-related actions as specified in the Talent Management system (Voluntary Early Retirement Authority [VERA], Voluntary Separation Incentive Payments [VSIP], Transfer of Function [TOF], etc.) - See Talent Management System at Chapter 5</li> </ul> </li></ul>
<p><b><i>The agency’s organizational structuring process demonstrates that it:</i></b></p> <ul style="list-style-type: none"> <li>▪ Includes statistics regarding number of supervisors, their series and grade/pay band, geographic location, and ratio of supervisors to</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ Analysis of data includes statistics related to the number of supervisors, their geographic and organizational location, their series and grades/pay bands, the ratio of</li> </ul>

<p>employees</p> <ul style="list-style-type: none"> <li>▪ Obtains the mix of supervisory and non-supervisory positions to best meet customer needs</li> <li>▪ Documents the need for redirecting supervisory positions and the planned program design and assessment for the implemented changes <ul style="list-style-type: none"> <li>▪ Addresses impediments to restructuring by analyzing solutions found within the current environment</li> <li>▪ Uses a documented change management strategy</li> </ul> </li> </ul>	<p>supervisors to employees, percent of supervisors in grades GS-12-15 or equivalent, etc</p> <ul style="list-style-type: none"> <li>▪ Supervisory needs are clearly tied to the workflow process and the organizational structure resulting in a staffing plan that indicates the necessary number of supervisors by functional area</li> <li>▪ The agency has documented the need to redirect supervisory positions, designed and implemented a program to support their redeployment, and developed an evaluation process to determine if the anticipated outcomes are being achieved <ul style="list-style-type: none"> <li>▪ Impediments are identified and solutions to overcome impediments within the current environment (e.g., Title V and/or other appropriate systems) are identified and documented</li> <li>▪ Through consultation with the OPM, the agency makes a sound business case for any waivers, exemptions, or regulatory or legislative relief needed to overcome barriers (Note: Requires coordination thru AFPC/DPIEC, HQ/A1CP and DCPAS) <ul style="list-style-type: none"> <li>▪ The agency has a documented change management strategy, where appropriate, to overcome barriers and facilitate restructuring/culture change efforts</li> <li>▪ The agency's restructuring, redeployment, and reorganization decisions are substantiated with empirical evidence <ul style="list-style-type: none"> <li>▪ Agency records indicate that, during restructuring, redeployment, and reorganizing, operational disruption is minimized through the use of: <ul style="list-style-type: none"> <li>—Effective internal and external communication plans</li> <li>—Retraining</li> <li>—Reassignment</li> <li>—Placement assistance</li> <li>—Relocation allowances</li> <li>—VERA and VSIP where appropriate</li> </ul> </li> </ul> </li> </ul> </li> </ul> </li></ul>
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### Things to Keep in Mind

- Strategic workforce planning will help your organization determine if you have the necessary skills and competencies to accomplish strategic goals
- DoD regularly assesses findings and emerging enterprise-level priorities to determine which civilian occupations are mission critical. Currently, there are 25 occupations that DoD has designated as Enterprise MCOs (See Appendix F).
- Your organization should further define MCOs thru workforce planning and analysis and work towards closing competency gaps to ensure continuity of a diverse mission oriented workforce
- AF utilizes manpower studies to determine size and structure of the organization needed to carry out the mission. The Unit Manning Document (UMD) is used to communicate organizational and physical structure to AF leaders at all levels to identify essential manpower required for effective and efficient mission accomplishment
- Examples of visible evidence may include documented workforce planning efforts resulting in reorganization based on changing mission requirements, workload

studies, trend analysis, and identification of MCOs or other efforts setting strategic direction.

Use corresponding **STRATEGIC ALIGNMENT CHECKLIST** at **Appendix A**

### 2.3. Human Capital Best Practices and Knowledge Sharing

#### Results

According to the OPM HCAAF, the results or desired effects shown below are those you can expect when your organization has effectively implemented the key elements of the Human Capital Best Practices and Knowledge Sharing critical success factor.

**Effectiveness Result:** The agency looks beyond its own experience and resources when developing Human Capital strategies and works with others to share best practices

**Compliance Result:** As provided in 5 U.S.C. 1303(c), the agency holds managers and human resources officers accountable for efficient and effective human resources management in support of the agency’s mission in accordance with merit system principles

Table 2.3 provides the key elements and suggested performance indicators for the Human Capital Best Practices and Knowledge Sharing critical success factor.

#### Key Elements and Suggested Performance Indicators

**Table 2.3. Human Capital Best Practices and Knowledge Sharing**

Key Elements	Suggested Performance Indicators
<p><i>The agency has a Human Capital best practices and knowledge sharing system that:</i></p> <ul style="list-style-type: none"> <li>▪ Benchmarks best practices and lessons learned by other Government agencies and private sector organizations</li> </ul>	<p><b>Effectiveness Indicator</b></p> <ul style="list-style-type: none"> <li>▪ The agency uses resources (e.g., Web sites, research findings, special studies, program guidance) from sources such as:               <ul style="list-style-type: none"> <li>—OPM</li> <li>—OMB</li> <li>—Government Accountability Office (GAO)</li> <li>—Society for Human Resource Management (SHRM)</li> <li>—International Public Management Association for Human Resources (IPMA–HR)</li> </ul> </li> </ul> <p><b>Compliance Indicator</b></p> <ul style="list-style-type: none"> <li>▪ The agency’s CHCO identifies best practices and benchmarking studies in accordance with the CHCO Act (5 U.S.C. 1402). – (DoD)</li> </ul>
<ul style="list-style-type: none"> <li>▪ Establishes a method or process for collaborating with other agencies regarding effective Human Capital strategies</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ The agency uses Government wide benchmarks [e.g., staffing timeliness, Central Personnel Data Files/FedScope, Federal Employee Viewpoint Survey (FedView)] responses in setting Human Capital strategic goals               <ul style="list-style-type: none"> <li>• The agency participates in Human Capital</li> </ul> </li> </ul>

	managerial/professional employee groups (e.g., the Chief Human Capital Officers Council, the Small Agency Council, Federal Executive Boards, and National Academy of Public Administration)
<ul style="list-style-type: none"> <li>Provides valuable information to Human Capital planners on effective Human Capital strategies that is used to improve Human Capital planning</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>Agency representatives participate in Government wide collaborative efforts and/or managerial/professional/employee organizations to share best practices and leverage lessons learned</li> </ul>



### Did You Know?

- Examples of visible evidence in your organization may include established resources such as websites, Communities of Practice (CoPs), shared success stories, good ideas, and knowledge sharing from within your organizations (e.g. marketing strategies, automation strides, participation in professional organizations or associations)
- Other indicators may be valuable best practices or “lessons learned” [e.g., Staff Assistance Visits (SAVs), civilian town halls, and knowledge-based approach to training and developmental programs]

Use corresponding **STRATEGIC ALIGNMENT CHECKLIST** at **Appendix A**

## 2.4. Human Resources as Strategic Partner

### Results

According to the OPM HCAAF, the results or desired effects shown below are those you can expect when your organization has effectively implemented the key elements of the Human Resources as Strategic Partner critical success factor.

#### Effectiveness Results:

- HR professionals and key stakeholders are involved in the agency strategic and workforce planning efforts
- The HR function is adequately staffed and prepared, in competencies and resources, to proactively partner and consult with line managers
- The HR staff reaches out to other organizational functions and components through facilitation, coordination, and counseling to provide integrated mission support

**Compliance Result:** As provided by 5 U.S.C. 1303(c), the agency holds managers and Human Resources Officers accountable for efficient and effective human resources management in support of the agency’s mission in accordance with merit system principles

Table 2.4 provides key elements and suggested performance indicators for the Human Resources as Strategic Partner critical success factor.

## Key Elements and Suggested Performance Indicators

**Table 2.4. Human Resources as Strategic Partner**

Key Elements	Suggested Performance Indicators
<p><i>The agency's human resources system:</i></p> <ul style="list-style-type: none"> <li>▪ Is proactively involved in the agency strategic and workforce planning efforts</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ The HR staff consults with managers and supervisors across the agency on various management issues               <ul style="list-style-type: none"> <li>▪ The HR staff provides advice and guidance to managers on Human Capital strategies tailored to meet organizational needs</li> <li>▪ The HR staff assesses and anticipates needs of customers (i.e., managers, supervisors, employees, and applicants), develops functions and services to support and fulfill those needs, ensures quality of services, and communicates program requirements to customers</li> <li>▪ The HR staff involves line functions in program review and/or development and likewise is invited by line functions to organizational meetings and retreats to identify and advise on HR issues</li> <li>▪ Federal Employee Viewpoint Survey (Fed View) (formerly the Federal Human Capital Survey) and/or other surveys or interviews indicate that HR staff members are viewed as internal consultants and that Human Capital strategies support the broader agency mission</li> <li>▪ Policies describe the process and procedures for communicating customer issues, resolving customer dissatisfaction, and handling customer comments</li> <li>▪ The HR staff measures and communicates the value of products and services it provides through feedback mechanisms</li> </ul> </li> </ul> <p><b>Compliance Indicator</b></p> <ul style="list-style-type: none"> <li>▪ As provided by 5 U.S.C. 1303(c), the agency holds managers and human resources officers accountable for efficient and effective human resources management in support of the agency's mission, in accordance with merit system principles</li> </ul>
<ul style="list-style-type: none"> <li>▪ Includes a staff that has the skills and competencies required for partnering with executives and managers in strategic planning</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ The agency conducts HR staff development needs-assessment studies to identify competency gaps               <ul style="list-style-type: none"> <li>▪ The agency has strategies (e.g., automation, competitive sourcing, recruitment, mentoring, training) in place to close competency gaps in HR staff and to provide managers the advice and tools they need to operate</li> <li>▪ HR staff conducts program reviews, customer surveys, and regular assessments of information systems and other support functions to identify areas for continuing improvement</li> <li>▪ Analysis of staffing levels includes considerations such as HR servicing ratio, HR staff distribution by series/grade/pay band, HR staff average grade/pay band, age, length of service, training completed, retirement eligibility, HR supervisory ratio, and ratio of personnel actions to personnel staff.</li> </ul> </li> </ul>

<ul style="list-style-type: none"> <li>▪ Has a human resource information system with the capacity to provide relevant and reliable data necessary for making fact-based Human Capital decisions</li> </ul>	<p><b>Effectiveness Indicator</b></p> <ul style="list-style-type: none"> <li>▪ HR staff partners with managers to: <ul style="list-style-type: none"> <li>—Conduct workforce studies and analyze results in collaboration with managers; the data is used for decision making</li> <li>—Use all available functions and features of the agency’s current system to facilitate effective agency workforce management (e.g., process and report on personnel transactions, query data) and provide routine reports to managers</li> <li>—Participate, as appropriate (<i>i.e.</i>, depending on level in organization), in agency and/or OPM initiatives to support the OPM Enterprise Human Resources Integration initiative, which will support HR management across Government</li> <li>—Participate, as appropriate, in other e-government initiatives such as e-payroll and Retirement System Modification (RSM)</li> <li>—The agency uses an HR information system that promotes employee self-service and manager access to a broad range of Human Capital information and indicators</li> </ul> </li> </ul>
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 **Additional Effectiveness Indicators**

- HR professionals’ key participation in organizational meetings such as Corporate Boards, Personnel & Training (P&T) Resources Panel, Civilian Resources Advisory Board, and Senior level Staff Meetings.
- HR customer satisfaction surveys that assess and address customer needs and comments
- Established policies that describe the process and procedures for communicating and resolving customer issues
- Documents substantiating HR involvement in working groups or planning processes

**Use corresponding STRATEGIC ALIGNMENT CHECKLIST at Appendix A**



## Chapter 3

### LEADERSHIP AND KNOWLEDGEMENT MANAGEMENT

The OPM HCAAF defines this system as one “...that ensures continuity of leadership by identifying and addressing potential gaps in effective leadership and implements and maintains programs that capture organizational knowledge and promote learning.”

#### Standard

Agency leaders and managers effectively manage people, ensure continuity of leadership, and sustain a learning environment that drives continuous improvement in performance, and provide a means to share critical knowledge across the organization. Knowledge management must be supported by an appropriate investment in training and technology.

#### Critical Success Factors

The areas below are the critical success factors within the *Leadership and Knowledge Management* system:

***Leadership Succession Management:*** The organization identifies leadership competencies and establishes objectives and strategies to ensure there is a continuous pipeline of available leadership within the organization.

***Change Management:*** The agency has in place leaders who understand what it takes to effectively bring about changes that achieve significant and sustained improvements in performance.

***Integrity and Inspiring Employee Commitment:*** Leaders maintain high standards of honesty and ethics that serve as a model for the whole workforce. Leaders promote teamwork and communicate the organization’s shared vision to all levels of the organization and seek feedback from employees. Employees respond by maintaining high standards of honesty and ethics.

***Continuous Learning:*** Leaders foster 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.

***Knowledge Management:*** The organization systematically provides resources, programs, and tools for knowledge sharing across the organization in support of its mission accomplishment.

Together, these critical success factors ensure:

- A constant flow of leaders who can properly direct an agency’s efforts to achieve results
- A workforce with the competencies required to achieve the agency’s mission
- That the workforce is motivated to use its competencies in service of the agency’s mission

## Applicable Merit System Principles

The following merit system principle is especially relevant to the Leadership and Knowledge Management system: Employees should be provided effective education and training in cases in which such education and training would result in better organizational and individual performance  
[5 U.S.C. 2301(b)(7)]

## Metrics

As you may recall from the overview in Chapter 1, the Leadership and Knowledge Management system is one of the three systems with required outcome metrics. Again, *required metrics* focus on Human Capital management outcomes and are required for Government wide reporting. The following are required outcome metrics for the Leadership and Knowledge Management system:

Required Metric	Description	Purpose
<b>Organization Results Metric:</b> Competency Gaps Closed for Management and Leadership	Difference between competencies needed and competencies possessed by managers and leaders	To determine how the agency should target its recruitment, retention and development efforts to bring the competencies of its managers and leaders into alignment with the agency's current and future needs
<b>Employee Perspective Metric:</b> Leadership & Knowledge Management Index	A score based on items from the government wide Annual Employee Survey	To determine the extent to which employees hold their leadership in high regard, both overall and on specific facets of leadership performance
<b>Merit System Metric:</b> Merit-Based Execution of the Leadership and Knowledge Management system	An assessment, conducted by OPM or by agencies with OPM oversight, of compliance with merit system principles and related laws, rules, and regulations governing the Leadership and Knowledge Management system	To determine that decisions, policies, processes, and practices executed under the Leadership and Knowledge Management system comply with the merit system principles and related laws, rules, and regulations

Additionally, the OPM HCAAF suggests the following metrics:

Required Metric	Description	Purpose
Bench Strength	The relationship between the number of employees in the leadership pipeline who demonstrate the required level of performance on leadership competencies and the number of critical leadership positions.	To ensure that enough internal organizational capacity exists to mitigate leadership attrition and maintain progress toward mission attainment.
Time To Hire Critical Leadership Positions	*Average time from date vacancy closes to date offer is extended (expressed in working days).	To determine the efficiency of a critical phase of the Federal hiring process

Succession Sources	*Percentage of critical leadership positions filled from internal sources, other Government sources (including military), and non-Government sources.	To determine the extent to which various succession planning efforts (including internal career development programs) result in the selection of critical leaders.
Culture of Workforce Improvement	Items from Annual Employee Survey (FEDVIEW survey)	To determine the extent to which employees believe their leaders have developed a culture that values personal growth.

\* Business Objects reports in the Corporate Library are available to assist you in obtaining data for these required metrics.

### 3.1. Leadership Succession Management

#### Results

According to the OPM HCAAF, the results or desired effects shown below are those you can expect when your organization has effectively implemented the key elements of the Leadership Succession Management critical success factor.

**Effectiveness Result:** The agency has taken action to ensure continuity of leadership through succession planning and executive development programs that results in a diverse pool of qualified internal, other Government, and non-Government sources for all mission-critical leadership positions

**Compliance Result:** The agency has established a comprehensive management succession program that provides training to employees to develop them as managers for the agency as prescribed by the Federal Workforce Flexibility Act of 2004

Table 3.1 provides the key elements and suggested performance indicators for the Leadership Succession Management critical success factor.

#### Key Elements and Suggested Performance Indicators

**Table 3.1. Leadership Succession Management**

Key Elements	Suggested Performance Indicators
<p><i>The agency has a leadership succession management system that:</i></p> <ul style="list-style-type: none"> <li>▪ Is based on accurate data on the current workforce</li> <li>▪ Is based on accurate projections of attrition at all leadership levels</li> <li>▪ Identifies a diverse pool of high-potential leaders through a fair and accurate process</li> <li>▪ Includes a formal process to address management potential</li> </ul>	<ul style="list-style-type: none"> <li>▪ The agency’s leadership development strategy and policy, which reflect its mission and culture, are developed, documented, and implemented, based on the agency’s workforce analysis and succession planning process <ul style="list-style-type: none"> <li>▪ The agency performs an ongoing workforce analysis to identify current and future workforce and related leadership needs. The analysis includes information concerning: <ul style="list-style-type: none"> <li>—Workforce size</li> <li>—Workforce deployment by location, function, and</li> </ul> </li> </ul> </li> </ul>

	<p>occupation</p> <ul style="list-style-type: none"> <li>—Leadership competencies needed for mission accomplishment</li> <li>—Trends in hiring, promotion, reassignment, and attrition in leadership positions</li> <li>—Trends in competency needs (e.g., surpluses and gaps in specific skills)</li> <li>—A forecast of future leadership requirements and changes due to retirement and other losses</li> <li>—Inclusion of all demographic groups <ul style="list-style-type: none"> <li>▪ A succession planning process based on workforce analysis is in place that considers current and future leadership needs to meet strategic and performance plans. The plan includes: <ul style="list-style-type: none"> <li>—Specific goals and identification of leadership positions needed</li> <li>—Target positions and key leadership competencies [i.e., a leadership competency model based on the Office of Personnel Management (OPM) executive core qualifications (ECQs) plus appropriate agency specific competencies]</li> <li>—Potential sources of talent (e.g., internal, other Government, non-Government) that best support the agency’s mission and culture</li> <li>—Recruitment or development strategies needed to ensure availability of well qualified staff to fill leadership positions at all levels including identification of high-potential employees and establishment of a formal Senior Executive Service (SES) candidate development program, other merit-based methods of developing future executives, and/or other appropriate development programs <ul style="list-style-type: none"> <li>▪ The agency conducts regular assessments of leadership policies and performance of its leaders to ensure that succession-planning goals (e.g., recruitment and retention of high-performing leaders) are being met.</li> </ul> </li> </ul> </li> </ul> </li> </ul>
<ul style="list-style-type: none"> <li>▪ Invests in an SES candidate development program linked to the ECQs (OCR: AF/DPS)</li> <li>▪ Provides mentoring to new and prospective leaders <ul style="list-style-type: none"> <li>▪ Invests in first-line supervisors to ensure they have the competencies to direct the day-to-day work of the agency</li> <li>▪ Includes an “employee development” performance indicator for managers and senior leaders.</li> </ul> </li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ The agency leadership has demonstrated its commitment to leadership development through dedication of resources (e.g., appropriate percentage of salaries set aside specifically for leadership development) to develop current and future leaders <ul style="list-style-type: none"> <li>▪ Trained mentors are available to employees participating in development programs</li> </ul> </li> </ul> <p><b>Compliance Indicator</b></p> <ul style="list-style-type: none"> <li>▪ As prescribed by 5 CFR 412, the agency has established a system to provide: <ul style="list-style-type: none"> <li>—The competencies needed by supervisors, managers, and executives to perform their current functions at the mastery level of proficiency</li> <li>—Learning through development and training in the context of succession planning and corporate perspective to prepare individuals for advancement.</li> </ul> </li> </ul>

<p>Invests in the continuous development of senior leadership</p>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ Leadership skill training and development programs address the needs of each level of management (e.g., supervisors, managers, executives, and potential leaders). These programs have been communicated to all levels of management and potential leaders and are reflected in Individual Development Plans (IDPs) for this group</li> <li>▪ Training and development needs are identified in IDPs by obtaining input from multiple sources (e.g., customers, peers, subordinates, supervisors). IDPs are monitored and include training and experiential development. Identified needs are generally being met <ul style="list-style-type: none"> <li>▪ The agency’s annual training needs assessment reflects needs identified in IDPs. Training is targeted to meet the most commonly identified needs</li> <li>▪ Employee survey results, including the Federal Employee Viewpoint Survey (formerly the Federal Human Capital Survey), indicate that employees believe that leadership development receives appropriate emphasis and dedicated resources and results in effective leaders who are a source of motivation</li> <li>▪ Agency leadership development programs are analyzed against agency measures of success to determine usage and impact including statistical data on average grade or pay band/age/length of service, diversity, attrition, and retirement eligibility. The analysis is documented and used by senior management to make decisions about leadership development issues and resource allocation.</li> </ul> </li> </ul> <p><b>Compliance Indicator</b></p> <ul style="list-style-type: none"> <li>▪ The agency has a program to provide training to managers on actions, options, and strategies to use in (1) communicating with employees whose performance is unacceptable, and (2) mentoring employees and improving employee performance and productivity as prescribed by the Federal Workforce Flexibility Act.</li> </ul>
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**REMINDER**

**KEY ELEMENTS** = WHAT you should do

**SUGGESTED PERFORMANCE INDICATORS** = visible evidence of those Key Elements

- Effectiveness indicators may be visible thru a formalized leadership succession program and documented plan to identify and develop potential leaders (identifies potential gaps in leadership succession)
- Established minimum training requirements for supervisors and managers to include new supervisor training or formal mentorship or training programs
- AFI 36-401, Attch 2, Para A 2., states that new supervisors must receive supervisory training within 6 months of initial assignment to the supervisory position; 5 CFR 412.202(b) that refresher training should be followed up periodically, but at least once every three years

- The list of indicators is not all-inclusive. It may be necessary to look for other performance indicators that show examples of visible evidence of effectiveness & compliance with merit system principles

**Use corresponding LEADERSHIP AND KNOWLEDGE MANAGEMENT (L&KM) CHECKLIST, LEADERSHIP SUCCESSION MANAGEMENT at Appendix A**

### 3.2. Change Management

#### Results

According to the OPM HCAAF, the results or desired effects shown below are those you can expect when your organization has effectively implemented the key elements of the Change Management critical success factor.

**Effectiveness Result:** The agency has in place leaders who understand what it takes to effectively bring about changes that achieve significant and sustained improvements in performance

**Compliance Result:** Not applicable.

Table 3.2 provides the key elements and suggested performance indicators for the Change Management critical success factor.

#### Key Elements and Suggested Performance Indicators

**Table 3.2. Change Management**

Key Elements	Suggested Performance Indicators
<p><i>The agency has a change management system in which leaders:</i></p> <ul style="list-style-type: none"> <li>▪ Provide adequate resources to support the change</li> <li>▪ Take visible actions to support new ways of working</li> <li>▪ Understand there is a need for a change process and facilitate the change management process by monitoring and addressing problems in the transition process</li> <li>▪ Hold people accountable for performance results and meeting their commitments to the change process</li> <li>▪ Focus on performance and progress against change milestones</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ Annual performance plans, budgets, and performance reports document plans for and progress toward change goals</li> <li>▪ Individual performance plans rate leaders and managers on their implementation of change initiatives</li> <li>▪ Newsletters, intranet, and other agency media show efforts to share a vision for change</li> <li>▪ The agency has a strategy and plan for communication of change</li> <li>▪ The Federal Employee Viewpoint Survey (Fed View) and/or other climate surveys are conducted and analyzed and relevant results lead to change in strategy</li> </ul>



#### Helpful Hints

- Visible evidence may be local publication of change management memos addressing significant changes across the organization, AF, etc. or training sessions, commanders’ calls, town hall meetings, etc.
- In cases where survey results are not shared with organizations, focus groups and local employee/leadership surveys may need to be conducted to assess perceptions of change management within the organization

**Use corresponding LEADERSHIP AND KNOWLEDGE MANAGEMENT (L&KM) CHECKLIST, CHANGE MANAGEMENT at Appendix A**

**3.3. Integrity and Inspiring Employee Commitment**

**Results**

According to the OPM HCAAF, the results or desired effects shown below are those you can expect when your organization has effectively implemented the key elements of the Integrity and Inspiring Employee Commitment critical success factor.

**Effectiveness Result:**

- Leaders maintain high standards of honesty and ethics that serve as a model for the whole workforce; employees respond by maintaining high standards of honesty and ethics
- Leaders promote teamwork and communicate the organization’s shared vision to all levels of the organization, and seek feedback from employees

**Compliance Result:** The agency complies with the Ethics in Government Act of 1978 and other statutory and governing guidance compiled by the Office of Government Ethics to cover conflict of interest and ethics. The agency also complies with its own supplemental standards of conduct

Table 3.3 provides the key elements and suggested performance indicators for the Integrity and Inspiring Employee Commitment critical success factor.

**Key Elements and Suggested Performance Indicators**

**Table 3.3. Integrity and Inspiring Employee Commitment**

Key Elements	Suggested Performance Indicators
<p><i>Employee integrity and commitment is in evidence when:</i></p> <ul style="list-style-type: none"> <li>▪ Senior leaders foster an environment of open communication (top-down and bottom-up communication) throughout the agency</li> <li>▪ Employees view the agency as a desirable place to work</li> <li>▪ Teamwork is valued and rewarded in the agency</li> <li>▪ Agency policies reinforce the Office of Government Ethics Standards of Ethical Conduct for Executive Branch Employees and, at a minimum,</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ The Federal Employee Viewpoint Survey (FedView) and/or other employee climate surveys reflect a positive, committed work environment</li> <li>▪ Human resources staff, in partnership with management, seeks and considers continuous feedback from employees (e.g., focus groups) regarding workplace environment and responds to feedback with appropriate action</li> <li>▪ Agency has been cited in applicant feedback and media stories as an employer of choice</li> </ul>

<p>meet the Office’s requirements for ethics training. Ethical behavior and standards are included in competencies for all employees. Programs for identifying violations exist and leaders take appropriate disciplinary actions</p> <p><i>Employee integrity and commitment is in evidence when:</i></p>	<ul style="list-style-type: none"> <li>▪ Agency awards policy promotes teamwork through the use of group awards and communication of group successes</li> <li>▪ Agency analyzes trends across management indicators such as per capita overtime, worker’s compensation charges, sick leave usage, forfeiture of annual leave, turnover, removal of probationers, disciplinary actions, adverse actions (5 CFR part 752), and exit interviews <ul style="list-style-type: none"> <li>▪ Senior leaders sign statements of conduct or agency-wide declarations</li> <li>▪ The Federal Employee Viewpoint Survey (Fed View) (formerly the Federal Human Capital Survey) and/or other employee surveys report that an ethical climate exists, that employees are aware of their whistleblower rights and other personnel protections, and they are likely to report wrongdoing</li> <li>▪ Agency has a whistleblower support and Inspector General hotline program; activities are recorded and analyzed <ul style="list-style-type: none"> <li>▪ Communication strategies include a variety of media to convey senior leadership’s message to the workforce</li> <li>▪ Agency has a positive record in program reviews and congressional reviews</li> </ul> </li> </ul> </li> </ul> <p><b>Compliance Indicators</b></p> <ul style="list-style-type: none"> <li>▪ Agency is certified by the Office of Special Counsel to be in compliance with the 5 U.S.C 2302(c) requirement that the workforce be informed of whistleblower rights and other personnel protections <ul style="list-style-type: none"> <li>▪ Provides current and future leaders with an annual course on Government ethics</li> </ul> </li> </ul>
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**Did You Know?**

- Effectiveness indicators may be visible thru survey results from the Federal Government’s Annual Employee Survey (AES), bi-annual Federal Employee Viewpoint (FEDVIEW) surveys, and/or other employee climate surveys (results issued to Unit Commanders for dissemination to the workforce and posted on Air Force Portal., etc.)

**-Use corresponding L&KM CHECKLIST, INTEGRITY at Appendix A**

**3.4. Continuous Learning**

**Results**

According to the OPM HCAAF, the results or desired effects shown below are those you can expect when your organization has effectively implemented the key elements of the Continuous Learning critical success factor.



**Effectiveness Results:**

- The agency has achieved a culture of continuous learning through investments in education, training, and other developmental opportunities that help employees build mission-critical competencies
- Training and development initiatives and strategies support mission-critical competencies, are linked to the agency mission, and have demonstrated a positive impact on agency mission performance
- The agency uses appropriate learning technology and innovative learning strategies to meet the training and development needs of the workforce
- The agency has developed and implemented a process to evaluate its training and development program impact in terms of learning, performance, work environment, and contribution to mission accomplishment. The results of the evaluation reflect a positive contribution to mission accomplishment

**Compliance Results:**

- As prescribed by the CHCO Act of 2002 (5 U.S.C. 1402), the agency CHCO has developed and advocates a culture of continuous learning to attract and retain employees with superior abilities and sets the workforce development strategy
- The agency’s training programs comply with the provisions of 5 U.S.C. 4101 and 5 CFR 410 and 412
- As provided in the CHCO Act of 2002 (5 U.S.C. 1304), the agency:
  - Sustains a culture that cultivates and develops a high-performing workforce
  - Develops and implements a knowledge management strategy supported by appropriate investment in training and technology

Table 3.4 provides the key elements and suggested performance indicators for the Continuous Learning critical success factor.

**Key Elements and Suggested Performance Indicators**

**Table 3.4. Continuous Learning**

Key Elements	Suggested Performance Indicators
<p><i>The agency has a continuous learning system that:</i></p> <ul style="list-style-type: none"> <li>▪ Is based on accurate information from IDPs and an annual organizational needs analysis</li> <li>▪ Focuses on mission-critical occupations</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ A training needs assessment is conducted that is linked to strategic and mission-critical competencies. Based on assessment results, employees are trained in specific, job-related skills and knowledge           <ul style="list-style-type: none"> <li>▪ Training programs are designed and implemented which build competencies that are important to strategic goals and objectives and the agency’s performance plan execution               <ul style="list-style-type: none"> <li>—Competency-based career development programs, including various development activities and learning opportunities, have been implemented and documented and are being used by employees</li> <li>—Competency models have been established which document standards for competency levels (e.g., entry,</li> </ul> </li> </ul> </li> </ul>

<ul style="list-style-type: none"><li>▪ Uses a wide variety of methods including classroom training, distance learning, mentoring, and experiential learning</li><li>▪ Encourages attendance at conferences, workshops, and seminars</li> <li>▪ Is properly funded, monitored, and evaluated</li><li>▪ Is administered fairly</li></ul>	<p>journey, expert)</p> <ul style="list-style-type: none"><li>▪ IDPs, or a similar process, are established for employees in mission critical occupations. IDP completion is tracked and review indicates that IDPs are being completed in most cases</li><li>▪ Performance evaluations reflect consideration of employee developmental training and developmental needs. Review indicates that action is usually taken to follow through on meeting these needs</li><li>▪ Agency policy and practice reflect that responsibility for employee development is shared between employees and managers</li></ul> <p><b>Compliance Indicators</b></p> <ul style="list-style-type: none"><li>▪ In accordance with 5 CFR 410, the agency assesses training needs annually</li><li>▪ The agency closes skill gaps in mission-critical occupations in accordance with the CHCO Act (5 U.S.C. 1304)</li></ul> <p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"><li>▪ The agency conducts an analysis to select and implement the best array of learning strategies (e.g., rotational assignment, shadowing, mentoring) for the targeted audience(s) to provide them with mission critical competencies</li><li>▪ Learning technology and other alternative learning strategies are reflected in the agency’s strategic Human Capital planning documents and training plans</li><li>▪ Where appropriate, the agency has implemented e-learning activities such as eGov Online Learning Center</li><li>▪ The agency has invested in the infrastructure necessary to leverage learning opportunities that include the application of reasonable accommodation, where justified by return-on-investment analysis.</li><li>▪ Leaders are responsible for leadership development and emphasize the value of learning, foster learning opportunities for employees, and demonstrate their support through personal involvement and resource allocation decisions. For example, they:<ul style="list-style-type: none"><li>—Set aside a percentage of salary dollars for employee training and development</li><li>—Provide tuition assistance for formal education</li><li>—Establish long-term technical development programs</li><li>—Fund employee certification requirements as authorized</li></ul></li><li>▪ Policies, practices, and resource allocation decisions demonstrate agency support for continuous learning</li></ul> <p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"><li>▪ Employee survey results, including the Federal Human Capital Survey, indicate that employees believe they have appropriate opportunities to develop skills through training and experience</li><li>▪ Analysis of education, training, and development opportunities shows no disparate treatment of segments of the workforce (i.e., training is appropriately aligned with workforce planning goals, priorities are based on available funding, and opportunities are provided equitably across the employee population)</li><li>▪ A training evaluation system has been implemented</li></ul>
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	<p>which measures the impact of training at the following levels:</p> <ul style="list-style-type: none"> <li>—Did learning occur?</li> <li>—Was learning applicable to job performance or other behavior that is important to the organization and to results?</li> <li>—Did the employee apply the learning or behavior to his/her job or work environment?</li> <li>—If the employee applied the learning, did it have the expected impact on performance or other job-related behavior? <ul style="list-style-type: none"> <li>▪ An analysis has been conducted of the evaluation results and this information is used to make decisions about investments in employee training and development. Generally, the evaluation indicates that training and development investments are making a positive impact on the organization's performance and/or work environment and meet the training goals and expectations established between supervisors and employees prior to participation in training</li> </ul> </li> </ul> <p><b>Compliance Indicators</b></p> <ul style="list-style-type: none"> <li>▪ As prescribed by the Federal Workforce Flexibility Act, the agency has evaluated each training program or plan established, operated, or maintained with respect to accomplishing specific performance plans and strategic goals in performing the agency mission; and the agency has modified such programs or plans to accomplish goals</li> <li>▪ As established by 5 CFR 410.601, the agency evaluates training to determine how well it meets short- and long-range program needs by occupations, organizations, or other appropriate groups</li> </ul>
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**Additional Effectiveness Indicators**

Effectiveness indicators may be visible thru leadership and budget support of employee developmental programs, results of training needs assessments, manager and employee shared accountability for employee development thru use of individual development plans or career development plans, and organizational use of computer based training in support of workforce development.

**NOTE:** AFI 36-401 requires supervisors to prepare formal training plans within the first 30 days of employee assignment to a formal training program, (e.g., Palace Acquire (PAQ) Intern Program)

**Use corresponding L&KM CHECKLIST, CONTINUOUS LEARNING at Appendix A**

**3.5. Knowledge Management**

**Results**

According to the OPM HCAAF, the results or desired effects shown below are those you can expect when your organization has effectively implemented the key elements of the Knowledge Management critical success factor.

**Effectiveness Results:**

- The agency has developed and implemented a knowledge management process that provides a means to share critical knowledge across the organization. Leadership also encourages and rewards knowledge sharing
- Information technology tools that facilitate gathering and sharing knowledge within and outside the agency are available to employees to improve individual and organizational performance

**Compliance Results:** As prescribed in the Chief Human Capital Officers (CHCO) Act of 2002 (5 U.S.C. 1304), the agency has developed and implemented a knowledge management strategy supported by appropriate investments in training and technology

Table 3.5 provides the key elements and suggested performance indicators for the Knowledge Management critical success factor.

**Key Elements and Suggested Performance Indicators**

**Table 3.5. Knowledge Management**

Key Elements	Suggested Performance Indicators
<p><i>The agency has a knowledge management system that:</i></p> <ul style="list-style-type: none"> <li>▪ Captures, indexes, processes, and easily retrieves data that may be composed of text, audio, video, and Web-based elements</li> <li>▪ Facilitates the sharing of knowledge and best practices throughout the agency</li> <li>▪ Maintains active participation in communities of practice outside the agency</li> <li>▪ Establishes communities of practice for sharing key knowledge at all managerial and leadership levels</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ A knowledge management process has been developed, documented, and systematically shared with employees. Training and/or orientation is provided to the workforce. An infrastructure which facilitates knowledge capture, indexing, processing, and retrieval is established to support knowledge sharing through the use of the intranet, shared networks, and communities of practice and/or best practices               <ul style="list-style-type: none"> <li>▪ The agency has analyzed the use of the knowledge-sharing process and established the utility and usage of the process and tools                   <ul style="list-style-type: none"> <li>—Knowledge sharing has been established as an organizational value through management communications and recognition of employees who exemplify the practice of knowledge sharing</li> <li>—Requirements and specifications for tools support work performed by employees</li> </ul> </li> <li>▪ The agency has begun codifying knowledge through the use of the intranet, shared networks, and communities of practice and/or best practices</li> </ul> </li> </ul> <p><b>Compliance Indicator</b></p> <ul style="list-style-type: none"> <li>▪ As prescribed in the CHCO Act (5 U.S.C. 1304), the agency has developed and implemented a knowledge management strategy supported by appropriate investments in training and technology</li> </ul>



### **Helpful Hint**

Effectiveness indicators may be visible thru a documented process and/or program that encourages sharing of corporate knowledge, formal or informal mentoring programs, career broadening, on-the-job training and/or CoPs, intranet, and shared networks

**Use corresponding L&KM CHECKLIST, KNOWLEDGE MANAGEMENT in Appendix A**

## Chapter 4

### RESULTS-ORIENTED PERFORMANCE CULTURE (ROPC)

The OPM HCAAF defines this system as one “...that promotes a diverse, high-performing workforce by implementing and maintaining effective performance management systems and awards programs.”

#### Standard

The agency has a diverse, results-oriented, high-performing workforce and a performance management system that differentiates between high and low levels of performance and links individual/team/unit performance to organizational goals and desired results effectively.

#### Critical Success Factors

The areas below are the critical success factors within the Results-Oriented Performance Culture system:

**Communication:** The agency has a process for sharing information and ideas about the organization with all employees. This vital process includes eliciting employee feedback and involvement so that all employees play an appropriate role in planning and executing the mission.

**Performance Appraisal:** The agency has a process under which performance is reviewed and evaluated.

**Awards:** The organization takes actions to recognize and reward individual or team achievement that contributes to meeting organizational goals or improving the efficiency, effectiveness, and economy of the Government. Such awards include, but are not limited to employee incentives, which are based on predetermined criteria, rating-based awards, or awards based on a special act or service.

**Pay for Performance:** The agency uses pay-for-performance systems, where authorized by law and regulation, to link salary levels and adjustments to an individual’s overall performance and contribution to the agency’s mission. Employees receive base salary adjustments within their assigned bands.

**Diversity Management:** The agency maintains an environment characterized by inclusiveness of individual differences and responsiveness to the needs of diverse groups of employees.

**Labor/Management Relations:** The organization promotes cooperation among employees, unions, and managers. This cooperation enhances effectiveness and efficiency, cuts down the number of employee-related disputes, and improves working conditions, all of which contribute to improved performance and results.

## Applicable Merit System Principles

The following merit system principles are especially relevant to the Results-Oriented Performance Culture system (5 U.S.C. 2301):

- All employees and applicants for employment should receive fair and equitable treatment in all aspects of personnel management without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition, and with proper regard for their privacy and constitutional rights. [5 U.S.C. 2301(b)(2)]
- Equal pay should be provided for work of equal value, with appropriate consideration of both national and local rates paid by employers in the private sector, and appropriate incentives and recognition should be provided for excellence in performance. [5 U.S.C. 2301(b)(3)]
- Employees should be retained on the basis of adequacy of their performance, inadequate performance should be corrected, and employees should be separated who cannot or will not improve their performance to meet required standards. [5 U.S.C. 2301(b)(6)]

## Metrics

The Results-Oriented Performance Culture system is the second of the three systems with required outcome metrics. Again, *required metrics* focus on Human Capital management outcomes and are required for Government wide reporting. The metrics are also designed to assist organizations in accomplishing the standards for the three systems that implement strategic Human Capital plans and programs. The following are required outcome metrics under this system:

Required Metric	Description	Purpose
<b>Organization Metric:</b> SES Performance/Organizational Performance Relationship as Linked to Mission.	Relationship between SES performance ratings and accomplishment of the agency's strategic goals.	To determine the extent to which SES appraisals and awards are appropriately based on achievement of organizational results.
<b>Organization Metric:</b> Workforce Performance Appraisals Aligned to Mission, Goals, and Outcomes.	Degree of linkage between employees' performance appraisal plans and agency mission, goals, and outcomes.	To determine whether all employees have performance appraisal plans that effectively link to the agency's mission, goals, and outcomes.
<b>Employee Perspective Metric:</b> Questions from Annual Employee Survey about Performance Culture.	<i>Items from the Annual Employee Survey</i>	To determine the extent to which employees believe their organizational culture promotes improvement in processes, products and services, and organizational outcomes.
<b>Merit System Compliance Metric:</b> Merit- Based Execution of the Performance Culture System.	<b>**An assessment of compliance with merit system principles and related laws, rules, and regulations governing the Performance Culture system.</b>	To determine that decisions, policies, processes, and practices executed under the Performance Culture system comply with the merit system principles and related laws, rules, and regulations.

\*\* Performance Culture System compliance assessments will be addressed separately under Appendix B.

Additionally, the OPM HCAAF suggests the following metrics:

Required Metric	Description	Purpose
Performance Ratings	*Percent of employees achieving each rating level used in an agency’s performance appraisal system in relation to organizational and individual performance.	To track the extent to which agencies make meaningful distinctions among employees’ performance
Awards	*Relationship of the distribution of performance ratings to awards.	To track the extent to which agency monetary awards reflect employee performance.
Respect for Diversity	*Items from Annual Employee Survey	To determine the extent to which employees believe that their organizations are respectful of and welcoming to the great diversity that makes up the Federal workforce.
Employee Grievances and Complaints	** <i>Review of formal grievances and complaints</i>	To determine whether the underlying facts of complaints and grievances indicate agency mistake or wrongdoing.

 **Helpful Hint**

Items denoted by “\*” require that you obtain and maintain metric data from survey results or other data documenting employee rating levels, awards distribution, and perceptions regarding the Diversity Program.

**4.1. Communication**

**Results**

According to the OPM HCAAF, the results or desired effects shown below are those you can expect when your organization has effectively implemented the key elements of the Communication critical success factor.

**Effectiveness Results:**

- The agency’s strategic plan has been shared with and/or is accessible to all agency employees. Employees are knowledgeable about the agency’s strategic plan and their role in supporting the agency’s mission
- Employees have a direct line of sight between performance elements (performance expectations), award systems and the agency mission. These links have been communicated to and are understood by employees, enabling them to focus their work effort on those activities that are most important to mission accomplishment. All employees are held accountable for achieving results that support the agency’s strategic plan goals and objectives

**Compliance Result:** Not applicable.

Table 4.1 provides the key elements and suggested performance indicators for the Communication critical success factor.



## Key Elements and Suggested Performance Indicators

**Table 4.1. Communication**

Key Elements	Suggested Performance Indicators
<p><i>The agency has a continuous learning system that:</i></p> <ul style="list-style-type: none"> <li>Ensures that employees understand the agency’s mission, goals, and objectives and what employees’ roles are in achieving the mission, goals, and objectives</li> <li>Elicits employee feedback and involvement in decision-making and planning processes</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>The agency has developed and implemented a communication strategy to share the vision, strategic plan, and related documents (e.g., Strategic Human Capital Plan) with all employees <ul style="list-style-type: none"> <li>A variety of media are used to communicate the strategic plan and related documents to all levels of the workforce</li> <li>Surveys and/or interview data/summaries indicate that employees are aware of the strategic plan goals and understand how they relate to the agency’s mission and their duties</li> </ul> </li> </ul> <p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>Communication up and down the organization is effective. Documentation shows innovation and problem solving between employees and management <ul style="list-style-type: none"> <li>Employees are involved in the decision-making process, fostering their support for organizational decisions. Surveys and/or interviews indicate that employees are satisfied with their level of participation in the organizational decision-making process and feel empowered to share their ideas and/or concerns with supervisors and other management officials</li> </ul> </li> </ul>



### HELPFUL HINTS

**KEY ELEMENTS** = **WHAT** you should do

**SUGGESTED PERFORMANCE INDICATORS** = visible evidence of those Key Elements

- Effectiveness indicators may be visible thru ongoing communication efforts to support organizational change, results of employee surveys or feedback questionnaires and evidence of communication thru intranet, CoPs, Town Hall meetings, Commanders’ Call, and newsletters
- The list of indicators is not all-inclusive; may be necessary to look for other performance indicators that show examples of visible evidence of effectiveness & compliance with merit system principles

Use corresponding **RESULTS-ORIENTED PERFORMANCE CULTURE (ROPC) CHECKLIST, COMMUNICATION** at Appendix A

## 4.2. Performance Appraisal

### Results

According to the OPM HCAAF, the results or desired effects shown below are those you can expect when your organization has effectively implemented the key elements of the Performance Appraisal critical success factor.

**Effectiveness Results:**

- Employees have a direct line of sight between performance elements (performance expectations) and recognition systems and the agency mission. These links have been communicated to and are understood by employees, enabling them to focus their work effort on those activities that are most important to mission accomplishment
- All employees are held accountable for achieving results that support the agency’s strategic plan goals and objectives
- The agency’s performance management system differentiates between high and low levels of performance
- Agencies with a high percentage of outstanding ratings also demonstrate a high level of achievement of their strategic goals and objectives and/or program accomplishments as reflected in the agency annual performance plan
- Supervisors and managers use performance results to offer feedback, identify developmental needs to help improve employee performance and address instances of poor performance

**Compliance Results:**

- The agency has an OPM-approved performance appraisal system(s) in place and administers the system(s) in accordance with 5 U.S.C. 43; or other congressionally-mandated enabling legislation
- The agency CHCO carries out workforce development provisions of the CHCO Act of 2002 (5 U.S.C. 1402)

Table 4.2 provides the key elements and suggested performance indicators for the Performance Appraisal critical success factor

**Key Elements and Suggested Performance Indicators**

**Table 4.2. Performance Appraisal**

Key Elements	Suggested Performance Indicators
<p><i>The agency has a performance appraisal system that:</i></p> <ul style="list-style-type: none"> <li>▪ Aligns employee performance plans with organizational goals</li> <li>▪ Focuses employees on achieving results</li> <li>▪ Requires employee performance plans to include clear performance elements (expectations) with measurable standards of performance</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ Work units have documented performance goals and objectives that are linked to the agency strategic plan and performance plan</li> <li>▪ Performance elements (expectations) for employees are:               <ul style="list-style-type: none"> <li>—Aligned with organizational goals</li> <li>—Clear, specific, and understandable</li> <li>—Reasonable and attainable</li> <li>—Measurable, observable, or verifiable, and results oriented</li> <li>—Communicated in a timely fashion</li> <li>—Key in fostering continual improvement in productivity</li> </ul> </li> </ul> <p><b>Compliance Indicators</b></p> <ul style="list-style-type: none"> <li>▪ Agency managers plan and communicate performance elements (expectations) and standards that are linked with strategic planning initiatives in accordance with the Executive Performance and Accountability Interim Rule (5 CFR 430 and</li> </ul>

	<p>1330) and AFI 36-1001</p> <ul style="list-style-type: none"><li>▪ In accordance with 5 CFR 430 subparts b and c, performance plans must:<ul style="list-style-type: none"><li>— Be issued at the beginning of the appraisal period</li><li>— Include at least one critical element</li><li>— For SES, must include balanced measures of business results, employee, and customer perspectives</li></ul></li><li>▪ Senior employee ratings (as well as subordinate employees' expectations and ratings for those with supervisory responsibilities) appropriately reflect the employee's performance elements (performance expectations), relevant program performance measures, and any other relevant factors in accordance with the Executive Performance and Accountability Interim Rule (5 CFR 430 or applicable agency directives and 1330)</li><li>▪ As stated in 5 CFR 430.204, or applicable agency directives, the agency has established employee performance plans, including, but not limited to, critical elements and performance standards</li></ul>
<ul style="list-style-type: none"><li>▪ Makes meaningful distinctions in levels of performance</li><li>▪ Provides a process for dealing with poor performance</li></ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"><li>▪ The agency performance appraisal systems for other than senior executive and senior professional employees provides for meaningful performance. These systems include multiple levels against which to appraise employees. The rating levels identified are appropriate to the employees covered by the system [e.g., four or five levels for systems certified by the Office of Personnel Management (OPM) covering Senior Executive Service (SES) employees]</li><li>▪ Agency performance appraisal systems <b>for other than</b> senior executive and senior professional employees provide for adequately distinguishing between levels of performance (i.e., include multiple performance levels against which to appraise employees, with at least one summary rating level above “Fully Successful”). A review of performance plans indicates that performance standards are clear and understandable and are an effective tool for distinguishing between levels of performance</li><li>▪ A high number of outstanding performance ratings or large cash awards is supported by achievement of strategic goals and objectives and/or program goals as reflected in the agency's annual performance report</li></ul> <p><b>Compliance Indicators</b></p> <ul style="list-style-type: none"><li>▪ Performance information is used to adjust pay or reward, reassign, develop, and remove senior executives or make other personnel decisions in accordance with 5 CFR 430.304; and for all other employees in accordance with 5 CFR 430 or applicable agency directives</li><li>▪ To satisfy the requirements of the Executive Performance and Accountability Interim Rule (5 CFR 430 and 1330 or applicable agency directives), the agency's certified performance appraisal system for senior employees provides for performance differentiation so that its annual ratings, pay adjustments, and awards result in meaningful distinctions based on relative performance</li></ul> <p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"><li>▪ Policies and procedures, including delegation of authority, for addressing poor performance have been</li></ul>

<ul style="list-style-type: none"> <li>▪ Involves employees in the development of their performance plans</li> <li>▪ Requires that employees receive feedback on their performance</li> </ul>	<p>developed and communicated to supervisors</p> <ul style="list-style-type: none"> <li>▪ Analysis is performed to identify the cause of any organizational or individual performance shortfalls, and appropriate performance improvement strategies are identified and implemented</li> </ul> <p><b>Effectiveness Indicator</b></p> <ul style="list-style-type: none"> <li>▪ The agency performance appraisal system encourages employee participation in establishing performance plans</li> </ul> <p><b>Compliance Indicators</b></p> <ul style="list-style-type: none"> <li>▪ Employees are covered by recorded performance plans, which are communicated to employees at the beginning of each appraisal period. Plans include critical elements and performance standards, in accordance with 5 CFR 430 or applicable agency directives</li> <li>▪ Employee performance is monitored by the supervisor and discussed with the employee on an ongoing basis during the designated appraisal period, with one or more progress reviews conducted and documented, in accordance with 5 CFR 430 or applicable agency directives</li> <li>▪ Employees are given ratings of record at the end of each appraisal period and/or at other appropriate times during the appraisal period in accordance with 5 CFR 430 or applicable agency directives</li> <li>▪ The agency encourages employee participation in establishing performance plans as stated in 5 CFR 430.206 or applicable agency directives</li> </ul> <p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ Performance elements (performance expectations) for senior executives, managers, and supervisors are: <ul style="list-style-type: none"> <li>—Aligned with organizational goals</li> <li>—Clear, specific, and understandable</li> <li>—Reasonable and attainable</li> <li>—Measurable, observable, or verifiable, and results oriented</li> <li>—Balanced between expected results and other indicators such as leadership behaviors and employee and stakeholder feedback</li> <li>—Communicated in a timely fashion</li> <li>—Key in fostering continual improvement in productivity</li> </ul> </li> <li>▪ All supervisors, managers, and executives receive training on performance management and coaching/feedback techniques <ul style="list-style-type: none"> <li>▪ Sources of data (e.g., Federal Human Capital Survey, upward feedback, multi-rater assessment) indicate that supervisors, managers, and executives demonstrate effective performance management and coaching/feedback skills</li> <li>▪ Reviews of performance plans for all levels of the agency indicate that supervisors, managers, and executives are held accountable for the performance management of their subordinates</li> </ul> </li> </ul> <p><b>Compliance Indicators</b></p> <ul style="list-style-type: none"> <li>▪ The agency has established and implemented a specific training program for managers in accordance with the Federal Workforce Flexibility Act that provides training on actions, options, and strategies a manager may use in: <ul style="list-style-type: none"> <li>—Communicating with employees whose performance is unacceptable</li> </ul> </li> </ul>
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<ul style="list-style-type: none"> <li>▪ Establishes a process for periodically evaluating the effectiveness of the appraisal system so that the agency can use the evaluation data to improve the system</li> </ul>	<p>—Mentoring employees and improving employee performance and productivity</p> <p><b>Effectiveness Indicator</b></p> <ul style="list-style-type: none"> <li>▪ The agency regularly tracks performance and reports results</li> <li>▪ Survey results and/or interviews indicate that employees understand their performance elements (performance expectations), consider them to be fair, and understand how their efforts contribute to mission accomplishment</li> <li>▪ Workforce survey results indicate that employees perceive a linkage between high performance and recognition and awards. Employees also believe that creativity and innovation are rewarded and that their own performance evaluations properly reflect their level of performance</li> <li>▪ Statistical data for performance ratings and awards, in the context of an empirical review of the performance decision-making process, show appropriate distribution and meaningful distinctions</li> <li>▪ Statistical data for performance ratings and awards show appropriate distribution and meaningful distinctions (e.g., top performers are rewarded)</li> </ul> <p><b>Compliance Indicator</b></p> <p>The agency's performance appraisal system(s) and program(s) are evaluated in accordance with 5 CFR 430 or applicable agency directives</p>
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### Things to Keep in Mind

You may look for evidence of employee performance expectations, linkage to agency mission, and other key elements of the Performance Appraisal Critical Success Factor by reviewing:

- Official position descriptions
- Documented goals and standards for work units
- Tracking systems that monitor and report performance results [analysis of Business Objects (BO) reports]
- Climate surveys (e.g., Unit Climate Assessments, etc.) or employee surveys (e.g., Federal Employee Viewpoint Survey or climate assessments, etc.) that indicate employees understand their expected performance objectives, that awards are given fairly, and that they feel valued and recognized for performance
- Documentation of completion of supervisor/manager training on development and requirements of performance objectives and appraisals
- That supervisory/managerial performance plans hold them accountable for employee performance management

**Use corresponding ROPC CHECKLIST, PERFORMANCE APPRAISAL at Appendix A**

### 4.3. Awards

#### Results

According to the OPM HCAAF, the results or desired effects shown below are those you can expect when your organization has effectively implemented the key elements of the Awards critical success factor.

#### Effectiveness Results:

- Employees have a direct line of sight between performance elements (performance expectations) and recognition systems and the agency mission. These links have been communicated to and are understood by employees, enabling them to focus their work effort on those activities that are most important to mission accomplishment
- All employees are held accountable for achieving results that support the agency’s strategic plan goals and objectives
- The agency has created a “reward environment,” beyond compensation and benefits, that contributes to attracting, retaining, and motivating employees

**Compliance Results:** The agency has developed one or more awards programs for its employees that obligates funds, and documents awards justifications in accordance with 5 CFR 451

Table 4.3 provides the key elements and suggested performance indicators for the Awards critical success factor

#### Key Elements and Suggested Performance Indicators

**Table 4.3. Awards**

Key Elements	Suggested Performance Indicators
<p><i>The agency has an awards system that:</i></p> <ul style="list-style-type: none"> <li>▪ Is aligned with organizational goals and values</li> <li>▪ Has clear criteria for awards that are communicated effectively so that employees understand the purpose of the awards</li> <li>▪ Includes a variety of types of awards (e.g., formal, monetary, nonmonetary, time-off) so that supervisors have a wide range of tools available to recognize performance</li> <li>▪ Provides incentives for performing at an exemplary level</li> <li>▪ Recognizes top performers appropriately               <ul style="list-style-type: none"> <li>▪ Establishes a process for periodically evaluating the effectiveness of the awards system so that the agency can use the evaluation data to improve the system</li> </ul> </li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ The agency has designed, communicated, and implemented an awards program that is aligned with organizational goals, based on clear criteria, and tailored to the interests and priorities of the agency’s workforce.</li> <li>▪ The agency uses a variety of monetary and nonmonetary awards (e.g., certificates, recognition in agency publications, award ceremonies)</li> <li>▪ Executives, managers, and supervisors receive training on awards that are available and how to use them to attract, retain, and motivate employees</li> <li>▪ Surveys and/or interviews indicate that employees feel valued and appropriately recognized for performance</li> </ul> <p><b>Compliance Indicator</b></p> <ul style="list-style-type: none"> <li>▪ The agency communicates with employees and supervisors about awards programs, evaluates its programs, documents awards appropriately, and gives due weight to awards in qualifying and selecting employees for promotion promoting employees in accordance with 5 U.S.C. 3362</li> </ul>



### Additional Effectiveness Indicators

- Analyses of BO reports showing award distribution and types
- Documentation showing supervisors and managers have been trained on available monetary and non-monetary awards
- Unit Climate Assessments or other surveys indicate employees feel awards are given fairly and that they feel valued and recognized for performance
- Documentation reflecting that the AF Civilian Recognition Program has been communicated to managers, supervisors, and employees

**Use corresponding ROPC CHECKLIST, AWARDS at Appendix A and COMPLIANCE CHECKLIST at Appendix B**

#### 4.4. Pay for Performance

##### Results

According to the OPM HCAAF, the results or desired effects shown below are those you can expect when your organization has effectively implemented the key elements of the Pay-for-Performance critical success factor.

##### Effectiveness Results:

- The pay-for-performance system, where authorized by law and regulation, is results-driven, producing a distribution of pay adjustments and bonuses based on individual contribution, organizational performance, and/or team performance
- The pay-for-performance system, where authorized by law and regulation, ensures employee and supervisory accountability with respect to individual performance and organizational results
- Employees’ pay is linked to their performance ratings
- Supervisors and managers make meaningful distinctions in performance ratings

**Compliance Results:** Pay adjustments, cash awards, and levels of pay based on the results of the appraisal process accurately reflect and recognize individual performance and/or contribution to the agency’s performance in accordance with applicable agency directives

Table 4.4 provides the key elements and suggested performance indicators for the Pay-for-Performance critical success factor

##### Key Elements and Suggested Performance Indicators

**Table 4.4. Pay for Performance**

Key Elements	Suggested Performance Indicators
<p><i>The agency has an awards system that:</i></p> <ul style="list-style-type: none"> <li>▪ Makes pay distinctions based on performance</li> <li>▪ Includes a transparent process for making</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ An understandable pay pool structure (e.g., roles and responsibilities) and process for making timely pay determinations have been communicated across the agency</li> </ul>

<p>pay adjustments</p> <ul style="list-style-type: none"> <li>▪ Requires clear and frequent communications about the pay system and how it operates</li> </ul> <p><i>When authorized, the agency has a pay-for-performance system that:</i></p>	<p>using a variety of methods (e.g., web sites, handbooks, policies, announcements)</p> <ul style="list-style-type: none"> <li>▪ Managers, supervisors, and employees are oriented and/or trained at the beginning of the performance cycle on the relationship between their performance and salary adjustments and awards at the end of the cycle <ul style="list-style-type: none"> <li>▪ Data on pay pool determinations/discussions indicate: <ul style="list-style-type: none"> <li>—The budget is effectively managed</li> <li>—Top performers are getting the highest pay increases and/or awards.</li> <li>—Employees perceive the process to be fair and credible</li> <li>—Pay adjustments correlate with performance ratings</li> </ul> </li> </ul> </li> </ul> <p><b>Compliance Indicators</b></p> <ul style="list-style-type: none"> <li>▪ For senior employees, individual pay rates and pay adjustments reflect meaningful distinctions based on relative contribution to agency performance in accordance with the Executive Performance and Accountability Interim Rule (5 CFR 430 or applicable agency directives and 1330) <ul style="list-style-type: none"> <li>▪ Pay-for-performance systems, authorized by OPM as part of Demonstration Projects, are evaluated periodically to determine compliance with the Project Plan in accordance with 5 CFR 470.317</li> <li>▪ Pay-for-performance systems authorized by Congress are in compliance with their enabling legislation, regulations, and operating guidance (e.g., DHS HRM system in chapter 97 of title 5, U.S. Code, part 9701 of 5 CFR).</li> </ul> </li> </ul>
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 **Additional Effectiveness Indicators**

- Performance results from climate surveys (e.g., Air Force Climate Survey, Unit Climate Assessments, etc.) or employee surveys (e.g., Federal Employee Viewpoint Survey, etc.) that document positive employee responses
- Narrative reports, or other materials that document an ongoing process of goal-setting, cascading of goals/objectives, and year-to-year feedback

**Use corresponding ROPC CHECKLIST, PAY FOR PERFORMANCE at Appendix A**

**4.5. Diversity Management**

**Results**

According to the OPM HCAAF, the results or desired effects shown below are those you can expect when your organization has effectively implemented the key elements of the Diversity Management critical success factor.



**Effectiveness Results:**

- The agency has implemented a diversity management program and has shown positive results in creating a diverse workforce
- The agency is responsive to the needs of diverse groups, resulting in a positive work environment that is conducive to all employees achieving their potential without fear or abuse

**Compliance Results:**

- The agency ensures equal opportunities for employees without discrimination as prescribed in 5 U.S.C. 7201
- The following pages provide key elements and suggested performance indicators for this critical success factor


Table 4.5 provides the key elements and suggested performance indicators for the Diversity Management critical success factor

**Key Elements and Suggested Performance Indicators**

**Table 4.5. Diversity Management**

Key Elements	Suggested Performance Indicators
<p><b>The agency has a diversity management system that:</b></p> <ul style="list-style-type: none"> <li>▪ Tracks and analyzes workforce diversity trends</li> <li>▪ Develops and implements diversity outreach plans as part of the agency’s overall outreach efforts</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ The agency’s diversity program intent and processes are communicated to all employees</li> <li>▪ Surveys and/or interviews show that the workforce is aware of, and generally supports, diversity program efforts</li> <li>▪ The agency develops and implements diversity programs to improve diversity within the agency including:               <ul style="list-style-type: none"> <li>—A recruitment strategy to reach diverse populations at colleges/universities, minority-focused professional organizations, and other organizations representing women, veterans, people with disabilities, and other groups, as part of the agency’s overall outreach strategy</li> <li>—Encouragement of the participation of diverse groups in occupation focused and leadership training and development programs</li> <li>—Family-friendly policies relating to work schedules, telework, and other workplace flexibilities</li> </ul> </li> <li>▪ The agency’s diversity program is inclusive of all groups and is based on analysis of representation of various groups including people with disabilities, various minority groups, and women               <ul style="list-style-type: none"> <li>▪ The diversity program is actively endorsed and supported by agency senior leadership through policy, budget allocation, and personal endorsements</li> <li>▪ The agency supports forums and activities for recognized interest groups to provide ways to communicate with the workforce about the importance of diversity</li> <li>▪ Managers, supervisors, and employees receive training from an agency-developed, diversity-related training curriculum</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>▪ The respect for diversity index score from OPM’s Federal Employee Viewpoint Survey (formerly the Federal Human Capital Survey) indicates employees perceive that their organization respects and welcomes the diversity that makes up the Federal workforce <ul style="list-style-type: none"> <li>▪ Data on human resources program and system decisions/actions (e.g., complaints, personnel actions such as selections, promotions, and disciplinary actions) are analyzed in the context of empirical information about the agency’s employment practices, to verify that discrimination is not occurring <ul style="list-style-type: none"> <li>▪ The agency provides resources in accessible formats</li> </ul> </li> </ul> </li> </ul> <p><b>Compliance Indicators</b></p> <ul style="list-style-type: none"> <li>▪ The Federal Equal Opportunity Recruitment Program (FEORP) [5 CFR 720.205], the Disabled Veterans Affirmative Action Program (DVAAP) [5 CFR 720.304], and other outreach programs are implemented in accordance with 5 U.S.C. 7201 and the following Federal Equal Employment Opportunity (EEO) laws: <ul style="list-style-type: none"> <li>—Title VII of the Civil Rights Act of 1964 (Title VII)</li> <li>—Equal Pay Act of 1963 (EPA)</li> <li>—Age Discrimination in Employment Act of 1967 (ADEA)</li> <li>—Title I and Title V of the Americans with Disabilities Act of 1990 (ADA)</li> <li>—Sections 501 and 505 of the Rehabilitation Act of 1973</li> <li>—Civil Rights Act of 1991</li> </ul> </li> </ul> <p>[<b>Note:</b> The Equal Employment Opportunity Commission is the jurisdictional authority for the EEO laws listed immediately above, not OPM. These legal citations are listed for Human Capital practitioners’ reference because agencies are subject to them.]</p> <ul style="list-style-type: none"> <li>▪ The agency has published up-to-date policies indicating zero tolerance for sexual harassment and discrimination in the workplace in accordance with EEOC guidelines, including 29 CFR 1604. [<b>Note:</b> This indicator is also under the jurisdiction of the EEOC.]</li> </ul>
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 **Did You Know?**

Effectiveness indicators may be visible thru results of employee workforce surveys (e.g., Unit Climate Assessments/climate surveys, FEDVIEW, etc.) on questions regarding employee perceptions of workforce diversity?

- The installation/base plan requirements for the Federal Equal Opportunity Recruitment Program (FEORP) and the Disabled Veterans Affirmative Action Program (DVAAAP) are incorporated into the annual AF Affirmative Employment Program (AEP) report?
- The Air Force Portal has a link to Diversity; Access AF Portal Featured Links>All Links>AF Diversity, for more information on the AF Diversity program?
- Surveys and/or interviews may indicate that the workforce is aware of, and generally supports, diversity program efforts?

**Use corresponding ROPC CHECKLIST, DIVERSITY MANAGEMENT at Appendix A**

**4.6. Labor/Management Relations**

**Results**

According to the OPM HCAAF, the results or desired effects shown below are those you can expect when your organization has effectively implemented the key elements of the Labor/Management Relations critical success factor.

**Effectiveness Results:** Managers effectively administer contractual and statutory provisions to accomplish agency goals; workplace conflicts are resolved fairly, promptly, and effectively; and managers, union officials, and employees work together to accomplish the agency’s mission through effective communication and problem solving

**Compliance Results:** The agency recognizes the right of employees to organize, bargain collectively, and participate through labor organizations in accordance with chapter 71 of title 5, U.S. Code

Table 4.6 provides the key elements and suggested performance indicators for the Labor/Management Relations critical success factor

**Key Elements and Suggested Performance Indicators**

**Table 4.6. Labor/Management Relations**

Key Elements	Suggested Performance Indicators
<p><b>The agency has a labor/management relations system that:</b></p> <ul style="list-style-type: none"> <li>▪ Provides a process that encourages labor and management to jointly develop successful plans to accomplish organizational goals and to develop effective solutions to workplace challenges</li> <li>▪ Sets the stage for effectively working through Human Capital issues</li> <li>▪ Ensures management is aware of and properly applies collective bargaining agreements and satisfies statutory labor-management relations obligations</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ Data on complaints, grievances, and unfair labor practices are gathered, analyzed, and acted upon as appropriate. Data indicate that problems are usually resolved at the lowest practicable level and that management is complying with contractual and statutory requirements</li> <li>▪ Management works to resolve conflicts promptly and in a manner that enhances agency performance</li> <li>▪ The agency implements an alternative dispute resolution program to resolve employee/labor relations issues. The program achieves documented results in resolving problem situations</li> </ul> <p><b>Compliance Indicator</b></p> <ul style="list-style-type: none"> <li>▪ Recognized labor organizations are afforded the rights established in 5 U.S.C. 7101 or other congressionally-mandated enabling legislation</li> </ul>

\*Compliance assessment requirements of formal grievances and complaints and other areas will be addressed separately under Appendix B



### **Did You Know?**

Effectiveness indicators may be visible thru employee surveys that indicate employees are satisfied with the organizational decision-making process and feel empowered to share ideas and/or concerns with supervisors and other management officials

**Use corresponding ROPC CHECKLIST, LABOR MANAGEMENT RELATIONS at Appendix A**

## Chapter 5

### TALENT MANAGEMENT

The OPM HCAAF defines this system as one “...that addresses competency gaps, particularly in mission-critical occupations, by implementing and maintaining programs to attract, acquire, develop, promote, and retain quality talent.”

#### Standard

The agency has closed skills, knowledge, and competency gaps/deficiencies in mission-critical occupations, and has made meaningful progress towards closing skills, knowledge, and competency gaps/deficiencies in all occupations used in the agency.

#### Critical Success Factors

The Talent Management system is comprised of two critical success factors that work together to ensure that agencies have people with the right skills, in the right places, at the right times. Addressing the critical success factors helps eliminate gaps and deficiencies in the skills, knowledge, and competencies of employees of mission-critical occupations in the current and future workforce. The two success factors usually work together.

**Recruitment:** The workforce plan drives the aggressive and strategic recruitment of diverse and qualified candidates for the agency’s workforce.

**Retention:** Leaders, managers, and supervisors create and sustain effective working relationships with employees.

The workplace is characterized by:

- A motivated and skilled work force
- Attractive and flexible working arrangements
- Compensation packages and other programs used to hire and retain employees who
- possess mission-critical skills, knowledge, and competencies

#### Applicable Merit System Principles

The following merit system principles are especially relevant to the Talent Management system (5 U.S.C. 2301):

- Recruitment should be from qualified individuals from appropriate sources in an endeavor to achieve a work force from all segments of society, and selection and advancement should be determined solely on the basis of relative ability, knowledge and skills, after fair and open competition which assures that all receive equal opportunity. [5 U.S.C. 2301(b)(1)]
- All employees and applicants for employment should receive fair and equitable treatment in all aspects of personnel management without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or

handicapping condition, and with proper regard for their privacy and constitutional rights. [5 U.S.C. 2301(b)(2)]

## Metrics

As you may recall from the overview in Chapter 1, the Talent Management system is one of the three with required outcome metrics. Again, “**Required Metrics**” focus on Human Capital management outcomes and are required for Government wide reporting. The following are required outcome metrics for the Talent Management system:

Required Metric	Description	Purpose
<b>Organization Results Metric:</b> Competency Gaps Closed for Mission-Critical Occupations	Difference between competencies needed and competencies possessed by employees in mission-critical occupations	To determine how the agency should target its recruitment, retention, and development efforts to bring the competencies of its workforce into alignment with the agency’s current and future needs.
<b>Employee Perspective Metric:</b> Questions from Annual Employee Survey about Organizational Capacity	**Items from Annual Employee Survey	To determine the extent to which employees think the organization has talent necessary to achieve organizational goals.
<b>Employee Perspective Metric:</b> Questions from Annual Employee Survey about Employee Satisfaction.	**Items from Annual Employee Survey	To determine the extent to which employees are satisfied with their jobs and various aspects thereof.
<b>Merit System Compliance Metric:</b> Merit-Based Execution of the Talent Management System.	An assessment of compliance with merit system principles and related laws, rules, and regulations governing the Talent Management System.	To determine that decisions, policies, processes, and practices executed under the Talent Management System comply with the merit system principles and related laws, rules, and regulations.

Additionally, the OPM HCAAF suggests the following metrics:

Required Metric	Description	Purpose
Turnover of Employees in Mission-Critical Occupations.	*Percent of turnover	To track turnover of Federal employees in mission-critical occupations by reason for leaving.
Turnover of Employees in Mission-Critical Occupations during Probationary Period.	*Percent of turnover among those serving in their probationary period.	To determine how many new Federal employees in mission-critical occupations leave Federal service during their probationary period of employment and to determine whether their exit was voluntary or involuntary.
Time To Hire	*Average time from date vacancy closes to date offer is extended (expressed in working days).	To determine the efficiency of a critical phase of the Federal hiring process.
Management Satisfaction with the Hiring Process.	**Management responses to items from Annual Employee Survey.	To determine if hiring managers believe the recruitment and selection process achieves recruitment and retention goals.

Applicant Satisfaction with the Hiring Process ...	*A questionnaire that is published on OPM’s USAJobs Web site.	To determine if applicants have a favorable impression of the recruitment and selection process.
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\* Note: You may use various BO reports from the Corporate Library or survey data to assist you in obtaining data for these required metrics

**\*\* Results from questionnaires and Mgmt Satisfaction surveys should be collected and analyzed by the reviewing office**

**Use corresponding TALENT MANAGEMENT PROGRAM CHECKLIST, PROGRAM EVALUATION at Appendix A**

**5.1. Recruitment**

**Results**

According to the OPM HCAAF, the results or desired effects shown below are those you can expect when your organization has effectively implemented the key elements of the Recruitment critical success factor.

**Effectiveness Results:**

- Workforce competency gaps are closed through the use of effective recruitment and retention strategies, creating a workforce that is capable of excellent performance in the service of the American people
- Senior leaders and managers are involved in strategic recruitment and retention initiatives, which ensures that the necessary organizational focus and resources are allocated to achieve recruitment and retention goals
- Recruitment strategies are appropriately aggressive and multi-faceted to ensure a sufficient flow of quality applicants to meet staffing needs identified in the workforce plan, positioning the agency for successful program accomplishment
- Flexible compensation strategies are used as needed to attract and retain quality employees who possess mission-critical competencies
- Quality of work/life programs are provided and obstacles to recruitment and retention of a quality workforce have been addressed, positioning the agency to be successful in acquiring and retaining the talent needed for program goals and objectives

**Compliance Results:** Recruitment, hiring, and merit promotion processes adhere to the merit system principles in 5 U.S.C. 2301 and follow other pertinent legal and regulatory guidance (including but not limited to 5 U.S.C. 3101, 3102, 3301, 3302, 3308–3318, 3319, 3502, 3503; as well as 5 CFR 315, 316, 317, 330, 332, 335, 337, 338, 550; and other congressionally-mandated enabling legislation)

Table 5.1 provides the key elements and suggested performance indicators for the Recruitment critical success factor.

## Key Elements and Suggested Performance Indicators

**Table 5.1. Recruitment**

Key Elements	Suggested Performance Indicators
<p><i>The agency has a recruitment system that:</i></p> <ul style="list-style-type: none"> <li>▪ Identifies the challenges involved in attracting a high-quality workforce</li> <li>▪ Establishes competency gap reduction goals and develops action plans to address current and future competency gaps</li> <li>▪ Uses appropriate hiring flexibilities and tools</li> <li>▪ Attracts and hires applicants who possess needed mission-critical competencies.</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ The goals of recruiting for mission-critical occupations and competency gap reduction are established and documented in the agency’s strategic planning (or Strategic Human Capital planning) process and tracked through the agency’s accountability system</li> <li>▪ Recruitment strategies are created to maintain mission-critical competencies at the desired level using business forecasting and workforce analysis results</li> <li>▪ Statistical data are analyzed related to the relative success of various types of appointments and recruitment flexibilities <ul style="list-style-type: none"> <li>▪ The agency conducts “lessons learned” or other evaluation activities and uses the findings to make improvements</li> <li>▪ New hire follow-up (e.g., supervisory assessment of the employee’s productivity, adjustment to the job, and adjustment to the work environment) is conducted</li> </ul> </li> </ul> <p><b>Compliance Indicators</b></p> <ul style="list-style-type: none"> <li>▪ The agency closes skill gaps in mission-critical occupations in accordance with the Chief Human Capital Officers Act (CHCO Act) (5 U.S.C. 1304)</li> <li>▪ When OPM delegates examining or other personnel management authorities to the agency under the auspices of 5 U.S.C. 1104, the agency complies with the standards established by OPM and with merit system principles</li> </ul>
<p><i>The agency has a recruitment system that:</i></p> <ul style="list-style-type: none"> <li>▪ Involves senior leaders and managers in recruitment planning and the implementation of strategic recruitment initiatives to attract talent</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ Adequate staff with the requisite competencies are allocated to the recruitment and hiring process commensurate with workload</li> <li>▪ Senior leaders and managers manage resources and participate in job analysis and in the planning, communication, and evaluation of recruitment strategies. Information is provided to senior managers on a regular basis including: <ul style="list-style-type: none"> <li>—Actual versus budgeted staffing levels.</li> <li>—Recruitment effectiveness based on an assessment of the quality of hires, timeliness in filling positions [e.g., use of 45-day model, 30-day model for Senior Executive Service (SES), or similar hiring model], and diversity statistics</li> <li>—Turnover rate for mission-critical occupations by grade/pay band and location</li> </ul> </li> <li>▪ Senior leaders and managers assist human resources (HR) staff in implementing strategic recruitment initiatives, including participation in such activities as recruitment fairs and outreach programs and visits to schools</li> <li>▪ Training classes, intranet, and other forms of guidance provide information to senior leaders and managers on available staffing options</li> </ul> <p><b>Compliance Indicator</b></p>



	<ul style="list-style-type: none"> <li>▪ As prescribed by the CHCO Act (5 U.S.C. 1304), the agency holds managers accountable for effective and efficient human resources management that supports the mission in accordance with merit system principles</li> </ul>
<ul style="list-style-type: none"> <li>▪ Utilizes strategies that are both aggressive and multi-faceted when competing for desired talent</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ The agency’s recruitment strategies include assessment of sources, such as professional organizations, colleges/universities, veterans’ organizations, state and private disability and rehabilitation offices, and community groups that are likely to yield high quality and diverse candidates <ul style="list-style-type: none"> <li>▪ Recruitment strategies have been developed based on an analysis of the primary sources for qualified applicants</li> <li>▪ Ongoing relationships are established and maintained with recruitment sources such as: <ul style="list-style-type: none"> <li>—Colleges and universities, outplacement organizations, professional associations</li> <li>—Veterans’ organizations and special programs for veterans [e.g., Veterans Invitational Program (VIP)]</li> <li>—Recruitment fairs (e.g., fairs sponsored by the Office of Personnel Management (OPM or special interest groups)</li> <li>—Special programs/organizations that support people with disabilities [e.g., Department of Defense (DoD) Computer/Electronic Accommodation Program (CAP) deaf and hard of hearing in Government, rehabilitation institutions, vocational rehabilitation]</li> <li>—Recruitment flexibilities and appointing authorities authorized by OPM (e.g., direct hire, category rating, language expertise) are publicized widely throughout the agency and are used to enhance recruitment scope and timeliness</li> </ul> </li> <li>▪ Additional recruitment flexibilities are requested if needed and are justified by a Human Capital business case. Necessary funding is provided to support implementation of the flexibilities</li> <li>▪ Managers are able to make valid selections from lists of high-quality candidates</li> </ul> </li> </ul>

<ul style="list-style-type: none"> <li>▪ Reviews recruitment, hiring, and merit promotion programs to ensure fair hiring and assess overall results</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ Recruitment activities are evaluated to assess factors such as: <ul style="list-style-type: none"> <li>—Return on investment</li> <li>—Cost effectiveness of various media and other recruitment sources in generating qualified and available applicants</li> <li>—Quality and quantity of applicants</li> <li>—Timely notification of applicants throughout the selection process regarding the status of their resume/applications</li> <li>—Timeliness (e.g., use of 45-day model, 30-day model for SES, or similar hiring models)</li> <li>—Applicant and manager satisfaction with the application process</li> <li>—Reasons for declination of job offers</li> <li>—Recruitment strategies and flexibilities that are most effective in meeting agency needs</li> <li>—Reasons (e.g., poor fit between the employee and job requirements) for resignations and separations within the first year after appointment <ul style="list-style-type: none"> <li>▪ Managers and HR staff are trained on the merit system principles, legal requirements, and other policies governing Federal employment <ul style="list-style-type: none"> <li>▪ Audit and evaluation results [e.g., OPM, Government Accountability Office (GAO), and Inspector General (IG)] are used to drive process changes when systemic problems are identified</li> </ul> </li> </ul> </li> </ul> </li> </ul> <p><b>Compliance Indicators:</b></p> <ul style="list-style-type: none"> <li>▪ The agency examines (when authorized by OPM delegation), appoints, promotes, and reassigns employees consistent with merit system principles (5 U.S.C. 2301) and other pertinent laws, rules, and regulations (e.g., the Uniform Guidelines in 5 CFR 300.103)</li> <li>▪ The agency’s annual self-audit of delegated examining operations demonstrates that operations are accomplished in accordance with OPM procedural requirements as delegated under the authority of 5 U.S.C. 1104</li> </ul>
<ul style="list-style-type: none"> <li>▪ Ensures that application and decision-making processes are not unduly burdensome or time consuming</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ The agency establishes an “applicant friendly” process for applying for jobs that includes: <ul style="list-style-type: none"> <li>—Vacancy announcements, application instructions, recruitment brochures, and marketing products that target the desired applicant pool(s) and are clearly written in plain language, attractive, and informative; are easily accessible; and highlight benefits (e.g., work/life flexibilities, Federal Employees Health Benefits, Employee Assistance Program, Flexible Spending Accounts, defined-benefit pension plan, Thrift Savings Plan, life insurance, and long-term care insurance)</li> <li>—Regular communication about the status of an individual’s resume/ application as well as answers to applicant questions (as evidenced by correspondence records)</li> <li>—A timely decision-making process</li> </ul> </li> </ul>

	<ul style="list-style-type: none"> <li>▪ Data from applicant surveys and entrance interviews reflect a positive experience for applicants</li> <li>▪ Length of time to hire is consistent with recommended hiring models</li> </ul>
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**REMINDER**

**KEY ELEMENTS** = WHAT you should do

**SUGGESTED PERFORMANCE INDICATORS** = visible evidence of those Key Elements

- Data regarding the use of hiring flexibilities and authorities can be obtained from BO reports [e.g., Direct Hire Authorities (MSP, EHA, Medical/DHA), Veteran Appointing Authorities (VRA, VEOA, 30%), Student Employment Programs, Excepted Service Appointments]
- Data for compensation flexibilities can be obtained from BO reports [e.g., 3'Rs , Superior Qualifications Appointment (SQA), agency-based or organization specific authorities, premium pay and allowances, etc.]

**Use corresponding TALENT MANAGEMENT PROGRAM CHECKLIST, RECRUITMENT & HIRING PROCESS at Appendix A and COMPLIANCE CHECKLISTS at Appendix B**

**5.2. Retention**

**Results**

According to the OPM HCAAF, the results or desired effects shown below are those you can expect when your organization has effectively implemented the key elements of the Retention critical success factor.

**Effectiveness Results:**

- Workforce competency gaps are closed through the use of effective recruitment and retention strategies, creating a workforce that is capable of excellent performance in the service of the American people
- Senior leaders and managers are involved in strategic recruitment and retention initiatives, which ensures that the necessary organizational focus and resources are allocated to achieve recruitment and retention goals
- Flexible compensation strategies are used as needed to attract and retain quality employees who possess mission-critical competencies
- Quality of work/life programs are provided and obstacles to recruitment and retention of a quality workforce have been addressed, positioning the agency to be successful in acquiring and retaining the talent needed for program goals and objectives

**Compliance Results:** Retention policies and practices adhere to merit system principles set forth in 5 U.S.C. 2301 and other Federal laws, rules, and regulations (e.g., 5 U.S.C. 5301 and 5706; the Federal Workforce Flexibility Act of 2004; 5 CFR 531, 550, and 575; etc.)

Table 5.2 provides the key elements and suggested performance indicators for the Retention critical success factor.

**Key Elements and Suggested Performance Indicators**

**Table 5.2. Retention**

<b>Key Elements</b>	<b>Suggested Performance Indicators</b>
<p><i>The agency has a retention system that:</i></p> <ul style="list-style-type: none"> <li>▪ Utilizes flexible compensation strategies to retain employees who possess mission-critical competencies</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ The agency’s strategic, performance, and/or Strategic Human Capital plans and policies promote appropriate use of compensation flexibilities (e.g., recruitment bonuses, relocation bonuses, retention allowances) to attract and retain high-quality employees who possess mission-critical competencies. The agency also makes a successful case to support funding</li> <li>▪ Written policies and procedures describe guidelines for use of compensation flexibilities in meeting the agency’s need for highly qualified employees consistent with legal requirements governing the use of the flexibilities. Managers have been informed about and use available compensation flexibilities where justified</li> <li>▪ Incentive and recognition programs are established, budgeted, and implemented to focus on retention of high performing employees with mission-critical competencies</li> <li>▪ Use of compensation flexibilities and awards is analyzed to determine that there is a discernable relationship between the use of the flexibilities and successful recruitment and retention of high-quality employees in mission-critical occupations. The analysis includes consideration of retention and exit interview information</li> </ul> <p><b>Compliance Indicator</b></p> <ul style="list-style-type: none"> <li>▪ When OPM delegates examining or other personnel management authorities to the agency under the auspices of 5 U.S.C. 1104, the agency complies with the standards established by OPM and merit system principles.</li> </ul>
<ul style="list-style-type: none"> <li>▪ Develops short- and long-term strategies and targeted investments in current employees to eliminate competency gaps in mission-critical occupations</li> <li>▪ Trains the current workforce in mission-critical competencies that are needed by the agency</li> <li>▪ Documents planned and completed retention activities, including requested budget funding, staff allocation, and management accountability</li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ Retention trends are tracked and analyzed by the appropriate management level</li> <li>▪ Exit interviews are conducted and data/information are analyzed at the appropriate level to allow supervisors and managers to address retention</li> <li>▪ Senior leaders and managers manage resources and participate in the planning, communication, and evaluation of retention strategies</li> <li>▪ Senior leaders and managers and first-line supervisors implement strategic retention initiatives in partnership with HR</li> <li>▪ Appropriate metrics, as defined by OPM guidance or developed by the agency, are reported to senior managers and human resource executives to assess the outcomes from retention strategies</li> <li>▪ Policies and procedures are established indicating how retention activities are evaluated</li> </ul>

- Creates a productive, supportive work environment through a variety of programs, such as telework, childcare assistance, fitness centers, health assessments, safety seminars, employee assistance programs, parking facilities, and transit subsidies

**Effectiveness Indicators**

- The agency has determined which quality of work/life programs meet the needs of the workforce and has implemented programs to promote flexible working arrangements and to sustain a productive, supportive work environment
  - Senior leaders and managers promote the use of quality of work/life programs and provide resources necessary to establish and sustain these programs to create an effective environment
  - Policies and procedures describe guidelines for flexible working arrangements, including:
    - Temporary, term, and seasonal appointments
    - Flexible and/or part-time work schedules
    - Telework, including technology required to support it, where appropriate
  - Policies and procedures describe guidelines for sustaining a productive, supportive work environment, including:
    - Ergonomic work stations
    - Reasonable accommodation
    - Child care/elder care assistance
    - Wellness programs (e.g., fitness centers, health assessments)
    - Employee Assistance Program
    - Safety inspections and education
    - Parking facilities and transit subsidies
    - Benefits (e.g., Federal Employees Health Benefits, Thrift Savings Plan, Flexible Spending Accounts, defined-benefit pension plan, life insurance, and long-term care insurance)
  - These policies and procedures have been communicated to the workforce and prospective applicants via Web pages, letters from the CHCO, recruitment materials, vacancy announcements, job fair announcements, or other methods
  - The cost and benefits of quality of work/life programs are evaluated (e.g., surveys, entrance and exit interviews) to determine if they are perceived by employees as creating a positive work environment, are meeting an identified workforce need, and are contributing to recruitment and retention goals

**Compliance Indicators**

- The agency operates work/life programs in accordance with governing laws, rules, and regulations [e.g., telework (Public Law No. 106–346, Section 359), flexible work schedules (5 CFR 610), transit subsidies (Executive Order 13150)]
  - On-the-job injury and other Workers’ Compensation claims are filed in accordance with 5 U.S.C. 8102, 20 CFR parts 1-25, and other guidelines of the Office of Workers Compensation Programs (OWCP)
  - The agency has an emergency preparedness plan in place in accordance with OPM’s requirements for individual agencies, as outlines in OPM’s Federal Manager’s/Decision Maker’s Emergency Guide and in accordance with GSA’s guidance on occupant emergency plans (Executive Orders

	12656 and 12472)
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**Use corresponding TALENT MANAGEMENT PROGRAM CHECKLISTS for  
RECRUITMENT/RETENTION at Appendix B**

## Chapter 6

### ACCOUNTABILITY SYSTEM (EVALUATING RESULTS)

The OPM HCAAF defines this system as one “...that contributes to agency performance by monitoring and evaluating the results of its Human Capital management policies, programs, and activities; by analyzing compliance with merit system principles; and by identifying and monitoring necessary improvements.”

Under the Human Capital Framework, accountability refers to leadership and line management support and compliance with merit system and equal employment opportunity principles, and the efficient, timely, and legal completion of HR services, processes, and transactions.

#### Standard

Agency Human Capital management decisions are guided by a data-driven, results-oriented planning and accountability system. Results of the agency accountability system must inform the development of the Human Capital goals and objectives, in conjunction with the agency’s strategic planning and performance budgets. Effective application of the Accountability System contributes to agencies’ practice of effective Human Capital management in accordance with the merit system principles and in compliance with Federal laws, rules, and regulations.

#### Applicable Merit System Principles

The following merit system principle is especially relevant to the Accountability system: All employees should maintain high standards of integrity, conduct, and concern for the public interest. [5 U.S.C. 2301(b)(4)] religion, national origin, sex, marital status, age, or handicapping condition, and with proper regard for their privacy and constitutional rights. [5 U.S.C. 2301(b)(2)]

#### Metrics

This system is assessed based on documented evidence of a Human Capital Accountability System that provides for annual assessment of agency Human Capital management progress and results including compliance with relevant laws, rules, and regulations. Within the Department of Defense, the DCPAS Strategic Analysis and Reporting Division, is responsible for the annual assessment requirements. Accordingly, AF organizations with delegated authority for personnel management are subject to DoD-directed CHCAS on-site evaluations currently conducted on an every other year basis. For that reason, AF HC self-assessments should be conducted periodically to assist in preparing for these evaluations and to meet the requirements of Unit Compliance Inspections. Self-Assessment results in addition to information from installation CHCAS on-site evaluations or other studies or reports will be used to meet the agency assessment requirements.

According to the OPM HCAAF, the accountability system will:

- Be formal, documented, and approved by OPM
- Be supported and resourced by agency leadership

- Measure and assess all Human Capital management systems for mission alignment, effectiveness, efficiency, and compliance with merit system principles, laws, and regulations
- Include an independent audit process with periodic review of human resources transactions to ensure legal and regulatory compliance
- Ensure that action is taken to improve Human Capital programs and processes and correct deficiencies
- Ensure results are analyzed and reported to agency management and OPM

**Agencies are required under 5 CFR 250.203 to submit the Agency Human Capital Accountability Report described by this system to OPM for review and approval on an annual basis. This Accountability Report supports the systems of oversight prescribed by 5 CFR 250.102**

**Note:** OPM has approved the DoD CHCAS as the agency’s formal assessment system. In addition to results obtained from CHCAS evaluations at installations and organizations, the AF may be required to provide Human Capital assessment information or data necessary as requested to support the agency’s submission for self-assessment activities.

## Results

According to the OPM HCAAF, the results or desired effects shown below are those you can expect when your organization has effectively implemented the key elements of the Accountability System. As you may recall from the definitions and terminology in Chapter 1, the results are presented in two categories:

### Effectiveness Results:

- The agency has documented its Human Capital management processes, measures, and results; evaluated its accomplishments; and reported findings to agency decision makers and other stakeholders
- Agency leadership demonstrates commitment to the accountability system, based on OPM’s standards, through its actions and allocation of appropriate resources
- The agency conducts a continuous assessment of its Human Capital practices to ensure they are sound, produce results, and adhere to merit systems principles, laws, and regulations. The agency provides an annual report, which identifies areas needing improvement. A process is in place that assigns responsibility for taking corrective action that results in improved Human Capital strategies and program integrity

### Compliance Results:

- In accordance with Civil Service Rule X, the agency has established and maintains a system of accountability that meets OPM’s standards for a sound Human Capital Accountability System, measures effectiveness in meeting the standards, and corrects deficiencies in meeting the standards
- As provided in the Chief Human Capital Officers Act of 2002 (CHCO Act) (5 U.S.C. 1304), the agency holds managers and human resources officers accountable for efficient and effective human resources management in support of the agency’s mission, in accordance with merit system principles



- Human Capital programs, activities, and practices are evaluated in accordance with law, regulation, and public policy within the Leadership and Knowledge Management, Results-Oriented Performance Culture, and Talent Management systems

Table 6.1 provides the key elements and suggested performance indicators for the Accountability critical success factor.

**Key Elements and Suggested Performance Indicators**

**Table 6.1. Accountability System.**

Key Elements	Suggested Performance Indicators
<p><i>To ensure that the agency’s Human Capital practices support its mission and are based on merit system principles, the agency has an accountability system that:</i></p> <ul style="list-style-type: none"> <li>▪ Is designed and conducted in accordance with OPM requirements</li> <li>▪ Is formal and clearly documented, including description of agency system, statement of agency policy, key responsibilities, outcomes and measures, milestones, and results</li> <li>▪ Is fully supported by top management, including review and approval of the system and allocation of sufficient resources to promote and support the system</li> <li>▪ Ensures that managers are held accountable for their Human Capital and human resources decisions and actions</li> <li>▪ Evaluates Human Capital results vis-à-vis agency mission goals and objectives and measures; assesses compliance of HC programs and decisions with laws, rules, and regulations; and identifies and resolves significant problems. The system should cover all Human Capital systems and include the following:               <ul style="list-style-type: none"> <li>—Measures identified to address:                   <ul style="list-style-type: none"> <li>• Success in supporting agency mission accomplishment</li> <li>• Effectiveness of human resources (HR) programs</li> <li>• Efficiency of HR processes</li> <li>• Programmatic and transactional compliance with laws, rules, and regulations</li> </ul> </li> <li>—Data collection and analysis processes to support the measures</li> <li>—Periodic review of HR transactions to ensure compliance with legal, regulatory, and specific agency requirements; corrective action taken in cases of non-compliance</li> <li>—An independent audit [i.e., one</li> </ul> </li> </ul>	<p><b>Effectiveness Indicators</b></p> <ul style="list-style-type: none"> <li>▪ Human Capital program management guidelines, authorities, processes, measures, and accountabilities are issued via agency policy and procedural issuances and are accessible to agency managers, supervisors, and employees</li> <li>▪ Key leaders and subordinate managers and supervisors throughout the agency have at least one performance element that relates to achieving Human Capital outcomes</li> <li>▪ Human Capital risks are tracked, documented, and reported to a central advisory or management board, and action is taken to mitigate high-risk areas</li> <li>▪ Program and initiative implementation efforts include published plans that clearly outline roles, responsibilities, reviews, and desired outcomes</li> <li>▪ Accountability for implementing improvement strategies for each initiative or program is assigned and resources are provided to accomplish the resulting actions</li> <li>▪ Assessment results are provided to senior management and action is taken to communicate best practices, improve current practices, and correct problem areas</li> <li>▪ A process is in place which identifies problems that pose high risk to organizational integrity including:               <ul style="list-style-type: none"> <li>—Financial or legal threats</li> <li>—Systemic violations of employee protections or veterans’ preference</li> <li>—Potential loss of integrity in the public eye</li> </ul> </li> <li>▪ Analysis of workforce survey results related to the effectiveness of the Leadership and Knowledge Management, Results-Oriented Performance Culture, and Talent Management systems indicates that employees perceive their agencies as high-performing workplaces where their skills and abilities are used well</li> <li>▪ Human Capital data are current and accurate as indicated by documentation</li> <li>▪ OPM evaluations, agency reviews, and/or other Human Capital assessments indicate that:               <ul style="list-style-type: none"> <li>—Programs and processes are efficient, effective, and compliant</li> </ul> </li> </ul>

<p>conducted by individual(s) outside of the operations management chain of command] to obtain and objectively evaluate evidence</p> <p>—Results used to improve Human Capital programs and the Human Capital accountability system</p> <ul style="list-style-type: none"> <li>▪ Evaluates specific human resources programs (recruitment and staffing, performance management, training, awards, other, etc.)</li> <li>▪ Provides for evaluation of Human Capital and human resources activities throughout the organization (e.g., component/geographic), including individual HR transactions</li> <li>▪ Ensures Human Capital results and merit system compliance are determined and reported to management and OPM</li> <li>▪ Evaluates the effectiveness of the accountability system itself</li> <li>▪ Promotes continuous improvement, which is reflected in updates to the strategic Human Capital plan</li> </ul>	<ul style="list-style-type: none"> <li>—The agency meets measures of success as reflected in strategic Human Capital plans</li> <li>▪ Individual Human Capital programs that do the following are developed and implemented: <ul style="list-style-type: none"> <li>—Establish clear responsibility for the program.</li> <li>—Establish clear authority for enacting and evaluating the program</li> <li>—Clarify consequences of success or failure</li> <li>—Identify baseline performance</li> <li>—Set program goals</li> <li>—Set program milestones</li> <li>—Identify key measures</li> <li>—Collect appropriate data</li> <li>—Track progress</li> <li>—Develop and implement an ongoing evaluation plan</li> <li>—Evaluate program results</li> <li>—Identify opportunities for program improvement</li> <li>—Implement improvements</li> <li>—Monitor success of improvements</li> <li>—Provide progress reports on schedule</li> </ul> </li> </ul> <p><b>Compliance Indicators</b></p> <ul style="list-style-type: none"> <li>▪ In accordance with Civil Service Rule X, the agency has established and maintains a system of accountability that meets OPM’s standards for a sound Human Capital accountability system, measures effectiveness in meeting the standards, and corrects deficiencies in meeting the standards <ul style="list-style-type: none"> <li>▪ In accordance with the Executive Performance and Accountability Interim Rule (5 CFR 430 and 1330), the agency’s appraisal system for senior executives provides for balance so that, in addition to expected results, the performance expectations for individual senior employees include: <ul style="list-style-type: none"> <li>—Appropriate measures or indicators of employee and/or customer/ stakeholder feedback.</li> <li>—Quality, quantity, timeliness, and cost effectiveness measures</li> </ul> </li> <li>▪ As provided in the CHCO Act (5 U.S.C. 1304), the agency holds managers and human resources officers accountable for efficient and effective human resources management in support of the agency’s mission, in accordance with merit system principles</li> </ul> </li> </ul>
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**NOTE:** Human Capital system assessment requirements are addressed at Appendix A

Specific information on periodic reviews of HR transactions to ensure compliance with legal, regulatory, and specific agency requirements; corrective action taken in cases of non-compliance are addressed in Appendix B of this guide.

## Attachment 1

### GLOSSARY OF REFERENCES AND SUPPORTING INFORMATION

#### *References*

Office of Management and Budget (OMB) Section 1 – Strategic Management of Human Capital

President’s Management Agenda, Fiscal Year 2002, (f) Section 1115(a) of Title 31, United States Code (U.S.C.)

Chief Human Capital Officers Act of 2002, enacted as part of the Homeland Security Act of 2002 (Pub. L. No. 107-296)

Chief Human Capital Officers Council - <http://www.chcoc.gov/>

5 USC Sec. 2301, *Merit System Principles* - <http://www.opm.gov/ovrsight/mspidx.asp>

5 USC Sec 2302, *Prohibited Personnel Practices* -  
<http://www.opm.gov/omsoe/prohibit/legal.htm>

Sections 305, 552a, 1103(a) (5), 1103(c) (1), 1401, 1402(a), 2301, and 2302 of Title 5, U.S.C

5 CFR 250, *Human Resources Management in Agencies, Final Rule*, April 28, 2008

Part 250 of Title 5, Code of Federal Regulations (CFR.), Subpart B —*Strategic Human Capital Management*

Office of Personnel Management (OPM) Human Capital Assessment and Accountability Framework (HCAAF) Resource Center: - [http://www.opm.gov/hcaaf\\_resource\\_center/index.asp](http://www.opm.gov/hcaaf_resource_center/index.asp)

OPM Human Resources Management Accountability Memorandum, January 4, 2002

Federal Employment Statistics - <http://www.opm.gov/feddata/index.asp>

Federal Hiring Flexibilities Resource Center -  
[http://www.opm.gov/Strategic\\_Management\\_of\\_Human\\_Capital/fhfrc/default.asp](http://www.opm.gov/Strategic_Management_of_Human_Capital/fhfrc/default.asp)

FedScope-Federal Human Resources Data - <http://www.fedscope.opm.gov>

The Guide to Processing Personnel Actions - <http://www.opm.gov/feddata/gppa/gppa.asp>

The Guide to Personnel Recordkeeping – Operating Manual -  
<http://www.opm.gov/feddata/recguide2008.pdf>

#### [DoD HR Accountability](#)

DoD Directive 1400.25, *DoD Civilian Personnel Management System*

DoD Civilian Personnel Management System: Volume 250, [Civilian Strategic Human Capital Planning \(SHCP\)](#)

Air Force Policy Directive 36-1, *General Civilian Personnel Provisions and Authorities*

Air Force Policy Directive 36-2, *Civilian Recruitment and Placement*

Air Force Policy Directive 36-6, *Civilian Career Management*

Air Force Policy Directive 36-7, *Employee and Labor- Management Relations*

Air Force Policy Directive 36-27, *Equal Opportunity (EO)*

Air Force Policy Directive 90-11, *Strategic Planning System*

Air Force Manual 36-203, *Staffing Civilian Positions*

Air Force Instruction 36-401, *Employee Training and Development*

Air Force Instruction 36-502, *Managing Civilian Personnel Resources*

Air Force Instruction 36-601, *Air Force Civilian Career Field Management*

Air Force Instruction 36-602, *Civilian Intern Programs*

Air Force Manual 36-606, *Air Force Career Program Management*

Air Force Instruction 36-701, *Labor Management Relations*

Air Force Instruction 36-703, *Civilian Conduct and Responsibility*

Air Force Instruction 36-704, *Discipline and Adverse Actions*

Air Force Instruction 36-706, *Administrative Grievance System*

Air Force Instruction 36-1001, *Managing the Civilian Performance Program*

Air Force Instruction 36-1004, *The Air Force Civilian Recognition Program*

Air Force Instruction 36-2706, *Equal Opportunity Program Military and Civilian*

Air Force Instruction 90-201, *The Air Force Inspection System*

Note: All current AFIs, AFPDs and AFMANs are available via the AF Publications website at <http://www.e-publishing.af.mil>

Equal Employment Opportunity Commission (EEOC) Management Directive 715 (MD-715)

Federal Equal Opportunity Recruitment Program (FEORP):

- Title 5, United States Code (USC) Section 7201
- Title 5, Code of Federal Regulations (CFR) Part 720, Subpart B [within AF DVAAP plan requirements are incorporated into the installation/base annual Affirmative Employment Report (AEP)]

Disabled Veterans Affirmative Action Program (DVAAP):

- Title 38 United States Code (USC), Section 4214

- Title 5, Code of Federal Regulations (CFR) Part 720, Subpart C [within AF DVAAP plan requirements are incorporated into the installation/base annual Affirmative Employment Report (AEP)]

## Appendix A

### Human Capital (HC) Program Review and Checklists

MAJCOM/Installation self-assessment will include a review of HC Management policies, programs and activities to determine agency/organization success in supporting mission accomplishment, goals and adherence to merit system principles. This is accomplished using compliance checklists, review of program data, metrics, survey results and results of employee/supervisor sensing sessions and interviews with leadership and management officials.

Program reviews will be conducted by organization managers or representatives from key areas of human capital management [e.g., EO Office, Education Services, Manpower, Civilian Personnel Section (CPS), etc.]. The MAJCOM and installation CPSs are responsible for ensuring that key players are aware of these requirements and have the tools available to conduct the review.

In each area, the functions listed may be performed at a Human Resources Service Center (HRSC), CPS, or other organization. Each organization is responsible for assessing **only** the functions that it performs. CPS should ensure that program/process owners have the appropriate checklists and tools to conduct review.

Use the following approach for each function to perform a self-assessment:

- Identify component of HC Management for review (Leadership Succession Management, Strategic Planning, etc.)
- Identify office or POC responsible for each program area
- Provide checklists and instruction to the POC

For example, the review should include:

- Training Programs and Plans
- Workforce Planning Documents
- EO Plans
- Workforce Demographics, and
- Any organization plans, processes, reports or documents to support effectiveness and compliance indicators addressed in each of the HCAAF systems

### Using the Checklists

The checklists provided in this appendix align with the five HCAAF systems and correspond to the applicable Critical Success Factors within the guide. For instance, the Strategic Alignment (or HCAAF system) Checklist, Workforce Planning (Critical Success Factor), should assist you in determining whether your agency/organization is properly aligned and appropriately structured.

Complete a checklist for each program area. Fill out your portion of the checklist(s) completely indicating “Yes”, “No” or “N/A” for each item.

- Identify and select the items in the checklist that are performed by your organization
- Review the regulatory, procedural requirements and the applicable Merit System Principles
- Complete the appropriate checklist items
- Record your observations in the summary at Appendix C

In addition to the summary, use the results of the assessment to complete appropriate items in the Management Internal Controls (MICT) database in accordance with the AF Self-Inspection System (AFIS).

- If “Yes”, you should be able to provide visible evidence supporting your response.
- If your response is “No”, determine if corrective action will be required. All discrepancies must be noted and corrected.
- If you are not responsible for the program item, mark “N/A”.
- Use the COMMENTS section where applicable to describe how the agency/organization meets the requirements in the checklist item(s).
- HCAAF review checklists have been annotated if they have a corresponding MICT checklist item(s)
- Gather the results and complete the Self-Assessment Summary (at Appendix C) and maintain along with completed checklists.
- Input the findings from these checklists in answer to the questions in the AF Self-Inspection program checklists in MICT.
- Upload the completed checklists and summary of results under the appropriate question in the MICT

In the following example, Leadership Succession Management is one of the critical success factors under the *Leadership and Knowledge Management System*. Use the corresponding section of the guide (section 3.1) and applicable checklist (page A9) to determine the extent to which your agency/organization has identified competencies needed and conducted planning to ensure that there is a continuous pipeline of available candidates for leadership roles within your agency/organization.

The review should also identify strengths and weaknesses that may impact overall effectiveness of HC programs and ensure that problems are identified and addressed or dealt with in a timely basis.

Business Objects (B.O.) reports are available and can be modified to capture program data and statistics for use in analyzing turnover rates, determining award distribution within organizations, review of data on selections, promotions, disciplinary actions, etc. These reports are located in the B.O. Corporate Reports Library.

## Interviews and Sensing Sessions

Results collected from interviews and sensing sessions will be used as part of the overall evaluation to determine success in meeting the goals of the organization and in determining where improvement may be needed.

HQ AF/A1CP evaluation lead will determine the number of supervisor and employee sensing sessions to be conducted based on the size and geographic dispersion of the command/installation being evaluated. Supervisory sensing sessions should include military supervisors of civilian employees. Because military supervisors are not reported in DCPDS, the CPS should obtain a list of military supervisors from the command/installation POC before finalizing the list of first level supervisors identified to take part in sensing sessions.

Management interviews will be conducted with organization officials that are generally at the director level but not less than a second level supervisor. The number of management interviews to be conducted should represent a cross section of the command/activity being evaluated. Management interviews should include both military and civilian officials. The team leader for the evaluation will assign interviews to evaluation team members. CPS supports this requirement by assisting with the participant selection and interview/sensing session schedule.

### **Summarizing the Results**

- 1) Complete the review and compile checklists.
- 2) Summarize the findings and results of interviews and sensing sessions on the worksheet at Appendix C and list actions reviewed for each HC/HR function.
- 3) Forward summary of findings and completed checklists to MAJCOM A1 who will review and forward to HQ AF/A1CP.
- 4) Upload the completed checklists and summary of results under the appropriate question in the MICT checklist along with additional documentation supporting your answers and findings.
- 5) The summary should include any items that may be considered as “best practices” or possible “systemic problems”.

Results of the self-assessment will be used to identify areas where process improvement is needed and shared when best practices are identified. Whether your organization receives a “Meets”, “Partially Meets” or “Does Not Meet” level of rating for each human capital system will be determined by the extent to which narrative responses and submitted documentation (if applicable) reflect evidence of key elements and compliance with the requirements. Self-assessment files and documentation should be retained for comparison over time, to show possible trends, and for validation by higher-level program offices.



## Program Review Checklists

Use checklists contained in this appendix for program review portions of the self-assessment.

<b>Checklist Index</b>	<b>Page Number</b>
<b>Strategic Alignment</b>	<b>A5 – A8</b>
• Human Capital Planning	
• Workforce Planning	
• Human Capital Best Practices and Knowledge Sharing	
• Human Resources as a Strategic Partner	
<b>Leadership and Knowledge Management</b>	<b>A9 – A15</b>
• Leadership Succession Management	A9
• Change Management	A11
• Integrity and Inspiring Employee Commitment	A12
• Continuous Learning	A13
• Knowledge Management	A15
<b>Results Oriented Performance Culture</b>	<b>A16 – A22</b>
• Awards (Employee Incentive Program)	A16
• Communication	A17
• Diversity Management	A18
• Labor Management Relations	A20
• Pay for Performance	A21
• Performance Appraisal (Performance Management Program)	A22
<b>Talent Management</b>	<b>A23 – A27</b>
• General Staffing and Compensation	A23
• Quality of Work/Life Programs	A25
• Recruitment and Hiring Process	A26
• Suitability	A27

## STRATEGIC ALIGNMENT CHECKLIST

**(Critical Success Factors: Human Capital Planning, Workforce Planning, Human Capital Best Practices and Knowledge Sharing, HR as Strategic Partner)**

### CPS/Installation Checklist

*(Use in conjunction with HAF AFIS Checklist Force Manpower Personnel Flight Items 2.2.1 and 2.2.2)*

<b>MAJCOM/Installation/Organization Name:</b>			
<b>Critical Success Factor: <u>Human Capital Planning</u></b> – the agency/organization designs a coherent framework of human capital policies, programs and practices to achieve human capital requirements to directly support the AF 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?			
<b>Critical Success Factor: <u>Workforce Planning</u></b> – 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? <ul style="list-style-type: none"> <li>• Position management is reviewed at the strategic level</li> <li>• Organizational units are structured around work-flow</li> </ul> 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? <ul style="list-style-type: none"> <li>• Are established performance measures tracked and regularly updated?</li> <li>• Are trends analyzed?</li> <li>• Organizational deployment strategies are assessed using workforce planning reports</li> </ul>			

<p>and studies</p> <ul style="list-style-type: none"> <li>• Are best practice benchmarks used in determining workloads and resources?</li> <li>• Customer requirements for support and services are evaluated regularly and incorporated into plan</li> </ul>			
<p>Are barriers (statutory, administrative, physical, or cultural) effectively dealt with in restructuring efforts?</p> <ul style="list-style-type: none"> <li>• Documented?</li> <li>• Solutions developed?</li> </ul>			
<p>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?</p> <ul style="list-style-type: none"> <li>• Published strategic workforce plan that includes mission-critical positions, current needs, projected growth, future needs</li> <li>• Process to assess competency gaps</li> <li>• Plan to close competency gaps (strategic recruitment, training, etc.)</li> <li>• Well documented review of employment trends, demographic data</li> <li>• Strategic recruitment plan is tied to organizational objectives</li> </ul> <p>Are mission-critical occupations and competencies identified? Are competency gaps identified? Are these included in strategic plans and/or performance plans?</p> <p>Are mission-critical occupations, competencies and competency gaps used in developing strategies to recruit, develop and retain needed skills?</p> <p><b><u>Mission Critical Occupations</u></b> – 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</p>			
<p>Do human capital strategies ensure agencies/organizations are appropriately structured to avoid excess organizational layers (horizontal) and redundant operations (vertical)?</p> <ul style="list-style-type: none"> <li>• Plan includes specific areas targeted for workforce redeployment</li> <li>• Documentation shows review, planning, design and implementation of efforts to realign the workforce</li> </ul>			
<p>Do human capital strategies ensure that organizations have the right balance of supervisory</p>			

and non-supervisory positions to better meet customer needs?			
Do workforce planning and management practices include strategies such as: <ul style="list-style-type: none"> <li>• Restructuring</li> <li>• Competitive sourcing</li> <li>• Retraining</li> <li>• Retention</li> <li>• Redeployment</li> <li>• Technology solutions</li> </ul>			
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? <b>(HAF MICT Item 2.2.2)</b>			
<b>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</b>			
<b>ITEMS</b>	<b>Y/N</b>	<b>N/A</b>	<b>COMMENTS (may be asked to provide examples)</b>
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: <ul style="list-style-type: none"> <li>• Office of Personnel Management (OPM)</li> <li>• Office of Management and Budget (OMB)</li> <li>• Government Accountability Office (GAO)</li> <li>• Defense Civilian Personnel Advisory Service (DCPAS)</li> <li>• Society for Human Resource Management</li> </ul>			

<ul style="list-style-type: none"> <li>International Public Management Association for Human Resources</li> </ul> <p>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)</p>			
<p>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:</p> <ul style="list-style-type: none"> <li>Staffing Timeliness</li> <li>Central Personnel Data Files/FedScope</li> <li>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</li> </ul>			
<p>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.</p>			
<p><b>Critical Success Factor: <u>Human Resources as Strategic Partner</u></b> – 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</p>			
ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
<p>Are HR professionals and key stakeholders proactively involved in strategic and workforce planning efforts? How?</p>			
<p>Are employees aware of HR programs and services? Are they publicized?</p>			
<p>Are HR offices adequately staffed, trained and prepared to partner with and consult with managers to adequately address their needs?</p>			

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**LEADERSHIP AND KNOWLEDGE MANAGEMENT CHECKLIST**  
**LEADERSHIP SUCCESSION MANAGEMENT**  
**(Critical Success Factor: Leadership Succession Management)**  
**CPS/Installation Checklist**

*(Use in conjunction with HAF AFIS Checklist Force Support Development Flight Items 1.2.4 and 1.5)*

<b>MAJCOM/Installation/Organization Name:</b>			
<b>Critical Success Factor: Leadership Succession Management</b> – The agency/organization identifies competencies and establishes objectives and strategies to ensure there is a continuous pipeline of available leadership within the agency/organization			
ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Is formalized succession planning conducted for supervisory, managerial and executive positions to ensure continuity of leadership?			
Is succession planning for leadership positions reflected in Human Capital (HC) management and planning efforts?			
Is there a formal leadership development program in place to develop managers as well as strengthen agency/organizational capability? Does the program ensure availability of adequate, well-prepared, qualified and diverse candidates for leadership positions?  Is the development program designed as part of the HC strategic plan? Does the program: <ul style="list-style-type: none"> <li>• Address needs identified through competency gap analysis?</li> <li>• Provide for initial and continuing development of individuals in executive, managerial and supervisory positions and prospective candidates for those positions?</li> <li>• Make assignments for training and development in accordance with merit principles?</li> <li>• Provide for initial training as an individual makes critical career transitions to become a new supervisor, a new manager, or a new executive, consistent with the results of needs assessments?</li> <li>• Provide continuous learning experiences, both short and long-term, throughout individual careers?</li> <li>• Provide systematic development of candidates for advancement to a higher management level? [5 CFR 412]</li> </ul>			
Is an executive candidate development program in place? Has the program been approved by OPM?			

<ul style="list-style-type: none"> <li>• Are there clear policies to support leadership development?</li> <li>• Is the policy for leadership development implemented successfully?</li> <li>• Are leadership development programs evaluated annually?</li> <li>• Are leadership recruitment and development activities tied to executive core qualifications?</li> </ul>			
Does workforce analysis and planning address leadership positions?			
Is there a system for identifying/developing potential managers and supervisors?			
Are minimum training requirements for supervisors and managers established? <b>(MICT item 1.5.9)</b>			
Do new supervisors receive supervisory training within 6 months of initial assignment to a supervisory position? <b>(MICT items 1.2.4 &amp; 1.5.10)</b> [AFI 36-401, Atch 2, Para A 2.1]			
Do supervisors receive periodic refresher training to enhance leadership skills?			
Do managers, supervisors, and executives receive the leadership training they need to effectively manage their workforce? Does training include mentoring, communicating with employees on performance, applicable personnel laws, policies, and regulations?			
Are selections for developmental programs fair and open and do they comply with laws, rules and regulations? <b>(MICT item 1.5.5)</b>			

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**REVIEWER**

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**DATE**

**LEADERSHIP AND KNOWLEDGE MANAGEMENT CHECKLIST**  
**CHANGE MANAGEMENT**  
(Critical Success Factor: Change Management)  
CPS/Installation Checklist

*(Use in conjunction with HAF AFIS Checklist Force Support Manpower Personnel Flight)*

<b>MAJCOM/Installation/Organization Name:</b>			
<b>Critical Success Factor: <u>Change Management</u></b> - The agency/organization has in place leaders who understand what it takes to effectively bring about changes that achieve significant and sustained improvements in performance			
ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Is there a system in place to identify changes in the organization/environment that impacts performance/competency requirements?			
Do managers, supervisors, and executives understand effective changes that achieve significant and sustained improvements in performance?			
Does leadership communicate organizational change in advance where possible? Is it reflected via newsletters, Base newspaper, AF Portal, Commander's Call, weekly staff meetings, or training sessions with employees?			
Are adequate resources provided to support change in the agency/organization?			
Are visible actions taken to support new ways of working in the agency/organization?			
Do managers, supervisors, and executives facilitate the change management process by monitoring and addressing problems in the transition process?			
Is the workforce held accountable, via performance ratings, for achieving results and meeting their commitments to the change process?			
Do leaders focus on performance and progress against change milestones, with documentation such as annual performance plans, budgets, and performance reports? [AFI 36-502]			

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**LEADERSHIP AND KNOWLEDGE MANAGEMENT CHECKLIST**  
**INTEGRITY AND INSPIRING EMPLOYEE COMMITMENT**  
**(Critical Success Factor: Integrity and Inspiring Employee Commitment)**  
**CPS/Installation Checklist**

*(Use in conjunction with HAF AFIS Checklist Force Support Development Flight Item 1.5 & Force Support Manpower Personnel Flight Item 2.1.2)*

<b>MAJCOM/Installation/Organization Name:</b>			
<b>Critical Success Factor: <u>Integrity and Inspiring Employee Commitment</u></b> - Leaders maintain high standards of honesty and ethics that serve as a model for the whole workforce. Leaders promote teamwork and communicate the agency/organization shared vision at all levels of the agency/organization and seek feedback from employees. Employees respond by maintaining high standards of honesty and ethics			
ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Does leadership share agency/organizational vision and foster an environment of open communication (top-down and bottom-up)?			
Do employees view the agency/organization as a desirable place to work?			
Is teamwork valued and rewarded? Feedback encouraged?			
Do agency/organization policies reinforce and hold leadership accountable for: <ul style="list-style-type: none"> <li>• Merit system principles</li> <li>• Ethics in Government Act of 1978</li> <li>• Maintaining policies that avoid the performance/commission of prohibited personnel practices [Title 5 2301 (b) and 2302 (b)]</li> </ul>			
At a minimum, does agency/organization policy meet all applicable requirements for ethics training?			
Are ethical behavior standards and ethics training identified/provided for all employees, including both non-supervisory and supervisory?			
Are procedures established to ensure employees receive/attend the ethics training (i.e., stand-alone ethics training or part of the New Employees Orientation (NEO) training)? <b>(MICT Item 1.5.14)</b>			
Is a system in place for identifying violation of any of the above and ensuring corrective action is taken? <b>(MICT Items 1.5.15, 1.5.3, 1.5.5)</b>			

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**REVIEWER**

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**DATE**

**LEADERSHIP AND KNOWLEDGE MANAGEMENT CHECKLIST  
CONTINUOUS LEARNING**

**(Critical Success Factor: Continuous Learning)**

**CPS/Installation Checklist**

*(Use in conjunction with HAF AFIS Checklist Force Support Development Flight Item 1.5)*

<b>MAJCOM/Installation/Organization Name:</b>			
<b>Critical Success Factor: <u>Continuous Learning</u></b> - Leaders foster 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			
ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Are there established training programs? Are training programs integrated with other personnel management and operating activities? <b>(MICT Items 1.5.1 &amp; 1.5.6)</b>			
Does training policy address both immediate and continuing training needs?			
Do developmental opportunities focus on building mission-critical competencies? Is a full-range of developmental options offered/made available to meet mission-related organizational and employee development needs?			
Has a budget been established for training employees by, in, and through, Government and non-Government facilities? [5 CFR 410.201(a)] <b>(MICT Items 1.5.11, 1.5.12, 1.5.13, 1.2.1 &amp; 1.2.3)</b>			
Is adequate funding for mission-related training provided? <b>(MICT Items 1.5.11, 1.5.12, 1.5.13, 1.2.1 &amp; 1.2.3)</b>			
Are training priorities established and resources allocated according to those priorities? <b>(MICT Item 1.5.1)</b>			
Does strategic planning include mission-required training and development to ensure that training contributes to mission accomplishment and organizational performance goals are met? [5 CFR 410.101 (d)]			
Are employee development plans (IDPs, CDPs) used? <ul style="list-style-type: none"> <li>• Do employee development plans focus on improving employee and organizational performance?</li> <li>• Do they build and support a workforce capable of achieving agency mission/performance goals? [AFI 36-401, Ch 6]</li> </ul>			
Are systems established to ensure that employee training needs are identified and met?			

Are training needs assessments conducted at least annually in accordance with section 303 of E.O. 11348?			
Have procedures been established to ensure fair and equitable selection and assignment of employees to training in accordance with merit principles? <b>(MICT Item 1.5.5)</b>			
Are employees held responsible for self-development and for successfully completing and applying authorized training? [5 CFR 410.303] <b>(MICT Item 1.2.2)</b>			
Do employees share responsibility for identifying training needed to improve individual and organizational performance and identifying the methods to meet those needs?			
Is training evaluated to determine how well it meets short and long-range program needs by occupations, organizations, or other appropriate groups?			
Are written procedures established which include the minimum requirements for continued service agreements? <b>(MICT Item 1.5.7 &amp; 1.5.3)</b>			
Are training programs evaluated annually to determine how well such plans and programs contribute to mission accomplishment and meet organizational performance goals? [5 CFR 410.202]			

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**REVIEWER**

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**DATE**

**LEADERSHIP AND KNOWLEDGE MANAGEMENT CHECKLIST**  
**KNOWLEDGE MANAGEMENT**  
**(Critical Success Factor: Knowledge Management)**  
**CPS/Installation Checklist**

*(Use in conjunction with HAF AFIS Checklist Force Support Development Flight Item 1.5)*

<b>MAJCOM/Installation/Organization Name:</b>			
<b>Critical Success Factor: Knowledge Management</b> – The agency/organization systemically provides resources, programs, and tools for knowledge sharing across the agency/organization in support of its mission accomplishment			
ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Is there a process or program in place that encourages sharing of knowledge and information? Is formal mentoring used?			
Do knowledge sharing activities relate to projected competency needs and skills gaps?			
Are there processes/procedures for capturing, indexing, retrieving, and sharing data or information among a community of users in order to develop or maintain staff competencies?			
Is there an established community of practice for sharing key and critical corporate knowledge?			
Is the effectiveness of knowledge-sharing initiatives and knowledge management strategies assessed periodically?			
Are the process and/or program in place to encourage sharing of critical knowledge and information effective?			
Are employees making the best use of information technology to: <ul style="list-style-type: none"> <li>• Gather and share knowledge?</li> <li>• Improve individual and organizational performance?</li> </ul>			

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## RESULTS-ORIENTED PERFORMANCE CULTURE CHECKLIST

(Critical Success Factor: Awards)

CPS/Installation Checklist

*(Use in conjunction with HAF AFIS Checklist Force Support Manpower & Personnel Flight Item 2.2)*

<b>MAJCOM/Installation/Organization Name:</b>			
<b>Critical Success Factor: <u>Awards</u></b> - The agency/organization takes actions to recognize and reward individual or team achievement that contributes to meeting organization goals or improving the efficiency, effectiveness, and economy of the Government. Such awards include, but are not limited to: employee incentives which are based on predetermined criteria, rating-based awards, or awards based on a special act or service			
ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Has the agency/organization communicated the awards program with employees and supervisors?			
Is the agency/organization award program aligned with organizational goals?			
Are resources for improving performance, such as training costs, viewed as investments in employees and in the agency, and supported with adequate funding?			
Does the agency provide training on awards program to managers and supervisors? How to use awards to attract, retain and motivate employees?			
Does the Awards Program include a variety of types of awards (e.g., formal, monetary, nonmonetary, time-off)?			
Is accountability for the awards and recognition system monitored and assessed?			

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**DATE**

**RESULTS-ORIENTED PERFORMANCE CULTURE CHECKLIST**

**(Critical Success Factor: Communication)**

**CPS/Installation Checklist**

*(Use in conjunction with HAF AFIS Checklist Force Support Manpower & Personnel Flight Item )*

<b>MAJCOM/Installation/Organization Name:</b>			
<b>Critical Success Factor: <u>Communication</u></b> – A process for sharing information and ideas about the agency/organization with all employees. This vital process includes eliciting employee feedback and involvement so that all employees play an appropriate role in planning and executing the mission.			
ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Has the agency/organization developed and implemented a communication strategy to share the vision, strategic plan, and related information with the workforce? Does the strategy include communication through a variety of media (e.g., CoP, Intranet, Newsletters)?			
Has the agency/organization communicated the goals and objectives for achieving the mission to all levels of the workforce?			
Has the agency/organization involved employees in decision making processes that support organizational decisions? Are employees made aware of organizational changes in advance when possible?			
Are employees held accountable for achieving results that support the agency/organizational strategic plan goals and objectives?			
Are formal reviews conducted to assess the alignment of strategic plans and individual performance plans?			
Are effective communications maintained between supervisors and employees? If so, how?			
Do supervisors provide feedback to employees, through staff meetings or other methods, to keep them informed of the organizations' current direction, accomplishments, and areas where improvements will be focused?			

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**RESULTS-ORIENTED PERFORMANCE CULTURE CHECKLIST**  
**(Critical Success Factor: Diversity Management)**  
**CPS/Installation Checklist**

*(Use in conjunction with HAF AFIS Checklist EO and Force Support Manpower & Personnel)*

<b>MAJCOM/Installation/Organization Name:</b>			
<b>Critical Success Factor: <u>Diversity Management</u></b> - The agency/organization maintains an environment characterized by inclusiveness of individual differences and responsiveness to the needs of diverse groups of employees			
ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Does the agency/organization have a Diversity Management system that tracks and analyzes workforce diversity trends?			
Does the agency/organization ensure equal opportunities for employees, without discrimination as prescribed in 5 USC 7201?			
Is the intent of the agency/organization diversity program communicated to the workforce?			
Has the agency/organization published policies indicating zero tolerance for sexual harassment and discrimination in the workplace?  <b>Note:</b> [This indicator is under the jurisdiction of the EEOC]			
Does the agency/organization provide training for employees, managers, and supervisors in sexual harassment prevention?			
Does the agency/organization diversity program reflect that the workforce is aware of and supports diversity program efforts? Is this visible thru surveys and/or interviews?			
Has the agency/organization implemented the following Affirmative Employment Programs? <ul style="list-style-type: none"> <li>• Federal Equal Opportunity Recruitment Program (FEORP) [5 CFR 720.205],</li> <li>• The Disabled Veterans Affirmative Action Program (DVAAP) [5 CFR 720.304], and other outreach programs in accordance with 5 U.S.C. 7201 and the following Equal Employment Opportunity (EEO) laws? <ul style="list-style-type: none"> <li>- Title VII of the Civil Rights Act of 1964 (Title VII)</li> <li>- Equal Pay Act of 1963 (EPA)</li> <li>- Age Discrimination in Employment Act of 1973</li> <li>- Title 1 and Title 5 of the Americans with Disabilities Act of 1990 (ADA)</li> </ul> </li> </ul>			

<ul style="list-style-type: none"> <li>- Sections 501 and 505 of the Rehabilitation Act of 1973</li> <li>- Civil Rights Act of 1991</li> </ul> <p><b>Note:</b> [The Equal Employment Opportunity Commission is the jurisdictional authority for the EEO laws listed immediately above, not OPM. These legal citations are listed for human capital practitioners' reference because agencies are subject to them]</p>			
<p>Has the agency/organization implemented the following Special Emphasis Programs?</p> <ul style="list-style-type: none"> <li>• Federal Women's Program (FWP)</li> <li>• Hispanic Employment Program (HEP)</li> <li>• People with Disabilities Program (PWD)</li> <li>• Black Employment Program (BEP)</li> <li>• Asian American/Pacific Islander Employment Program (AAEP)</li> <li>• American Indian/Alaska Native Employment Program (AIEP)</li> </ul>			
<p>Has the agency/organization communicated awareness of the Special Emphasis Program to managers and supervisors?</p>			
<p>Has the agency/organization implemented a diversity management program that reflects positive results in creating a diverse workforce?</p>			
<p>Does the agency/organization support forums and activities for recognized interest groups to provide ways to communicate the importance of diversity to the workforce?</p>			
<p>Are employees, and applicants for employment, receiving fair and equitable treatment in all aspects of personnel management without regard to political affiliation, race, color, religion, national origin, sex, marital status, age, or handicapping condition, and with proper regard for their privacy and constitutional right? [5 U.S.C. 2301(b)(2)]</p>			

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**REVIEWER**

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**DATE**



**RESULTS-ORIENTED PERFORMANCE CULTURE CHECKLIST**

**(Critical Success Factor: Labor/Management Relations)**

**CPS/Installation Checklist**

*(Use in conjunction with HAF AFIS Checklist Force Support Manpower Personnel Flight Items 2.5.1 - 2.5.5)*

<b>MAJCOM/Installation/Organization Name:</b>			
<b>Critical Success Factor: <u>Labor/Management Relations</u></b> - The agency/organization promotes cooperation among employees, unions, and managers. This cooperation enhances effectiveness and efficiency, cuts down the number of employee-related disputes, and improves working conditions, all of which contribute to improved performance and results			
ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Does the agency/organization train management officials and supervisors in their duties, responsibilities, and obligations under the AF labor relations program? [AFI 36-701, para.5]			
Are procedures in place for sharing information to management officials and supervisors on the aspects of the AF labor relations program? [AFI 36-701, para 5]			
Does the agency/organization maintain an effective working relationship among employees, union officials and managers?			
Does the agency/organization ensure employees are aware of their right to form, join, or assist any labor organization or to refrain from any such activity, freely and without fear of penalty or reprisal and shall be protected in the exercise of such right? [5 USC 71]			
Does the agency/organization ensure employees are advised of their Weingarten rights under the labor management relations program? [5 USC 7114(a)(2)(b) and (a)(3)]			

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**REVIEWER**

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**DATE**

**RESULTS-ORIENTED PERFORMANCE CULTURE CHECKLIST**  
**(Critical Success Factor: Pay for Performance)**

<b>MAJCOM/Installation/Organization Name:</b>			
<b>Critical Success Factor: Pay for Performance</b> – The agency/organization uses pay-for-performance systems, where authorized by law and regulation, to link salary levels and adjustments to an individual’s overall performance and contribution to the agency/organization mission. Employees receive base salary adjustments within their assigned bands			
ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Are pay adjustments, cash awards, and levels of pay based on the results of the appraisal?			
Are managers, supervisors, and employees familiar with, and/or trained on performance, salary adjustments and awards?			
Has the agency/organization established an awards program linking award amount to specific ratings?			
Are distribution of pay adjustments and bonuses based on individual contribution, and/or team performance?			
Is accountability for the performance system including management accountability monitored and assessed?			
Is a process in place for communicating the pay system and how it operates?			

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**REVIEWER**

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**DATE**

**RESULTS-ORIENTED PERFORMANCE CULTURE CHECKLIST**  
**(Critical Success Factor: Performance Appraisal)**

<b>MAJCOM/Installation/Organization Name:</b>			
<b>Critical Success Factor: <u>Performance Appraisal</u></b> – The agency/organization has a process under which performance is reviewed and evaluated			
ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Does the performance management system provide a clear vision to guiding the planning, investment, and management of human capital to achieve performance improvements consistent with the agency’s strategic goals and objectives?			
Do managers make meaningful and fair distinctions in levels of performance (including quality step increases, if applicable) under the agency’s performance management (Pass/Fail appraisal system) and recognition system?			
Does the system differentiate between high and low performers?			
Are procedures established for periodically evaluating the effectiveness of the appraisal system, e.g., survey results, and/or interview so evaluation results can be used to the improve the performance system?			
Are procedures established for addressing poor performance?			
Are employees encouraged to participate and provide feedback in establishing their performance plans and to ensure plans are current and accurate?			
Are procedures established to ensure rating officials receive training on performance management?			

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**REVIEWER**

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**DATE**

**TALENT MANAGEMENT PROGRAM CHECKLIST  
STAFFING AND COMPENSATION PROGRAMS  
(Critical Success Factor: Recruitment & Retention)  
(Checklist to be used in conjunction with Strategic Alignment Checklist)**

<b>MAJCOM/Installation/Organization Name:</b>			
<b>Key Elements - <u>General Staffing and Compensation</u></b> – Determining whether staffing and compensation authorities, as well as flexibilities are used as a part of an overall integrated agency/organization staffing plan to meet the agency/organization talent needs			
<b>ITEMS</b>	<b>Y/N</b>	<b>N/A</b>	<b>COMMENTS (may be asked to provide examples)</b>
Has accountability been established for use of staffing and compensation flexibilities? Is accountability monitored and assessed, with adjustments, if necessary?			
<b>GENERAL STAFFING</b>			
Are staffing authorities and flexibilities (e.g., Direct Hire, Federal Career Intern Program, 30% or more Disabled Veteran, etc) used to support agency/organization mission? Are various appointment authorities used to obtain candidates with mission-critical competencies to support agency/organization needs?			
Are staffing actions reflective of, and made in concert with, agency/organization staffing plans? [AFMAN 36-203]			
Is the use of various staffing authorities assessed for effectiveness and efficiency, including quality and quantity of candidates, timeliness, and cost?			
Has the organization implemented a personnel security evaluation program that meets applicable requirements? (e.g., Executive Orders 10450 and 12968, 5 CFR 732 and 736, DoD Reg 5200.2-R, AFD 31-5 and AFI 31-501)			
Are recruiting, selection, and retention processes merit-based?			
Are authorities used to support agency/organization initiatives, (e.g., promote itself as an employer of choice, establish contacts with recruitment sources, develop a recruitment pool for permanent jobs, etc.)?			
Are public policy initiatives supported? (e.g., employment of veterans, women & minorities)			
Do managers, supervisors, and HR staff understand the appropriate uses of staffing authorities and are they held accountable for			

their staffing decisions?			
Is the use of staffing authorities consistent with sound business practices (e.g., return on investment)?			
Are conversions of Schedule C appointees approved by OPM and are the appointments in accordance with law and regulation?			
<b>COMPENSATION</b>			
Are compensation authorities and flexibilities used appropriately, efficiently and effectively to support agency/organization mission?			
Are compensation flexibilities a planned management action, in concert with agency/organization staffing plans?			
Do managers consider using non-monetary (Tele-work, AWS, etc.) in lieu of monetary compensation flexibilities in filling positions?			
Are various compensation flexibilities used to address recruitment and retention needs, (e.g., 3R's, advance in-hire-rates, highest previous rate, student loan repayments, etc.)?			
Are annual reviews of retention incentives conducted? Is documentation of review and findings on file? Are retention incentives terminated when determined that they are no longer needed?			
Are managers, supervisors, and HR staff knowledgeable of available compensation authorities, understand the appropriate uses of the authorities, and held accountable for their proper use?			

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**REVIEWER**

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**DATE**

**TALENT MANAGEMENT CHECKLIST  
QUALITY OF WORK/LIFE PROGRAMS  
(Critical Success Factors: Recruitment and Retention)**

<b>MAJCOM/Installation/Organization Name:</b>			
<b>Critical Success Factors: <u>Recruitment</u>:</b> The workforce plan drives the aggressive and strategic recruitment of diverse and qualified candidates for the agency's workforce. <b><u>Retention</u>:</b> Leaders, managers, and supervisors create and sustain effective working relationships with employees. The workplace is characterized by: A motivated and skilled workforce, attractive and flexible working arrangements, compensation packages and other programs used to hire and retain employees who possess mission-critical skills, knowledge, and competencies.			
ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Retention policies and practices adhere to merit system principles set forth in 5 U.S.C. 2301 and other Federal laws, rules, and regulations, (e.g., 5 U.S.C. 5301 and 5706; the Federal Workforce Flexibility Act of 2004; 5 CFR 531, 550, and 575; etc.)			
<p>Are work-life flexibilities, facilities, services and programs provided? [Physical Fitness, Employee Assistance Program (EAP), etc]</p> <ul style="list-style-type: none"> <li>• Are there policies and procedures that describe guidelines for flexible tours of duty, telework, and work-life programs and services?</li> <li>• Does the agency/organization track and analyze work-life flexibilities and their impact on recruitment and retention? Is entrance and exit interview data analyzed to assess impact of these programs on retention?</li> <li>• Govt-wide Surveys and/or other surveys and interviews indicate a positive work environment</li> <li>• Clients of EAPs report satisfaction</li> <li>• Does agency/organization track and analyze indicators such as Worker's Compensation claim rates and safety and air quality inspection data? Cost &amp; benefit of programs?</li> </ul>			
<p>Do senior leaders/managers promote the use of these programs?</p> <p>Are quality of work-life programs communicated with supervisors and employees? How? (e.g., AF Portal, HR Advisories, CPS, newsletters, email, etc.)</p> <p>Are these programs communicated to prospective applicants? (e.g., JOAs, job fairs, Web pages, etc.)</p>			

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**REVIEWER**

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**DATE**

**TALENT MANAGEMENT PROGRAM CHECKLIST  
RECRUITMENT & HIRING PROCESS  
CPS/Installation Checklist**

*(Use in conjunction with HAF AFIS Checklist Force Support Development Flight Item 1.5)*

<b>MAJCOM/Installation/Organization Name:</b>			
<b>Critical Success Factors</b>			
<p><b>Recruitment:</b> The workforce plan drives the aggressive and strategic recruitment of diverse and qualified candidates for the agency's workforce. <b>Retention:</b> Leaders, managers, and supervisors create and sustain effective working relationships with employees. The workplace is characterized by: A motivated and skilled workforce, attractive and flexible working arrangements, compensation packages and other programs used to hire and retain employees who possess mission-critical skills, knowledge, and competencies</p>			
ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
<p>Do agency/organization leaders and HR professionals review recruitment, hiring, and merit promotion programs to ensure fair hiring and placement actions?</p> <ul style="list-style-type: none"> <li>• Monitor the use of competitive and non-competitive placement actions to include a breakdown by RNO and gender?</li> <li>• Reports show all types of staffing actions are monitored for compliance?</li> <li>• Personnel actions show corrective action is taken on reported violations?</li> </ul>			
<p>Are applicants notified of status of application at 4 points in the process? Applicants receive notification when:</p> <ul style="list-style-type: none"> <li>• Application received</li> <li>• Application assessed for qualifications</li> <li>• Referred or not referred to selecting official</li> <li>• Selected or not selected</li> </ul> <p>[OMB Memorandum M-09-20 dtd 11 Jun 09, OPM Memorandum dtd 18 Jun 09]</p>			AFPC/AFPC-OL responsibility
<p>Does the agency/organization application process enable rather than deter job seekers?</p> <ul style="list-style-type: none"> <li>• Vacancy announcements clear</li> <li>• Surveys and interviews reflect a positive experience</li> <li>• Length of time to hire tracked and analyzed</li> </ul>			AFPC/AFPC-OL responsibility
<p>Are selecting officials involved in the hiring process?</p>			
<p>Do recruitment efforts produce a sufficient number of high-quality, diverse candidates?</p>			

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**REVIEWER**

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**DATE**

## Appendix B

### Human Resources (HR) Compliance Review and Checklists

In addition to HC Program review to determine agency/organization success in supporting mission accomplishment and effectiveness, you must conduct a review to assess compliance with legal and regulatory requirements and adherence to Merit System Principles. Compliance involves review of personnel actions and supporting documentation within the core HR functions (Staffing, Affirmative Employment, Employee Relations and Labor Relations). You will conduct the review using:

- Case files
- eOPFs
- Recruitment and placement actions
- Individual personnel actions

The review should also identify strengths and weaknesses that may impact overall HC program effectiveness and ensure that problems are identified and addressed or dealt with in a timely manner.

Compliance reviews will be conducted using random or targeted samples from key process areas of civilian personnel operations (e.g., recruitment and placement case files, personnel actions, employee performance plans, award justifications, adverse actions, monetary and non-monetary incentives, etc.). In this context, processing is much broader than clerical and procedural functions. For example, recruitment and placement processes may include measures of timeliness as well as measures of the extent to which an adequate number of well-qualified candidates were made available to the selecting official.

In each area, the functions listed may be performed at a Human Resources Service Center, Civilian Personnel Section, or other organization. Each organization is responsible for assessing the functions it performs. Checklists titles reflect those for which CPSs/Installations are responsible and those for which AFPC/AFPC-OL is responsible.

Use the following approach for each function to perform a self-assessment:

- Identify component or step in the key HR process for review (employee performance plans, recruitment and placement, etc.)

Locate applicable checklist items in Management Internal Control Toolkit (MICT)

- Use the random sample provided by the AFPC Program Oversight Section for the review. (see the Random Sample table below). If recruitment and placement activities are conducted at a separate location, you must ensure that you and your servicing center POC review the same actions or case files selected from the random sample if applicable.



**Note:** Self-Assessment of Delegated Examining (DE) recruitment and placement actions are conducted under a separate self-evaluation process and monitored by Defense Civilian Personnel Advisory Services (DCPAS) DE Oversight Office.

### Suggested Method for Determining/Selecting a Random Sample

Business Objects (B.O.) reports are available for use and can be modified to identify actions processed during a specified period. These reports are located in the B.O. Corporate Reports Library. These B.O. products will be used to retrieve listings of actions processed during the review period. The random sample table reflects minimum sample sizes sufficient to reflect program conditions. Based on the number of actions, select a random sample using the table below:

Total # of Actions	Minimum # for Review	Min # Appraisals/Awards
Less than 10	4	4
10	8	8
20	12	12
30	15	15
50	20	20
100	25	25
200	27	27
500	30	30
1000	33 - 36	40
1500	36 - 42	40
Over 1500	42 (CL 95%)	50

The random sample number was determined using a confidence level (CL) of 90% except where table indicates a CL of 95% was used. The 90% confidence level means you can be 90% certain that the results of the review will accurately determine the health of the program.

- Identify and select the items on the checklist that pertain to the services your organization provides
- Review the regulatory, procedural requirements
- Complete the appropriate checklist items

### Using the Checklists

The compliance checklists primarily fall under two of the HCAAF systems, Results-Oriented Performance Culture and Talent Management. For instance, the Talent Management Checklist, Appointment/Conversion Actions (page B17), should assist you in determining whether an appointment action complies with legal and regulatory requirements and adheres to merit system principles. Standardized checklists contain legal, regulatory and AFI requirements. They do not address individual MAJCOM or installation requirements. You may supplement the AF

standardized checklists to address your organizational unique requirements; however supplementation should not exceed guidance or requirements above AF level.

Complete a checklist for each action selected for review. Fill out your portion of the checklist(s) completely indicating “Yes”, “No” or “N/A” for each item.

- If “Yes”, you should be prepared to provide visible evidence supporting your response.
  - If your response is “No”, there may be a discrepancy or violation. You must determine if and what corrective action will be required.
  - If you are not responsible for the program item, mark “N/A”.
  - Use the COMMENTS section where applicable to describe how the agency/organization meets or does not meet the requirements in the checklist item(s).
- 
- Gather and summarize results on Self-Assessment Summary (Appendix C)
  - In addition to the summary, use the results of the assessment to complete appropriate items in the Management Internal Controls (MICT) database in accordance with the AF Self-Inspection System (AFIS). Completed checklists and Self-Assessment Summary should be uploaded as supporting documentation in the MICT .....

### **Summarize the Results**

- 1) Conduct the review and complete appropriate HCAAF checklists.
- 2) Summarize the findings on the worksheet at Appendix C and list actions reviewed for each HR function.
- 3) Record the results in the appropriate MICT checklist and upload the completed checklists and summary into the appropriate MICT checklist along with other supporting documentation.
- 4) Forward summary of findings and completed HCAAF checklists to MAJCOM A1.
- 5) Maintain the summary along with completed checklists. Summary should identify any items that may be considered as “best practices” or deficiencies”.

Results of the self-assessment will be used to identify areas where process improvement is needed and shared when best practices are identified. Self-assessment files and documentation should be retained for comparison over time, to show possible trends, and for validation by higher-level program offices.

## Compliance Review Checklists

Use checklists contained in this appendix for compliance review portions of the self-assessment.

<b>Compliance Checklist Index</b>	<b>Page Number</b>
<b>Results Oriented Performance Culture</b>	<b>B5 – B16</b>
• Administrative Grievance ( <b>HAF MICT Item 2.5.4</b> )	B5
• Notable Achievement Award	B6
• Performance Appraisal	B7
• Quality Step Increase	B8
• Removal ( <b>HAF MICT Item 2.4.2</b> )	B9
• Reprimand ( <b>HAF MICT Item 2.4.2</b> )	B11
• Special Act Service Award	B12
• Suspension ( <b>HAF MICT Item 2.4.2</b> )	B13
• Time Off Award	B15
<b>Talent Management</b>	<b>B17 – B67</b>
• Appointment & Conversion Actions ( <b>AFPC MICT Checklist and HAF MICT item 2.7.1</b> )	B17
• Competitive Actions ( <b>AFPC MICT Checklist and HAF MICT item 2.1.2</b> )	B22
• Credit for Prior Non-Federal Work Experience & Certain Military Service for Determining Leave Accrual Rate ( <b>HAF MICT item 2.6.3</b> )	B26
• Non-Competitive Actions (AFPC MICT Checklist)	B29
• Official Personnel Folder (OPF) Documentation	B35
• Recruitment Incentive (HAF MICT item 2.6.1)	B40
• Relocation Incentive ( <b>HAF MICT item 2.6.1</b> )	B44
• Retention Incentive ( <b>HAF MICT item 2.6.1</b> )	B47
• Staffing Case File Review (AFPC MICT Checklist)	B51
• Student Loan Repayment Program (SLRP) ( <b>HAF MICT item 2.6.2</b> )	B57
• Superior Qualifications Pay Setting Authority ( <b>HAF MICT item 2.6.1</b> )	B60
• Vacancy Announcement (AFPC MICT Checklist)	
• Voluntary Early Retirement Authority (VERA) Voluntary Separation Incentive Payment (VSIP) ( <b>HAF MICT item 2.3.1</b> )	B64

**RESULTS ORIENTED PERFORMANCE CULTURE CHECKLIST  
ADMINISTRATIVE GRIEVANCE  
CPS/Installation Checklist**

*(Use in conjunction with HAF AFIS Checklist Force Support Manpower Personnel Flight Item 2.5.4)*

**MAJCOM/Installation/Organization Name:**

**References: 5 CFR 771; DoD1400.25-M Subchapter 771; AFI 36-706; Administrative Grievance System; AFPD 36-12; Dispute Resolution**

ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Are grievance, appeal, and complaint procedures publicized to all employees? [AFI 36-706, 2.8]			
Has the Civilian Personnel Section (CPS) retained responsibility for providing policy direction and technical advice during grievance proceedings by serving as management's representative? [AFI 36-706, 2.8]			
Are alternative dispute resolution (ADR) techniques available and are employees informed of ADR options? [DoD 1400.25-M, SC771.2.2; 771.4.6, AFI 36-706, ]			
Is the use of ADR approach such as mediation or settlement monitored and assessed? If so, how?			
Do supervisors provide employees with responses to <b>informal</b> grievances within 15 calendar days (but not later than 30 calendar days)? [DoD 1400.25M, SC771.4.6.1.2; SC 771.4.6.2.4, AFI 36-706.4.3]			
Did the deciding official in a <b>formal</b> grievance issue a written decision not later than 60 calendar days? AFI 36-706, 5.3			
Are employees provided a reasonable amount of duty time to prepare grievances and to meet with representatives, management and CPS? [DoD 1400.25M, SC 771, 4.1., AFI 36-706. 5.10]			
Are grievance files retained within the CPS for 4 years (but no longer than 7 years) after case is closed?? [AFI 36-706, 5.11]			

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**REVIEWER**

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**DATE**

**RESULTS-ORIENTED PERFORMANCE CULTURE CHECKLIST**  
**(Critical Success Factor: Awards) NOTABLE ACHIEVEMENT AWARD (NAA)**  
**CPS/Installation Checklist**

<b>Employee Name:</b>	
<b>MAJCOM/Installation/Organization Name:</b>	
<b>Position Title/PP/Series/Grade:</b>	
<b>Award Amount:</b>	<b>Effective Date:</b>
<b>Performance Rating:</b>	<b>Date of Rating:</b>
<b>NOA/NOAC:</b>	<b>LAC/Legal Authority:</b>
<b>Base Salary:</b>	<b>Date of Prior QSI:</b>

**References: 5 CFR 451 and 531; 5 USC Chapter 45; AFI 36-1004, The Air Force Civilian Recognition Program; DoD 1400.25-M Subchapter 451**

ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Does the submission of the award comply with the method of nomination? [AFI 36-1004, Table 2.1]			
Was Request for Personnel Action (RPA) submitted?			
Does RPA include effective date and award amount?			
NAA may not be granted to an individual who has received a previous monetary award for the same contribution. Is NAA submitted for a contribution for which a previous award was granted? [AFI 36-1004, 3.5.2]			
<b>DOCUMENTATION</b>			
Has written justification been documented if award not based on a rating of record? [5 CFR 451.103 (c)(2)]			
Does each nomination package include: <ul style="list-style-type: none"> <li>• AF Form 1768, Staff Summary Sheet</li> <li>• Purpose of Award</li> <li>• Background</li> <li>• Justification</li> <li>• Citation</li> <li>• Date award recommendation submitted</li> <li>• Date approved by approving official</li> </ul> Package retained in employee performance folder?			
<b>NOTABLE ACHIEVEMENT AWARD</b>			
<ul style="list-style-type: none"> <li>• Is award amount from \$50 to \$500?</li> <li>• Approved by second level supervisor?</li> <li>• Was nomination submitted within 30 calendar days of the act, service or achievement?</li> <li>• Is AF Form 3032, Certificate of Achievement used for award recognition? [AFI 36-1004, 3.5.4]</li> </ul>			
<b>NOTIFICATION OF PERSONNEL ACTION</b>			
Is correct NOA used? (no LAC required) NOAC/NOA: 849 Individual Cash Award NRB [GPPA Ch 29, Table 29]			

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**REVIEWER**

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**DATE**

**RESULTS-ORIENTED PERFORMANCE CULTURE CHECKLIST**  
**(Critical Success Factor: Performance Appraisal)**  
**CPS/Installation Checklist**

<b>Employee Name:</b>	
<b>MAJCOM/Installation/Organization Name:</b>	
<b>Title, PP/Series/Grade:</b>	
<b>Performance Rating:</b>	<b>Date of Rating:</b>

**References: 5 CFR 430; AFI 36-1001, Managing the Civilian Performance Program;**

ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Are performance plans provided to employees at the beginning of the rating period (normally within 30 calendar days)? [5 CFR 430.206(b)(2)] [AFI 36-1001 1.8.1]			
Is performance plan based on current work assignment and responsibilities? [5 CFR 430.206(3)] [AFI 36-1001 1.8.1]			
Has at least one progress review (using AF 860B) been completed during the appraisal period? [5 CFR 430-207(b)] [AFI 36-1001, 1.8.2.]			
Is the AF Form 860A/AF 1003 signed and dated by the rating/reviewing officials? [AFI 36-1001 2.7.5]			
Did the employee sign/date acknowledging receipt of the appraisal? Or CPS annotated that employee declined to sign? [AFI 36-1001 2.7.8]			
If performance is unacceptable did the supervisor inform the employee in writing? Was employee provided an opportunity period to demonstrate acceptable performance? [5 CFR 430.207(1)] [AFI 36-1001, 5.4.1 & 5.4.3]			
Are procedures established for addressing poor performance? Has this been communicated to supervisor to assist with this process? Does review of case file indicate appropriate steps have been taken and documented? [AFI 36-1001 5.4]			
Is unacceptable rating reviewed and approved by higher management official?			
Are employees encouraged to participate and provide feedback in establishing their performance plans and to ensure plans are current and accurate? [5 CFR 430.204(5)(c)]			
Does the Employee Performance File (EPF) contain the current original performance appraisal? [5 CFR 293.402(a) and 5 CFR 293.403] AFI 36-1001 2.7.9			
Is a quality control process in place to ensure accurate completion of appraisal process? [AFI 36-1001, 2.7.7]			CPS should provide the process/plan for quality control

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**REVIEWER**

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**DATE**

**RESULTS-ORIENTED PERFORMANCE CULTURE CHECKLIST  
 QUALITY STEP INCREASE (QSI)  
 CPS, Installation Checklist –**

*(Use in conjunction with HAF AFIS Checklist Force Support Manpower Personnel Flight Item 2.5.4)*

<b>Employee Name:</b>	
<b>MAJCOM/Installation/Organization Name:</b>	
<b>Position Title/PP/Series/Grade:</b>	
<b>Effective Date:</b>	<b>Base Salary:</b>
<b>NOA/NOAC:</b>	<b>LAC/Legal Authority:</b>
<b>Performance Rating:</b>	<b>Date of Rating:</b>
<b>QSI to step:</b>	<b>Date of Prior QSI:</b>

**References: AFI 36-1001, Managing the Civilian Performance Program; DoD 1400.25-M Subchapter 451**

ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Was the QSI accomplished in conjunction with the annual performance rating? [AFI 36-1001, 2.8.2]			
Has employee displayed the highest quality of performance? [5 CFR 531.504(2), AFI 36-1001, 2.8.1]			
Employee granted a QSI: <ul style="list-style-type: none"> <li>• Was in a GS pay plan? [5 CFR 531.402(a)]</li> <li>• Has not received a QSI within the preceding 52 consecutive calendar weeks? [5 CFR 531.505]</li> <li>• Has not received a QSI at the same grade level within the preceding 3 years unless approved by MAJCOM? [AFI 36-1001, 2.8.3]</li> </ul>			
Did the CPS ensure that a performance cash award was not granted for the same period of performance as the QSI? Requires case review. [AFI 36-1001, 2.8.4]			
Was employee at or above step 4 of their grade when QSI was granted? [AFI 36-1001, 2.7.4.2]			
<b>DOCUMENTATION</b>			
Does justification package include: <ul style="list-style-type: none"> <li>• AF Form 860A, part C in bullet format</li> <li>• Accomplishments in the employee position</li> <li>• Signature/date of rating official in Part E</li> <li>• Signature/date of approving official</li> </ul> Package maintained in employee performance folder?			
<b>NOTIFICATION OF PERSONNEL ACTION</b>			
Is effective date of QSI the beginning of the pay period after approval and eligibility requirements verified? [AFI 36-1001, 2.8.4] Is correct NOA and LAC used? <ul style="list-style-type: none"> <li>• NOAC/NOA: 892 Irreg Perf Pay</li> <li>• LAC/LA: RBM Reg.531.501</li> </ul> [GPPA 17, Table 17-A]			

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**RESULTS ORIENTED PERFORMANCE CULTURE CHECKLIST  
DISCIPLINE AND ADVERSE ACTIONS - REMOVAL and TERMINATION  
CPS/Installation Checklist**

*(Use in conjunction with HAF AFIS Checklist Force Support Manpower Personnel Flight MICT Item 2.4.2)*

<b>Employee Name:</b>	
<b>MAJCOM/Installation/Organization Name:</b>	
<b>Position Title, PP/Series/Grade:</b>	
<b>Type of Action: Removal:</b>	<b>Effective Date(s):</b>

**References: 5 U.S.C Chapter 75; 5 CFR 752; AFI 36-704; Discipline and Adverse Action; AFI 36-1001, Managing the Civilian Performance Program**

ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Are all proposed and decision letters signed by the first or higher level supervisor? [AFI 36-704 5.2.1]			
Are actions taken reasonable? Are similar penalties imposed in similar cases of an equivalent nature?			
Are actions administered in a timely manner? (Compare the date of the incident that gave rise to management's desire to take an action, to the date of proposed and final notice of decision.) [See provisions of a Collective Bargaining Agreement if employee covered by agreement]			
<b>DOCUMENTATION</b>			
Does the case file contain the required documentation?  <ul style="list-style-type: none"> <li>• Notice of proposed action</li> <li>• Douglas Factors (factors relevant to penalty selection)</li> <li>• Employee's written reply, if any</li> <li>• Summary of the employee's oral reply, if any</li> <li>• Notice of decision; and reasons</li> <li>• Any order, effecting the action, together with any supporting material such as <ul style="list-style-type: none"> <li>• Statements of witnesses</li> <li>• Investigative reports or extracts from the reports</li> <li>• Relevant material concerning any previous record or action that serves as an the basis for the current action</li> </ul> </li> </ul>			
[AFI 36-704 14.4.] [AFI 36-1001 5.5.13]			
When proposing an action was employee provided:  <ul style="list-style-type: none"> <li>• Advance written notice stating reason(s) for proposed action?</li> <li>• A reasonable time, to reply to charges orally</li> </ul>			



<p>and/or in writing to support their answer?</p> <ul style="list-style-type: none"> <li>• The right to be represented by an attorney or other representative?</li> <li>• If applicable, copy of Optional Form 283 (U.S. Merit Systems Protection Board Appeal Form), a copy, or access to a copy of MSPB regulations. <ul style="list-style-type: none"> <li>○ Was notice of proposed action, answer from employee, summary, or any other supporting documentation furnished to MSPB upon request?</li> </ul> </li> <li>• Were facts carefully reviewed making sure it supported the conclusion? <ul style="list-style-type: none"> <li>○ Employee demonstrated unwillingness or refusal to conform to the rules</li> <li>○ Breached the employee-employer relationship that other rehabilitation is not appropriate</li> <li>○ That offense warranted a removal</li> </ul> </li> </ul> <p>[AFI 36-704 14.2.1]</p>			
<b>PERSONNEL ACTION</b>			
<ul style="list-style-type: none"> <li>• Name, SSN, DOB (correct and consistent on all documents)</li> </ul>			
<p>Effective Date – meets “prior approval” criteria &amp; appropriate eff date?</p> <ul style="list-style-type: none"> <li>○ GPPA, Ch 3, Para 1-3 &amp; Tables 3-A &amp; 3-B</li> <li>○ GPPA Ch 4, Tables 4-A &amp; 4-B</li> </ul>			
<p>Nature of Action/NOAC [GPPA Chap 31, Table 31-B]</p> <ul style="list-style-type: none"> <li>• 330 Removal</li> <li>• 357 Termination</li> <li>• 385 Termination during prob/trial period</li> </ul>			
<p>Legal Authority/LAC [GPPA Chap 31, Table 31-B]</p>			
<p>Remarks Appropriate for NOA/NOAC (GPPA/AF approved local remarks/AF blue pages)</p> <ul style="list-style-type: none"> <li>• Required remark M67</li> </ul>			

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**RESULTS ORIENTED PERFORMANCE CULTURE CHECKLIST  
DISCIPLINE AND ADVERSE ACTIONS – REPRIMAND  
CPS/Installation Checklist**

*(Use in conjunction with HAF AFIS Checklist Force Support Manpower Personnel Flight MICT Item 2.4.2)*

<b>Employee Name:</b>	
<b>MAJCOM/Installation/Organization Name:</b>	
<b>Position Title, PP/Series/Grade:</b>	
<b>Type of Action: Letter of Reprimand</b>	<b>Effective Date(s):</b>

**References: 5 U.S.C Chapter 75; 5 CFR 752; AFI 36-704; Discipline and Adverse Action**

ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Is action corrective and rehabilitative rather than punitive? [AFI 36-704 7.3]			
Are actions taken reasonable and are similar penalties imposed in similar cases of an equivalent nature?			
<b>Note:</b> If employee is covered by collective bargaining agreement , follow provisions of agreement			
<b>REPRIMAND</b>			
Did the Supervisor <ul style="list-style-type: none"> <li>• Provide Notice of proposed reprimand (Orally or in writing)</li> <li>• Give employees opportunity to reply</li> <li>• Consider employee’s reply</li> <li>• Advise employee a decision will be issued</li> </ul> [AFI 36-704 12.4.5]			
Is the reprimand: <ul style="list-style-type: none"> <li>• Noted on the employee’s AF Form 971?</li> <li>• Deleted when the reprimand expired?</li> </ul> [AFI 36-704 12.1.3.]			
<b>DOCUMENTATION</b>			
Was DCPDS updated with proper coding of reprimand? <ul style="list-style-type: none"> <li>• US Fed Conduct Perf</li> <li>• Effective date</li> <li>• Adverse Action NOAC</li> <li>• Cause of disciplinary action</li> </ul> Start date should match effective date			

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**RESULTS-ORIENTED PERFORMANCE CULTURE CHECKLIST**  
**(Critical Success Factor: Awards)**  
**SPECIAL ACT SERVICE AWARD (SASA)**  
**CPS/Installation Checklist**

<b>Employee Name:</b>	<b>Position Title/PP/Series/Grade:</b>
<b>MAJCOM/Installation/Organization Name:</b>	
<b>Award Amount:</b>	<b>Effective Date:</b>
<b>Performance Rating:</b>	<b>Date of Rating:</b>
<b>NOA/NOAC:</b>	<b>LAC/Legal Authority:</b>

**References: 5 CFR 451 and 531; 5 USC Chapter 45; AFI 36-1004, The Air Force Civilian Recognition Program; DoD 1400.25-M Subchapter 451**

ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Does the submission of the award comply with the method of nomination? [AFI 36-1004, Table 2.1]			
<b>DOCUMENTATION</b>			
Is written justification on file for awards not based on a rating of record? [5 CFR 451.103 (c)(2)]			
Does the nomination package include: <ul style="list-style-type: none"> <li>• AF Form 1768, Staff Summary Sheet</li> <li>• Purpose of Award</li> <li>• Background</li> <li>• Justification</li> <li>• Citation</li> <li>• Date award recommendation submitted</li> <li>• Date approved by approving official</li> </ul>			
<b>SPECIAL ACT OR SERVICE AWARD (SASA)</b>			
<ul style="list-style-type: none"> <li>• Does the act, service or achievement result in either tangible/intangible benefits or both to the Government?</li> <li>• Is award amount from \$501 to \$10,000?</li> <li>• Was nomination submitted at least 60 calendar days of the act, service or achievement?</li> <li>• Is AF Form 2860, Special Act or Service Award used for award recognition?</li> <li>• If award greater than \$10,000, staffed through command channels for forwarding to OPM for approval? [AFI 36-1004, Ch 3.2]</li> </ul>			
<b>SF-50 NOTIFICATION OF PERSONNEL ACTION</b>			
Correct NOA and LAC used? NOAC/NOA: 849 Individual Cash Award NRB LAC/LA: N/A [GPPA Ch 29, Table 29]			

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**RESULTS ORIENTED PERFORMANCE CULTURE CHECKLIST  
DISCIPLINE AND ADVERSE ACTIONS – SUSPENSION  
CPS/Installation Checklist**

*(Use in conjunction with HAF AFIS Checklist Force Support Manpower Personnel Flight MICT Item 2.4.2)*

<b>Employee Name:</b>	
<b>MAJCOM/Installation/Organization Name:</b>	
<b>Position Title, PP/Series/Grade:</b>	
<b>Type of Action:</b>	<b>Effective Date(s):</b>
<b>Suspension Days:</b>	

**References: 5 U.S.C Chapter 75; 5 CFR 752; AFI 36-704; Discipline and Adverse Action**

ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
Are all proposed and decision letters signed by the first or higher level supervisor? [AFI 36-704 5.2.1]			
Is disciplinary action corrective and rehabilitative rather than punitive? [AFI 36-704 7.3]			
Are actions taken reasonable and are similar penalties imposed in similar cases of an equivalent nature?			
Are actions administered in a timely manner? (Compare the date of the incident that gave rise to management's desire to take an action, to the date of proposed and final notice of decision.) [See provisions of a Collective Bargaining Agreement if employee covered by agreement.]			
<b>DOCUMENTATION</b>			
Does the case file contain the required documentation?  <ul style="list-style-type: none"> <li>• Notice of proposed action;</li> <li>• Douglas Factors (factors relevant to penalty selection)</li> <li>• Employee's written reply, if any;</li> <li>• Summary of the employee's oral reply, if any;</li> <li>• Notice of decision; and</li> <li>• Any order, effecting the action, together with any supporting material such as: <ul style="list-style-type: none"> <li>• Statements of witnesses</li> <li>• Investigative reports or extracts from the reports</li> <li>• Relevant material concerning any previous record or action that serves as an the basis for the current action</li> </ul> </li> </ul> [AFI 36-704 14.4.]			
When proposing an action was employee provided; <ul style="list-style-type: none"> <li>• Advance written notice stating reason(s) for proposed action?</li> </ul>			

<ul style="list-style-type: none"> <li>• Was employee provided a warning that further violation of rules “could” rather than “will” result in removal?</li> <li>• A reasonable time, to reply to charges orally and/or in writing to support their answer?</li> <li>• The right to be represented by an attorney or other representative?</li> <li>• If applicable, copy of Optional Form 283 (U.S. Merit Systems Protection Board Appeal Form), a copy, or access to a copy of MSPB regulations. <ul style="list-style-type: none"> <li>• Was notice of proposed action, answer from employee, summary, or any other supporting documentation furnished to MSPB upon request?</li> </ul> </li> </ul> <p>[AFI 36-704 14.2.1]</p>			
<p>Was DCPDS properly updated?</p> <ul style="list-style-type: none"> <li>• US Fed Conduct Perf</li> <li>• Effective date</li> <li>• Cause of Disciplinary action</li> </ul>			
<b>PERSONNEL ACTION</b>			
<ul style="list-style-type: none"> <li>• Name, SSN, DOB (correct and consistent on all documents)</li> </ul>			
<p>Effective Date – meets “prior approval” criteria &amp; appropriate eff date?</p> <ul style="list-style-type: none"> <li>○ GPPA, Ch 3, Para 1-3 &amp; Tables 3-A &amp; 3-B</li> <li>○ GPPA Ch 4, Tables 4-A &amp; 4-B</li> </ul>			
<p>Nature of Action/NOAC</p> <p>[GPPA Chap 15, Table 15-A]</p> <ul style="list-style-type: none"> <li>• 450 Suspension NTE (date)</li> <li>• 452 Suspension – Indefinite</li> </ul>			
<p>Legal Authority/LAC</p> <p>[GPPA Chap 15, Table 15-A]</p>			
<p>Remarks Appropriate for NOA/NOAC</p> <p>[GPPA/AF approved local remarks/AF blue pages]</p> <ul style="list-style-type: none"> <li>• Required remark S49</li> </ul>			

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**RESULTS-ORIENTED PERFORMANCE CULTURE CHECKLIST**  
**(Critical Success Factor: Award)**  
**TIME-OFF INCENTIVE AWARDS**  
**CPS/Installation Checklist**

<b>Employee Name:</b>	<b>Number of hours granted:</b>
<b>MAJCOM/Installation/Organization Name:</b>	<b>Effective Date:</b>
<b>Title, PP/Series/Grade:</b>	<b>NOAC:</b>
<b>Performance Rating</b>	<b>Date of Rating:</b>

**References: AFI 36-1001, Managing the Civilian Performance Program; AFI 36-1004, The Air Force Civilian Recognition Program, DoD 1400.25-M Subchapter 451**

ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
<p>Does Time-Off Award (TOA) recognize high levels of performance?</p> <ul style="list-style-type: none"> <li>Granted in conjunction with the appraisal period?</li> <li>Granted during the performance cycle to recognize the employee for a specific accomplishment or act (not rewarded twice for the same performance)?</li> </ul> <p>[AFI 36-1004, Ch 4.1]</p>			
<b>DOCUMENTATION</b>			
<p>Is written justification on file for awards that are not based on a rating of record?</p> <p>Does justification include:</p> <ul style="list-style-type: none"> <li>AF Form 860A, part C bullet format</li> <li>Accomplishments in the employee position</li> <li>Rating official certifies by signing and dating in Part E</li> <li>Approving official signature/date? <ul style="list-style-type: none"> <li>One day - Immediate Supervisor without further review or approval</li> <li>Excess of one day - Second level Supervisor</li> </ul> </li> </ul>			
<p>Is original AF Form 860A retained in the Employee Performance File (EPF) or Supervisor's Employee Brief?</p> <ul style="list-style-type: none"> <li>AF Form 971?</li> <li>Employee provided copy?</li> </ul>			
<p>Does the amount of the TOA exceed the maximum allowable based on employee's tour?</p> <p>[AFI 36-1004, 4.3.]</p> <ul style="list-style-type: none"> <li>During the leave year?</li> </ul> <p>For a single contribution?</p>			
<b>PERSONNEL ACTION</b>			

Name, SSN, DOB (correct and consistent on all documents)			
Effective Date – meets “prior approval” criteria & appropriate eff date? <ul style="list-style-type: none"> <li>• GPPA, Ch 3, Para 1-3 &amp; Tables 3-A &amp; 3-B</li> <li>• GPPA Ch 4, Tables 4-A &amp; 4-B</li> </ul>			
Nature of Action/NOAC (GPPA Chap 29, Table 29)			

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**REVIEWER**

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**DATE**

**TALENT MANAGEMENT CHECKLIST  
 APPOINTMENT & CONVERSION ACTIONS  
 (Critical Success Factors: Recruitment & Retention)  
 AFPC/AFPC-OL Compliance Checklist**

<b>Selectee Name:</b>	<b>RPA Number#:</b>		
<b>Effective Date:</b>	<b>Announcement #:</b>		
<b>Position/PP/Series/Grade:</b>	<b>Cert #:</b>		
<b>NOA/NOAC:</b>	<b>LAC/Legal Authority:</b>		
<b>MAJCOM/Installation/Org Name:</b>			
<b>Critical Success Factors</b>			
<p><b>Recruitment:</b> The workforce plan drives the aggressive and strategic recruitment of diverse and qualified candidates for the agency’s workforce. <b>Retention:</b> Leaders, managers, and supervisors create and sustain effective working relationships with employees. The workplace is characterized by: A motivated and skilled workforce, attractive and flexible working arrangements, compensation packages and other programs used to hire and retain employees who possess mission-critical skills, knowledge, and competencies</p>			
<b>ITEMS</b>	<b>Y/N</b>	<b>N/A</b>	<b>COMMENTS (may be asked to provide examples)</b>
<b>1 AUTHORITY</b>			
<b>1</b> Eligible for Appointment or Conversion (meets requirements for conversion, time limit on reinstatement eligibility, VEOA, OPM Interchange Agreement, etc.)			
<b>2 PRIORITIES CLEARANCE</b>			
<b>2</b> AF Priorities Cleared/Documented [AFMAN 36-203, Table 2.3]			CPS responsibility, AFPC review item
<b>2.1</b> RPL/PPP Cleared/Documented [5 CFR Part 330, DoD PPP Ops Manual]			
<b>2.2</b> ICTAP Cleared/Documented [5 CFR Part 330]			
<b>3 APPOINTMENT</b>			
<b>3.1</b> Name, SSN, DOB (correct and consistent on all documents)			
<b>3.2</b> SF-52/RPA Approval Authority & Date [GPPA Ch 3, Subs 1&3] <b>FIAR ITEM</b>			
<ul style="list-style-type: none"> <li>• Approved on or prior to effective date</li> </ul>			
<b>3.3</b> Citizenship Verified [5 CFR 338.101]			
<b>3.4</b> Nature of Action/NOAC, Legal Authority/LAC [GPPA]			
<b>3.5</b> Qualifications Met			
<ul style="list-style-type: none"> <li>• Positive Educ Requirements</li> <li>• Licensure</li> <li>• Selective Factors</li> <li>• Mil Quals for ART</li> <li>• DAWIA Requirements</li> <li>• Time-in-grade</li> </ul>			
<b>3.6</b> Vet Preference [5 USC 2108, 5 CFR part 211]			
<ul style="list-style-type: none"> <li>• Vet Pref - Appt</li> <li>• Vet Pref - RIF</li> </ul>			
<b>3.7</b> Tenure (based on type of appointment)			
<b>3.8</b> FEGLI Correct [5 CFR 870)]			



<ul style="list-style-type: none"> <li>• Properly coded for new employee</li> <li>• Reinstatement after break in service – prior coverage</li> </ul>			
<b>3.9</b> Annuitant Indicator [GPPA Ch 4, Table 4-D]			
<b>3.10</b> Pay Rate Determinant [GPPA Ch 4, Table 4-C]			
<b>3.11</b> Retirement Code [CSRS & FERS Handbook, OPM Guide to Personnel Data Standards]			
<b>3.12</b> SCD (LV, Civ, RIF, Ret, TSP) <ul style="list-style-type: none"> <li>• Service properly credited (military, civilian, NAF)</li> <li>• OPF requested for prior Federal service</li> <li>• TSP Enrollment (SCD, correctly coded for type of appt/conv)</li> </ul>			
<b>3.13</b> FEHB <ul style="list-style-type: none"> <li>• Employee eligible</li> <li>• Enrollment opportunity correctly granted</li> <li>• SF2809 completed w/in first 31 days</li> </ul>			
<b>3.14</b> Physical Requirement Met and Documented <ul style="list-style-type: none"> <li>• SF-78 (MICT ítem 2.3.4)</li> </ul>			CPS responsibility, AFPC review item
<b>3.15</b> Investigative Requirements [DoDR 5200.2, AFI 31-501] <ul style="list-style-type: none"> <li>• Met</li> <li>• Waiver approved - waiver of the pre-appointment investigative requirement for Sensitive positions is restricted as described in 5 CFR 732.202</li> </ul> <b>Note:</b> waivers may be granted for Critical-Sensitive positions or Non-critical-Sensitive positions. The pre-appointment investigative requirement may not be waived for appointment to positions designated Special-Sensitive			CPS responsibility, AFPC review item
<b>3.16</b> Suitability Determination [5 CFR Part 731]			CPS responsibility, AFPC review item
<b>3.17</b> Remarks Appropriate for NOA/NOAC [GPPA]: <ul style="list-style-type: none"> <li>• M01 - Appointment affidavit executed (date)</li> <li>• M39 - Creditable Military Service: _yrs _mos</li> <li>• M40 - Previous Retirement Coverage: (prev or never covered)</li> <li>• E04/E18 - Probationary period required/completed</li> <li>• T10 - Service counting toward career tenure from (date) <b>or</b></li> <li>• T07 - Completed service requirement for career tenure from (date) to (date)</li> <li>• K12 - Selected from (cert) dated (date)</li> </ul> For additional remarks, use GPPA Ch 9, Table 9-I, AF Suppl			
Retired Military Restrictions - if selection of retired military within 180 days of retirement, waiver approved [5 USC 3326]		N/A	Temporarily suspended due to state of National Emergency (Ref: DoD memo dtd 9/24/01)
<b>3.18</b> Drug Testing Requirements Met (per requirements of position)			CPS responsibility, AFPC review item
<b>3.20</b> Age requirements met [5 CFR 338.601]			
<b>3.21</b> Initial Probationary /Supervisory Probationary Period			

[5 CFR 315.801 & 315.904]			
<b>3.22</b> Mandatory Separation Date			
3.23 Service Counting Toward Career Tenure <ul style="list-style-type: none"> <li>• Previous service properly credited</li> <li>• Dates correct in DCPDS</li> </ul>			
<b>4 APPOINTMENT DOCUMENTS</b>			
<b>4.1</b> Resume/Application (OPM Guide to Personnel Record Keeping) <ul style="list-style-type: none"> <li>• Resume or application used to apply for current appt or conversion</li> </ul>			
<b>4.2</b> Appointment Affidavit (SF-61) <ul style="list-style-type: none"> <li>• Properly completed, signed, &amp; dated at the time of appt</li> <li>• Date of appointment correct</li> </ul>			CPS responsibility, AFPC review item
<b>4.3</b> Documents Supporting Appointment Eligibility <ul style="list-style-type: none"> <li>• SF-50 showing status and latest SF-50 reviewed FIAR ITEM</li> <li>• Application for 10 Point Veteran's Preference (SF-15)</li> <li>• Disability Letter from VA</li> <li>• DD-214 or Statements from the Armed Forces accepted as proof of military service and documentation of separation under honorable conditions</li> <li>• Other documents verifying appt eligibility</li> </ul>			CPS responsibility, AFPC review item
<b>4.4</b> ART Program Certificate of Understanding (AFRC IMT 121)			CPS responsibility, AFPC review item
<b>4.5</b> Declaration of Federal Appointment (OF-306) <ul style="list-style-type: none"> <li>• Properly completed, signed, dated (applicant and employee items 17a &amp; 17b)</li> <li>• Correct date of appt/conv, completed by appointing officer</li> </ul>			CPS responsibility, AFPC review item
<b>4.6</b> Statement of Prior Federal Service (SF-144, SF-144A-worksheet) <ul style="list-style-type: none"> <li>• Completed by employee</li> <li>• Documents the calculation of creditable service</li> </ul>			CPS responsibility, AFPC review item
<b>4.7</b> Employment Eligibility Verification (I-9) <ul style="list-style-type: none"> <li>- Required completion for newly appointed</li> <li>- I-9 contains e-Verify case number</li> </ul>			CPS responsibility, AFPC review item
<b>4.8</b> Mil Spouse Preference adjudicated [P.L. 99-145, section 806, DoD 1400.25-M, 5 CFR 315.612(e), AFMAN 36-203, Ch 4]			
<b>4.9</b> Lautenberg Amendment to the Gun Control Act of 1968 (DD-2760) - required if employee will have access to firearms or ammunition (requirements shown in position description)			CPS responsibility, AFPC review item
<b>4.10</b> Were Selective Service Registration requirements met and documented? [5 CFR 300.705]			

Male, year of birth 1960 or later Proof of Selective Service Registration (includes) <ul style="list-style-type: none"> <li>Acknowledge letter or other proof of registration or exemption issued by Selective Service System annotated and signed by the employee</li> <li>Agency reproduction of Applicant's Statement of Selective Service Registration Status in 5 Code of Federal Regulations 300.704</li> </ul> Optional Form 306, Declaration for Federal Employment (signed)			
<b>4.11</b> Verification of a Military Retiree's Service in Non-wartime Campaigns or Expeditions (SF-813)			CPS responsibility, AFPC review item
<b>4.12</b> Statement of Understanding (signed by employee) <ul style="list-style-type: none"> <li>Acceptance of Temporary or Term Position</li> <li>Supervisory Probationary Period</li> <li>Obligated Position Notice</li> <li>Acknowledgement/Acceptance of Key or E-E Position, etc.</li> <li>Excepted Service Agreement</li> </ul>			CPS responsibility, AFPC review item
<b>4.13</b> School/College transcripts supporting qualifications			CPS responsibility, AFPC review item
<b>4.14</b> TSP-19 – if transferring from another agency FIAR			CPS responsibility, AFPC review item
<b>4.15</b> Classified Information Nondisclosure Agreement (SF-312)			CPS responsibility, AFPC review item
<b>4.16</b> Training Plan Required? Appropriate for the appointment?			CPS responsibility, AFPC review item
<b>5 COMPENSATION DETERMINATIONS AND FLEXIBILITIES</b>			
<b>5</b> Step and Salary - [AFI 36-802] <ul style="list-style-type: none"> <li>Correct salary, Locality Rate FIAR ITEM</li> <li>Proper credit toward WGI waiting period</li> <li>DLEI correctly established</li> <li>Employee received proper credit for service under temp or term appt? [5 CFR 531.406]</li> </ul>			
<b>5.1</b> Does employee separation/retirement (re-employed annuitant?) SF-50 show receipt of VSIP? If VSIP recipient employed within 5 years, is VSIP repayment waiver on file? If not, was VSIP repayment process initiated with DFAS and payment made <b>PRIOR</b> to re-employment? [DoDI 1400.25-V1702 Encl 3(2)(a)(13) and (14)]			
<b>5.2</b> Were compensation flexibilities or incentives used? Was the authority or flexibility properly approved and documented? <b>FIAR ITEM</b>			CPS responsibility, AFPC review item
<b>5.3</b> Pay setting determination properly documented? Correct use of authority or flexibility? <b>FIAR ITEM</b>			
<b>5.4</b> Was most recent or last SF-50 used to assist in making pay determinations? FIAR ITEM			

<b>6 MISCELLANEOUS</b>			
<b>6</b> Selectee meets time-after-competitive appointment, if applicable. [5 CFR 330.501]			
<b>6.1</b> Selectee is not a relative of any individual with vested or delegated appointing authority or the authority to recommend individuals for appointment. [5 CFR 310]			CPS responsibility, AFPC review item
<b>6.2</b> Were all data fields input correctly when processing the RPA ?			
<b>6.3</b> After RPA has processed were payroll status and DFAS payroll checked? FIAR ITEM			

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**REVIEWER**

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**DATE**

**TALENT MANAGEMENT CHECKLIST  
COMPETITIVE ACTIONS  
AFPC/AFPC-OL Compliance Checklist**

<b>Selectee Name:</b>	<b>RPA Number#:</b>		
<b>Effective Date:</b>	<b>Announcement #:</b>		
<b>NOA/NOAC:</b>	<b>Cert #:</b>		
<b>LAC/Legal Authority:</b>	<b>Posn Title/PP/Series/Grade:</b>		
<b>MAJCOM/Installation/Org Name:</b>			
<b>Critical Success Factors</b>			
<p><b>Recruitment:</b> The workforce plan drives the aggressive and strategic recruitment of diverse and qualified candidates for the agency's workforce. <b>Retention:</b> Leaders, managers, and supervisors create and sustain effective working relationships with employees. The workplace is characterized by: A motivated and skilled workforce, attractive and flexible working arrangements, compensation packages and other programs used to hire and retain employees who possess mission-critical skills, knowledge, and competencies.</p>			
<b>ITEMS</b>	<b>Y/N</b>	<b>NA</b>	<b>COMMENTS (may be asked to provide examples)</b>
<b>1 AUTHORITY</b>			
1 Eligible for Promotion, Reassignment, Competitive Detail, etc.			
<b>2 PRIORITIES CLEARANCE</b>			
2 AF Priorities Cleared/Documented [AFMAN 36-203, Table 2.3]			CPS responsibility, AFPC review item
2.1 RPL/PPP Cleared/Documented [5 CFR 330, DoD PPP Ops Manual, DoD RPL Guide]			
2.2 ICTAP Cleared/Documented [5 CFR 330.708, Subpart G]			
<b>3 PERSONNEL ACTION</b>			
3.1 Name, SSN, DOB (correct and consistent on all documents)			
3.2 SF-52/RPA Approval Authority & Date <ul style="list-style-type: none"> <li>• Action approved on or before effective date</li> </ul> [GPPA Ch 3, Subs 1&3]			
3.3 Nature of Action/NOAC [GPPA]			
3.3 Legal Authority/LAC [GPPA]			
3.4 Qualifications Met <ul style="list-style-type: none"> <li>• Positive Education Requirements</li> <li>• Licensure</li> <li>• Selective Factors</li> <li>• Military Qualifications for ART</li> <li>• DAWIA Requirements</li> <li>• Time-in-grade</li> </ul>			
3.5 Tenure (based on type of appointment)			
3.6 Pay Rate Determinant [GPPA Ch 4, Table 4-C]			
3.7 Retirement Code [CSRS & FERS Handbook, OPM Guide to Personnel Data Standards] <ul style="list-style-type: none"> <li>• Assignment to/from Air Reserve Technician (ART) Position</li> <li>• FF, ATC</li> </ul>			

<b>3.8 Physical Requirement Met</b> <ul style="list-style-type: none"> <li>SF-78</li> </ul>			CPS responsibility, AFPC review item
<b>3.9 Investigative Requirements [DoDR 5200.2, AFI 31-501]</b> <ul style="list-style-type: none"> <li>Met and documented on RPA</li> <li>Waiver approved - waiver of the pre-appointment investigative requirement for Sensitive positions is restricted as described in 5 CFR 732.202</li> </ul> <b>Note:</b> waivers may be granted for Critical-Sensitive positions or Non-critical-Sensitive positions. The pre-appointment investigative requirement may not be waived for appointment to positions designated Special-Sensitive			CPS responsibility, AFPC review item
<b>3.10 Remarks Appropriate for NOA/NOAC [GPPA]</b>			
<b>3.11 Drug Testing Requirements Met</b>			
<b>3.12 Supervisory Probationary Period [5 CFR 315.801, 904, AFI 36-1001 Ch 4]</b>			
<b>3.13 Mandatory Separation Date</b>			
<b>3.14 Action is a time-limited promotion for more than 120 days to a higher-graded position. Position is filled competitively (Prior service during preceding 12 months under noncompetitive time-limited promotions or noncompetitive details counts toward 120 day total.)</b> <ul style="list-style-type: none"> <li>If applicable, vacancy announcement included a statement that the temporary promotion could be extended (if initially advertised for less than the maximum allowable period) or made permanent without further competition [5 CFR 335.103(c)(i)]</li> <li>Advance written notice of conditions of promotion is given to employee [5 CFR 335.102(f)(1)]</li> </ul> [5 CFR 335.102; 335.103, AFMAN 36-203, Tab 2-1]			
<b>3.14 Action is a detail for more than 120 calendar days to higher graded position. Position is filled competitively (Prior service during preceding 12 months under noncompetitive time-limited promotions or noncompetitive details counts toward 120 day total.)</b> [5 CFR 335.103, AFMAN 36-203, Tab 2-1]			
<b>3.14 Action is a competitive change to lower grade to a position with more promotion potential than a position previously held on a permanent basis in the competitive service</b> [5 CFR 335.103(c)(1)(iv)]			
<b>3.14 Action is a competitive reassignment to a</b>			

position with more promotion potential than a position previously held on a permanent basis in the competitive service [5 CFR 335.103(c)(1)(iv)]			
<b>4 SUPPORTING DOCUMENTS</b>			
<b>4</b> Resume/Application [OPM Guide to Personnel Record Keeping] <ul style="list-style-type: none"> <li>Resume or application used to apply</li> </ul>			
<b>4.1</b> Statement of Understanding (signed by employee) <ul style="list-style-type: none"> <li>Acceptance of Temporary or Term Position,</li> <li>Supervisory Probationary Period,</li> <li>Obligated Position Notice</li> <li>Acknowledgement/Acceptance of Key or E-E Position, etc.</li> <li>Testing Designated Position</li> <li></li> </ul>			CPS responsibility, AFPC review item
<b>4.2</b> ART Program Certificate of Understanding <ul style="list-style-type: none"> <li>AFRC IMT 121</li> </ul>			CPS responsibility, AFPC review item
<b>4.3</b> Mil Spouse Preference adjudicated [P.L. 99-145, section 806, DoD 1400.25-M, AFMAN 36-203, Ch 4]			
<b>4.4</b> Lautenberg Amendment to the Gun Control Act of 1968 <ul style="list-style-type: none"> <li>DD-2760 - required if employee will have access to firearms or ammunition</li> </ul>			CPS responsibility, AFPC review item
<b>4.5</b> College transcripts supporting qualifications			CPS responsibility, AFPC review item
<b>5 COMPENSATION DETERMINATIONS AND FLEXIBILITIES</b>			
<b>5</b> Salary <ul style="list-style-type: none"> <li>Correct step [AFI 36-802] <b>FIAR ITEM</b></li> <li>Correct salary, Locality Rate <b>FIAR ITEM</b></li> <li>Proper credit toward WGI waiting period</li> <li>Date of Last Equivalent Increase (DLEI) correctly established</li> </ul> Employee received proper credit for service under temp or term apt? [5CFR 531.406(a)]			
<b>5.1</b> Were compensation flexibilities or incentives used? Was the authority or flexibility properly approved and documented? <b>FIAR ITEM</b>			
<b>5.2</b> Pay setting determination properly documented? Correct use of authority or flexibility? <b>FIAR ITEM</b>			
<b>5.3</b> Was most recent or last SF-50 used to assist in making pay determinations? <b>FIAR ITEM</b>			
<b>6 ALTERNATE FORMS OF COMPETITION</b>			
<b>6</b> Method Used <ul style="list-style-type: none"> <li>Alternate Certification</li> <li>Used Appropriately</li> <li>Documentation supports reconstruction of selection</li> </ul>			

[AFMAN 36-203, Ch 2.15.4]			
<b>7 MISCELLANEOUS</b>			
<b>7</b> Selectee meets time-after-competitive appointment, if applicable [5 CFR 330.501]			
<b>7.1</b> Selectee is not a relative of any individual with vested or delegated appointing authority or the authority to recommend individuals for appointment [5 CFR 310]			CPS responsibility, AFPC review item
<b>7.2</b> Were all data fields input correctly when processing the RPA? OPM Guide to Personnel Data Standards			
<b>7.3</b> After RPA has processed was payroll status and DFAS payroll checked? <b>FIAR ITEM</b> DCPDS Users Guide			

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**REVIEWER**

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**DATE**



**TALENT MANAGEMENT CHECKLIST  
CREDIT FOR PRIOR NON-FEDERAL WORK EXPERIENCE AND  
CERTAIN MILITARY SERVICE FOR DETERMINING LEAVE ACCRUAL RATE  
CPS/Installation Checklist**

*(Use in conjunction with HAF AFIS Checklist Force Support Manpower Personnel Flight MICT Item 2.6.3)*

<b>Employee Name:</b>	<b>RPA Number#:</b>
<b>Effective Date:</b>	<b>Announcement #:</b>
<b>NOA/NOAC:</b>	<b>Cert #:</b>
<b>LAC/Legal Authority:</b>	<b>Position Title/PP/Series/Grade:</b>
<b>MAJCOM/Installation/Org Name:</b>	

**Critical Success Factors**

**Recruitment:** The workforce plan drives the aggressive and strategic recruitment of diverse and qualified candidates for the agency’s workforce. **Retention:** Leaders, managers, and supervisors create and sustain effective working relationships with employees. The workplace is characterized by: A motivated and skilled workforce, attractive and flexible working arrangements, compensation packages and other programs used to hire and retain employees who possess mission-critical skills, knowledge, and competencies.

ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
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**REFERENCES: 5 CFR 630.205, DoDI 1400.25, Volume 631, August 31, 2009, GPPA Ch 6 and Ch 31**

Employee is eligible for consideration for leave accrual credit if: <ul style="list-style-type: none"> <li>• Employee meets the definition of newly appointed or reappointed civilian employee (below), and</li> <li>• Employee’s skills and experience are essential to and directly related to the new position; must be necessary to achieve an important agency mission or performance goal, and</li> <li>• Employee is being appointed to a position covered by the Federal annual and sick leave program, and</li> <li>• Authorized management official determines, in writing, that the above conditions are met</li> </ul>			
Definition of a newly appointed and reappointed civilian employee: <ul style="list-style-type: none"> <li>• Newly Appointed Civilian Employee. An individual serving on his or her first Federal Government civilian appointment, regardless of tenure</li> <li>• Reappointed Civilian Employee. An individual who receives a subsequent civilian appointment in the Federal Government following a break in service of at least 90 calendar days after his or her last civilian Federal employment</li> </ul>			
Was appointment made on or after April 28, 2005?			
If uniformed credit is requested, was the service under “honorable” conditions and would otherwise not be creditable?			
Was service credit approved before the initial appointment? <ul style="list-style-type: none"> <li>• Annual leave service credit granted in accordance with this policy must be approved</li> </ul>			

before the effective date of initial appointment or reappointment			
<b>DOCUMENTATION</b>			
Written justification from management official contains: <ul style="list-style-type: none"> <li>• Vacancy Announcement</li> <li>• Position Description</li> <li>• Applicant’s resume that clearly documents the length and nature of the service being credited</li> <li>• Beginning and ending dates of credited experience</li> <li>• Management narrative with explanation for each period of service on how credited experience relates to the position</li> <li>• DD-214 (for military service); SF-144A or equiv</li> </ul>			
Is the required documentation attached to SF-144A and filed in the employee’s OPF? Is employee’s signed statement of understanding acknowledging terms of service credit on file?			
Approval level for this service credit is Installation Commander and others with appointing authority [SECDEF memo dated 9 Aug 2006] <ul style="list-style-type: none"> <li>• Credit approved by appropriate management official</li> <li>• If approving official is below the level stated above, is a re-delegation of authority letter on file?</li> </ul>			
<b>PERSONNEL ACTION</b>			
<b>Required remarks when this service is granted on appointment:</b> <ul style="list-style-type: none"> <li>• M39 – Creditable military service: (enter total amt of creditable military service (e.g., “6 yrs, 7 mos.”))</li> <li>• B73 - as appropriate – You are receiving (enter yrs. and mos., e.g. 2 yrs., 6 mos.) credit toward your SCD-Leave shown in Block 31 for the following period(s) of non-Federal service: (list all applicable “from” and “to” dates). This time is permanently creditable unless you fail to complete 1 full year of continuous service with this agency</li> <li>• B74 - as appropriate – You are receiving (enter yrs. and mos., e.g. 2 yrs., 6 mos.) credit toward your SCD-Leave shown in Block 31 for the following period(s) of active duty military service: (list all applicable “from” and “to” dates). This time is permanently creditable unless you fail to complete 1 full year of continuous service with this agency</li> </ul>			
During the OPF review, was there a 3XX action found after the service credit was added? <ul style="list-style-type: none"> <li>• Has the employee completed 1 full year of continuous service with DoD?</li> <li>• If not, was the SCD adjusted by subtracting the leave credit granted under this authority?</li> </ul>			
Action to remove credit (effective date of action is the			

separation from appointing agency) <ul style="list-style-type: none"> <li>• NOAC/NOA: 882 Change in SCD</li> <li>• LOAC: VZM - 5 U.S.C. 6303</li> <li>• Required remark code: B75 - Changes SCD-Leave from (date) because employee failed to complete 1 full year of continuous service with the appointing agency</li> </ul>			
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**DATE**

**TALENT MANAGEMENT CHECKLIST  
NON-COMPETITIVE ACTIONS  
AFPC/AFPC-OL Compliance Checklist**

<b>Selectee Name:</b>	<b>RPA Number#:</b>		
<b>Effective Date:</b>	<b>Announcement # (if applicable):</b>		
<b>NOA/NOAC:</b>	<b>Cert #:</b>		
<b>LAC/Legal Authority:</b>	<b>Posn Title/PP/Series/Grade:</b>		
<b>MAJCOM/Installation/Org Name:</b>			
<b>Critical Success Factors:</b>			
<p><b>Recruitment:</b> The workforce plan drives the aggressive and strategic recruitment of diverse and qualified candidates for the agency's workforce.</p> <p><b>Retention:</b> Leaders, managers, and supervisors create and sustain effective working relationships with employees. The workplace is characterized by: A motivated and skilled workforce, attractive and flexible working arrangements, compensation packages and other programs used to hire and retain employees who possess mission-critical skills, knowledge, and competencies.</p>			
<b>ITEMS</b>	<b>Y/N</b>	<b>N/A</b>	<b>COMMENTS (may be asked to provide examples)</b>
<b>1 AUTHORITY</b>			
<p><b>1 Eligible for Non-Competitive Promotion (e.g., Accretion of Duties, Prom NTE (less than 120 days), etc.), Position Change, Non-Competitive Detail, Reassignment, Change to Lower Grade, etc.</b></p> <p><b>Non-Competitive Promotion or Promotion NTE:</b></p> <ul style="list-style-type: none"> <li>• Employee promoted up to and including a grade previously held on a permanent basis in the competitive service (or other merit system with which OPM has an interchange agreement) from which employee was separated or demoted FOR OTHER THAN performance or conduct reasons</li> <li>• Former employee, upon exercise of restoration rights following military duty or service with an international organization, may be placed in any position for which qualified, which is no higher in grade than the position to which he/she was promoted in absentia or because the former position was regarded during their absence</li> <li>• Action is a time-limited promotion (NTE) for 120 calendar days or LESS to a higher-graded position or a position with known promotion potential</li> <li>• Promotion resulted from employee's position being reclassified at a higher grade due to additional duties and responsibilities (also known as an Accretion of Duties promotion)</li> </ul> <p>[5 CFR 335.103(c)(3)(ii) &amp; AFMAN 36-203, Ch 2,</p>			

2.9.5-2.9.6]

**In addition**, the following factors, **regarding accretion of duties (reclassification of position)**, must be considered:

1. Clear evidence employee continues to perform the same basic functions;
2. The duties of the former position have been absorbed into the new position;
3. The new position has no known promotion potential;
4. There are no other employees serving in similar or identical positions to whom the duties could be assigned, and;
5. Upgrading of the position does not involve the addition of supervisory duties as the sole basis for the reclassification

[5 CFR 335.102; 335.103, AFMAN 36-203, Ch 2 & Table 2-1]

**Position Change:**

- Position Change due to Reduction-in-Force (RIF) procedures

[5 CFR 335.103 and 5 CFR Part 351]

**Detail NTE:**

- Action is a Detail for 120 calendar days or LESS to a higher graded position or a position with known promotion potential

[5 CFR 335.103, AFMAN 36-203, Table 2-1]

**Reassignment:**

- Reassignment (to include Management-Initiated and Management-Directed Reassignments) is to a position with no known promotion potential beyond that of the employee's current position OR, that which the employee has held on a permanent basis (must meet basic and statutory qualification requirements of the position OR, meet the requirements of approved modification of qualifications)

[5 CFR 335.102 & AFMAN 36-203, Ch 2, 2.21.1-2.21.2 & Table 2-1]

**Change to Lower Grade:**

- Voluntary change to lower grade, at employee's request (with management coordination), IF the employee meets basic

<p>eligibility requirements (or requirements of approved medication of qualifications) AND the position has no known promotion potential beyond the employee’s current grade or highest grade previously held on a permanent basis [5 CFR 335.102 &amp; AFMAN 36-203, Ch 2, 2.21.2 &amp; Table 2-1]</p> <p><b>NOTE:</b> Actions involving career program covered positions must be approved by the appropriate policy council chair PRIOR to effecting the action</p>			
<p><b>1 Eligible for Non-Competitive Appointments</b> (e.g., reinstatement, transfer, and/or under special authorities authorized by 5 CFR 315</p> <p><b>Reinstatement:</b></p> <ul style="list-style-type: none"> <li>• Meets time limit on eligibility (i.e., no limit for preference eligibles and those who complete service requirement for career tenure. For all others, within three years of separation unless extended IAW 5 CFR 315.401(c)</li> <li>• Meets time in grade IAW 5 CFR 300 subpart F [5 CFR 315.401]</li> </ul> <p><b>Transfer:</b></p> <ul style="list-style-type: none"> <li>• Selectee is appointed without a break in service of a single workday</li> </ul> <p>Eligibility – selectee is a current career/career conditional employee (of another agency) or an agency with an Interchange Agreement [5 CFR 315.501]</p> <p>Appointed under a special authority IAW 5 CFR 315 Subpart F?</p> <p>Appointed by conversion from other types of employment (e.g., VRA, disabled vet, -Meets eligibility requirements for conversion -Conversion is within allowable timeframe</p>			
<b>2 PRIORITIES CLEARANCE</b>			
<p><b>2 AF Priorities Cleared/Documented</b> [AFMAN 36-203, Table 2.3]</p>			
<p><b>2.1 RPL/PPP Cleared/Documented</b> [5 CFR 330, DoD PPP Ops Manual, DoD RPL Guide]</p>			
<p><b>2.2 ICTAP Cleared/Documented</b> [5 CFR 330.708, Subpart G]</p>			
<b>3 PERSONNEL ACTION</b>			
<p><b>3.1 Name, SSN, DoB</b> (correct and consistent on all documents) GPPA Ch 1-32</p>			
<p><b>3.2 SF-52/RPA Approval Authority &amp; Date</b></p> <ul style="list-style-type: none"> <li>• Action approved on or before effective date</li> </ul>			

[GPPA Ch 3, Subs 1&3]			
<b>3.3</b> Correct Nature of Action/NOAC for the non-competitive action? [GPPA, Ch 14]			
<b>3.3</b> Correct Legal Authority/LAC for the non-competitive action? [GPPA, Ch 14]			
<b>3.4</b> Qualifications Met? <ul style="list-style-type: none"> <li>• Positive Education Requirements</li> <li>• Licensure</li> <li>• Selective Factors</li> <li>• Military Qualifications for ART</li> <li>• DAWIA Requirements</li> <li>• Time-in-grade</li> </ul>			
<b>3.5</b> Veteran's preference correct			
<b>3.6</b> Tenure correct (based on type of action processed)?			
<b>3.7</b> Pay Rate Determinant correct? [GPPA Ch 4, Table 4-C]			
<b>3.8</b> Retirement Code correct? [CSRS & FERS Handbook, OPM Guide to Personnel Data Standards] <ul style="list-style-type: none"> <li>• Assignment to/from Air Reserve Technician (ART) Position</li> <li>• FF, ATC</li> </ul>			
<b>3.9</b> Physical Requirement Met - SF-78			
<b>3.10</b> Investigative Requirements [DoDR 5200.2, AFI 31-501] <ul style="list-style-type: none"> <li>• Met</li> <li>• Waiver approved – waiver of the pre-appointment investigative requirement for Sensitive positions is restricted as described in 5 CFR 732.202</li> <li>•</li> </ul> <p><b>Note:</b> waivers may be granted for Critical-Sensitive positions or Non-critical-Sensitive positions. The pre-appointment investigative requirement may not be waived for appointment to positions designated Special-Sensitive</p>			
<b>3.11</b> Remarks Appropriate for NOA/NOAC? [GPPA]			
<b>3.12</b> Drug Testing Requirements Met			
<b>3.13</b> Probationary Periods: <ul style="list-style-type: none"> <li>• Probationary Period [5 CFR 315.801 Sub H]</li> <li>• Supervisory Probationary Period [5 CFR 315.901 Sub I, AFI 36-1001 Ch 4]</li> </ul>			
<b>3.14</b> If applicable, was Mandatory Separation date correctly established? DoDI 1400.25-V336			
<b>3.15</b> NTE Date calculated correctly, if applicable?			
<b>4 SUPPORTING DOCUMENTS</b>			
<b>4</b> Resume/Application [OPM Guide to Personnel			

Record Keeping] <ul style="list-style-type: none"> <li>• Resume</li> <li>• Documents supporting eligibility</li> </ul>			
<b>4.1</b> Statement of Understanding (signed by employee) <ul style="list-style-type: none"> <li>• Acceptance of Temporary Promotion or Detail</li> <li>• Position Change (under RIF conditions)</li> <li>• Reassignment due to Management Initiated/Directed</li> <li>• Acceptance of Voluntary Change to Lower Grade</li> <li>• Supervisory Probationary Period</li> <li>• Obligated Position Notice</li> <li>• Acknowledgement/Acceptance of Key or E-E Position, etc.</li> <li>• Testing Designated Position</li> </ul>			
<b>4.2</b> ART Program Certificate of Understanding, if applicable -- AFRC IMT 121			
4.3 Mil Spouse Preference			
<b>4.4</b> Lautenberg Amendment to the Gun Control Act of 1968 -- DD-2760 – required if employee will have access to firearms or ammunition			
<b>4.5</b> College transcripts supporting qualifications, and/or modification of qualifications			
<b>5 COMPENSATION</b>			
<b>5</b> Salary: <ul style="list-style-type: none"> <li>• Correct step [AFI 36-802]</li> <li>• Correct salary, Locality Rate</li> <li>• Job offer reflected correct salary</li> <li>• Proper credit toward WGI waiting period</li> <li>• Date Last Equivalent Increase (DLEI) correctly established</li> <li>• Employee received proper credit for service under temp or term appt? [531.406(a)]</li> </ul>			
<b>5.1</b> Pay setting determination properly documented? Correct use of authority? <b>FIAR ITEM</b>			
<b>5.2</b> Most recent SF-50 used to assist in making pay determination? On file? <b>FIAR ITEM</b>			
<b>6 MISCELLANEOUS</b>			
<b>6</b> Selection documentation supports reconstruction: <ul style="list-style-type: none"> <li>• Basis for non-competitive actions can be reconstructed (e.g., case files are properly documented, etc.)</li> </ul>			
<b>6.1</b> Selectee meets time-after-competitive appointment, if applicable?			
<b>6.2</b> Selectee is not a relative of any individual with vested or delegated appointing authority or the			



authority to recommend individuals for appointment.			
<b>6.3</b> Were all data fields input correctly when processing the RPA?			
<b>6.4</b> After RPA has processed was payroll status and DFAS payroll checked? <b>FIAR ITEM</b>			

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**REVIEWER**

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**DATE**

**TALENT MANAGEMENT CHECKLIST  
OFFICIAL PERSONNEL FOLDER (OPF) MANAGEMENT  
AFPC Compliance Checklist**

**Employee Name:**

**MAJCOM/Installation/Org Name:**

**References: 5 CFR Part 293, AFI 36-114, OPM Guide to Personnel Recordkeeping, GPPA**

ITEM /DOCUMENT	Y/N	N/A	COMMENTS
<b>1 LONG TERM RETENTION (RIGHT SIDE)</b>			
1 OPFs are safeguarded as prescribed by OPM [Guide to Personnel Recordkeeping]			
1.1 Documents Filed in Chronological Order			
<b>1.2 Application for Federal Employment (resume, SF171, OF612) - file only if:</b> <ul style="list-style-type: none"> <li>• Used as basis for first Federal appointment</li> <li>• Basis for latest Federal appointment</li> <li>• Latest certification of eligibility for veterans' preference</li> <li>• Basis for rating in a civil service examination; or</li> <li>• Shows OPM has completed a background investigation (The application will have a note the case was processed. File by stamped date; when not stamped, file by signature date)</li> <li>• Attachments to applications – include only items requested in the job announcement and refer to basic qualifications (ex: license, transcripts)</li> </ul>			
1.3 Appointment Affidavit (SF-61)			
<ul style="list-style-type: none"> <li>• new appt and change in agency</li> </ul>			
1.4 Declaration of Federal Employment (OF-306) (SF-61B <i>obsolete</i> )			
<ul style="list-style-type: none"> <li>• new appts and change in security level of position</li> </ul>			
<b>1.5 Veterans' Preference (material that supports veterans' preference determination)</b> <ul style="list-style-type: none"> <li>• DD-214 or equiv</li> <li>• SF-813, Verification of Military retiree's service in non-wartime campaign or expedition</li> <li>• Statements from the Armed Forces accepted as proof of military service and separation under honorable conditions</li> <li>• Application for 10 Pt Veteran's Preference (SF-15)</li> <li>• Official statement from the Department of Veterans Affairs or a branch of the Armed Forces documenting a service-connected disability</li> <li>• Official statement, citation or certificate showing the award of the Purple Heart</li> <li>• Physician's statement</li> </ul>			

<p><b>1.6 Proof of Selective Service Registration:</b></p> <ul style="list-style-type: none"> <li>• Acknowledge letter or other proof of registration or exemption issued by Selective Service System annotated and signed by the employee</li> <li>• Agency reproduction of Applicant’s Statement of Selective Service Registration Status in 5 Code of Federal Regulations 300.704;</li> <li>• Office of Personnel Management Form 813 (obsolete), Statement of Selective Service Registration Status</li> <li>• Optional Form 306, Declaration for Federal Employment</li> </ul>			
<p><b>1.7 Statement of Prior Federal Service &amp; material documenting the calculation of creditable service for leave which may include:</b></p> <ul style="list-style-type: none"> <li>• Agency substitute for Standard Form 144-A, such as a printout with the information listed in Ch 6 of the GPPA</li> <li>• Standard Form 144, Statement of Prior Federal Service</li> <li>• Standard Form 144-A, Statement of Prior Federal Service -- Worksheet</li> <li>• Supporting documentation - any material accepted as proof or verification of service for leave may be attached to the Statement of Prior Service</li> </ul>			
<p><b>1.8 Statements of Understanding (when signed by employee)</b></p> <ul style="list-style-type: none"> <li>• Supv Probationary Period Notice</li> <li>• Obligated position acceptance</li> <li>• Acceptance of Temp or Term posn</li> <li>• Excepted service agreement</li> <li>• Acknowledgement/acceptance of Key or E-E posn.</li> </ul>			
<p><b>1.9 FEHB</b></p> <ul style="list-style-type: none"> <li>• SF-2809, Health Benefits Registration Form</li> <li>• SF 2810, Notice of Change in Health Benefits</li> <li>• OPM Approved Transcript of Health Benefits Enrollment</li> </ul>			
<p><b>1.10 Life Insurance Forms - All life insurance forms must be filed in the Official Personnel Folder unless a form contains specific instructions to do something different</b></p> <ul style="list-style-type: none"> <li>• Life Insurance Election (SF 2817) <b>FIAR ITEM</b></li> <li>• Continuation of Life Insurance Coverage (SF 2818)</li> <li>• Notice of Conversion Privilege (SF 2819)</li> <li>• Agency Certification of Insurance Status (SF 2821)</li> <li>• Request for Insurance (SF 2822)</li> <li>• Agency Certification of Status of Reemployed Annuitants (OPM 1482)</li> </ul>			

<ul style="list-style-type: none"> <li>• Supplemental Semiannual Headcount Report (OPM 1523)</li> <li>• Claim for Death Benefits (FE-6)</li> <li>• Statement of Claim, Option C - Family Life Insurance (FE-6 DEP)</li> </ul>			
<p><b>1.11</b> Documents that must be initiated in paper with handwritten signature (can be scanned to electronic format once signed)</p> <ul style="list-style-type: none"> <li>• SF 2823, Designation of Beneficiary – FEGLI</li> <li>• SF 2808, Designation of Beneficiary Lump Sum CSRS</li> <li>• SF 3102 Designation of Beneficiary – FERS</li> <li>• RI 76-10, Assignment of FEGLI (witnessed)</li> </ul>			
<p><b>1.12</b> Retirement</p> <ul style="list-style-type: none"> <li>• Coverage Determinations</li> <li>• Election Forms</li> <li>• RI 20-97, Estimated Earnings during Military Service</li> <li>• Office of Personnel Management Form 1515, Military Service Deposit Election</li> <li>• Office of Personnel Management Form 1514, Military Deposit Worksheet</li> <li>• Retirement Designation of beneficiary</li> <li>• FERS SF-3102</li> <li>• Notice of approval of Disability Retirement Application</li> <li>• Summary of Service-SF2801-1, SF2815, SF3107-1</li> </ul>			
<p><b>1.13</b> TSP</p> <ul style="list-style-type: none"> <li>• TSP-1, Plan Election Form <b>FIAR ITEM</b></li> <li>• TSP-1C, Catch up Contribution</li> <li>• TSP-967-AO,</li> <li>• Transcript of TSP plan changes approved by FRTIB</li> </ul>			
<p><b>1.14</b> Investigative Notices</p> <ul style="list-style-type: none"> <li>• showing latest status of investigation</li> </ul>			
<p><b>1.15</b> Documentation of the application of grade and/or pay retention including copy of a letter to the employee describing the circumstances warranting the grade and/or pay retention and nature of the entitlement. <b>FIAR ITEM</b></p>			
<p><b>1.16</b> Notification of Personnel Action (SF-50)</p> <ul style="list-style-type: none"> <li>• Other documents in lieu of SF50 (list forms, notice of pay increase, pay schedule, SF-52)</li> <li>• Reconstructed History Under PL 95-454</li> <li>• SF-52 or employee written reason for resignation or documentation of reason for retirement (when no SF-52 is submitted) <b>FIAR ITEM</b></li> <li>• Transcript of Service</li> </ul>			
<p><b>1.17</b> Notice that personnel folder was reconstructed</p>			

<b>2 TEMPORARY DOCUMENTS (LEFT SIDE)</b>			
Position Description or Standardized Core Personnel Document			
Mobility Agreement			
SF-1152, Designation of Beneficiary for Unpaid Compensation			
AFRC-121 (for ART positions)			
Service Agreement			
Deposits for Military Service <ul style="list-style-type: none"> <li>• Standard Form 2803, Application to Make Deposit or Redeposit - Civil Service Retirement System</li> <li>• Standard Form 3108, Application to Make Service Credit Payment for Civilian Service - Federal Employees Retirement System</li> </ul>			
Employee Leave Record - SF-1150, SF-1150-A			
Continued Service Agreement (AFI 36-114)			
Record of promotion consideration in military service			
Records of overseas assignees (agreements, DD-1617)			
<b>3 PROHIBITED DOCUMENTS</b>			
<p><b>The following should never be filed in the OPF:</b></p> <ul style="list-style-type: none"> <li>• Retirement Fund Data: correspondence dealing with a payment, refund form, or repayment to the Civil Service Retirement System or the Federal Employees Retirement System</li> <li>• Standard Form 2802, Application for Refund of Retirement Deductions</li> <li>• Standard Form 2804, Application to Make Voluntary Contributions</li> <li>• Standard Forms 2806 and 3100, Individual Retirement Record</li> <li>• Test Material</li> <li>• Reference Checks/Pre-employment inquiries</li> <li>• Records on employee alcohol or drug abuse counseling or treatment</li> <li>• Appeal files and related correspondence</li> <li>• Standard Form 256, Self-Identification of Medical Disability</li> <li>• Complaints</li> <li>• Decisions and agreements</li> <li>• Drug Testing Records</li> <li>• Documents related to: Grievance, garnishment, medical disability</li> <li>• Medical Records</li> <li>• Minority Group Identifiers</li> <li>• Investigative Report Material (SF-85, SF-86, SF-87)</li> </ul> <p><b>Ref: AFI 36-114 for the following:</b></p> <ul style="list-style-type: none"> <li>• INS form I-9, Employment Eligibility Verification</li> <li>• DAWIA Certification</li> </ul>			

<ul style="list-style-type: none"> <li>• DD Form 2365, Civilian Employee Overseas EE Posn Agmt</li> <li>• Mobility Agreement</li> <li>• DD1618 – Transfer to and within CONUS</li> <li>• Training Documents and Material</li> <li>• Physician’s Comparability Allowance Service Agreement</li> <li>• Award and Commendation Material</li> </ul>			
<b>4 OPF CONSOLIDATION</b>			
<p>OPF Requested from Losing Agency, NPRC OPF Reviewed and Consolidated</p> <ul style="list-style-type: none"> <li>• Service credit for previous experience for SCD, Career Tenure – verified, correctly credited</li> <li>• FEGLI benefits; previous election <b>FIAR ITEM</b></li> <li>• Record purged when transferred between agencies</li> <li>• Date Last Equivalent Increase verified, correct</li> </ul>			

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**REVIEWER**

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**DATE**

**TALENT MANAGEMENT CHECKLIST  
RECRUITMENT INCENTIVE  
(Critical Success Factors: Recruitment & Retention)  
CPS/Installation Checklist**

*Use in conjunction with HAF AFIS Checklist Force Support Manpower Personnel Flight Item 2.6.1*

<b>Employee Name:</b>	<b>RPA Number:</b>		
<b>MAJCOM/Installation/Organization Name:</b>			
<b>Position Title/PP/Series/Grade:</b>			
<b>Effective Date:</b>	<b>Announcement Number:</b>		
<b>NOA/NOAC:</b>	<b>Certificate Number:</b>		
<b>LAC/Legal Authority:</b>			
ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
<p>Does selectee meet the definition of a new appointee?</p> <ul style="list-style-type: none"> <li>• Newly appointed refers to: <ul style="list-style-type: none"> <li>• The first appointment, regardless of tenure, as an employee of the Federal Government;</li> <li>• An appointment of a former employee of the Federal Government following a break in Federal Government service of at least 90 days; or</li> <li>• An appointment of an individual in the Federal Government when his or her service in the Federal Government during the 90-day period immediately preceding the appointment was limited to one or more of the following: <ul style="list-style-type: none"> <li>– A time-limited appointment in the competitive or excepted service;</li> <li>– A non-permanent appointment (excluding a Schedule C appointment under 5 CFR part 213) in the competitive or excepted service;</li> <li>– Employment with the government of the District of Columbia (DC) when the candidate was first appointed by the DC government on or after October 1, 1987;</li> <li>– An appointment as an expert or consultant under 5 U.S.C. 3109 and 5 CFR part 304;</li> <li>– Employment under a provisional appointment designated under 5 CFR 316.403; or</li> <li>– Employment in the Student Career Experience Program under 5 CFR 213.3202(b)</li> </ul> </li> </ul> </li> </ul> <p>[5 CFR 575.102]</p>			
<p>Was a written justification package submitted that included the required information?</p> <ul style="list-style-type: none"> <li>• The determination that the position is likely to be difficult to fill in the absence of the incentive</li> </ul>			

<ul style="list-style-type: none"> <li>• Supporting factors used to authorize the incentive</li> <li>• The reasons for determining the amount and timing of the incentive payments</li> <li>• The reasons for determining the length of the service period</li> </ul> <p>Is this documentation retained in the servicing personnel office?</p> <p>[DoD PM dated 21 Sep 2006; 5 CFR 575.108; AFI36-802, 4.6]</p>			
<p>Was a relocation incentive also given?</p> <ul style="list-style-type: none"> <li>• An organization may not commence a recruitment incentive service agreement during a service period established by an employee's relocation incentive service agreement.</li> </ul> <p>[5 CFR 575.105]</p>			
<p>Approval to pay recruitment must be made prior to EOD. Was the decision to pay recruitment incentive made before employee entered on duty?</p> <p>Was the incentive approved by an authorized management official? Properly coordinated? (Refer to AFI36-802 para 4.2 to identify approval levels and AF re-delegation memo 15 Mar 07 for Centrally Managed Positions)</p> <p>[DoD Policy memo dated 21 Sep 2006]</p>			
<p>Is the recruitment incentive within 25 percent of the annual rate of basic pay? [5 CFR 575.109 (b)(1)]</p> <p>If incentive was more than 25%, was waiver received from OPM?</p> <ul style="list-style-type: none"> <li>• An authorized agency official may request that OPM waive the limitation in paragraph (b)(1) of this section for an employee based on a critical agency need. The authorized agency official must determine that the competencies required for the position are critical to the successful accomplishment of an important agency mission, project, or initiative (e.g., programs or projects related to a national emergency or implementing a new law or critical management initiative). Under such a waiver, the total amount of recruitment incentive payments paid to an employee in a service period may not exceed 50 percent of the</li> </ul>			



<p>annual rate of basic pay of the employee at the beginning of the service period multiplied by the number of years (including fractions of a year) in the service period. However, in no event may a waiver provide total recruitment incentive payments exceeding 100 percent of the employee's annual rate of basic pay at the beginning of the service period</p> <p>Waiver requests must include—</p> <ul style="list-style-type: none"> <li>• A description of the critical agency/organization need the proposed recruitment incentive would address;</li> <li>• The documentation required by §575.108; (see next block below)</li> <li>• The proposed recruitment incentive payment amount and a justification for that amount;</li> <li>• The timing and method for making the recruitment incentive payments;</li> <li>• The period of service required; and</li> <li>• Any other information pertinent to the case at hand</li> </ul>			
<p>Does Aggregate Pay exceed the limitation?</p> <ul style="list-style-type: none"> <li>• Payment of a recruitment incentive is subject to the aggregate limitation on pay under 5 CFR part 530, subpart B</li> <li>• An employee's aggregate compensation received in any given calendar year may not exceed the rate of pay for level I of the Executive Schedule.</li> <li>• In the case of an employee assigned to the Physician, 0602, or Dentist, 0680, occupations, payment to the employee may not exceed the salary of the President of the United States as in effect on the last day of that calendar year.</li> </ul> <p>[DoD Policy memo dated 21 Sep 2006]</p>			
<p>Is a signed employment service agreement on file?</p> <p>Does the service agreement contain:</p> <ul style="list-style-type: none"> <li>• Period of service and total amount authorized</li> <li>• Beginning and ending dates of service period</li> <li>• Method of payment</li> <li>• Conditions under which agreement must be terminated</li> <li>• Terms or conditions that may result in termination of agreement</li> </ul>			

<ul style="list-style-type: none"> <li>• Effects of detail or non-pay status on creditable service</li> <li>• Consequence of termination of service agreement</li> <li>• Statement that termination of agreement may not be grieved or appealed</li> </ul> <p>[AFI36-802 fig. 4.1]</p>			
<p>Nature of Action and Legal Authority Code</p> <p>NOAC/NOA: 815 Recruitment Incentive</p> <p>LAC:            VPF 25% or less                       VPO &gt;25%                       VPT terminated</p> <p>[GPPA Ch 29 Table 29]</p>			

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**TALENT MANAGEMENT CHECKLIST  
RELOCATION INCENTIVE**  
(Critical Success Factors: Recruitment and Retention)  
CPS/Installation Compliance Checklist

*Use in conjunction with HAF AFIS Checklist Force Support Manpower Personnel Flight Item 2.6.1*

<b>Employee Name:</b>		<b>RPA Number:</b>	
<b>Position Title/PP/Series/Grade:</b>			
<b>Effective Date:</b>		<b>Announcement Number:</b>	
<b>NOA/NOAC:</b>		<b>Certificate Number:</b>	
<b>LAC/Legal Authority:</b>			
<b>MAJCOM/Installation/Organization Name:</b>			
ITEMS	Y/N	NA	COMMENTS (may be asked to provide examples)
<p>Incentive Criteria</p> <ul style="list-style-type: none"> <li>• Was the incentive approved before the employee entered on duty?</li> <li>• Did the employee have a rating of record of at least "Fully Successful"?</li> <li>• Has the employee established a residence in the new geographic area?</li> <li>• Was the incentive specified in the announcement? [DoD Policy memo dated 21 Sep 2006]</li> </ul>			
<p>Was a recruitment incentive also given?</p> <ul style="list-style-type: none"> <li>• An organization may not commence a relocation incentive service agreement during a service period established by an employee's recruitment incentive service agreement or previously authorized relocation incentive service agreement. [5 CFR 575.205]</li> </ul>			
<p>Is the relocation incentive within 25% of the annual rate of basic pay? [5 CFR 575.209 (b)(1)]</p> <p>If incentive was more than 25%, was waiver received from OPM?</p> <ul style="list-style-type: none"> <li>• An authorized agency official may request that OPM waive the limitation in paragraph (b)(1) of this section for an employee based on a critical agency need. The authorized agency official must determine that the competencies required for the position are critical to the successful accomplishment of an important agency/organization mission, project, or initiative (e.g., programs or projects related to a national emergency or implementing a new law or critical management initiative). Under such a waiver, the total amount of relocation incentive payments paid to an employee in a service period may not exceed 50% of the annual rate of basic pay of the employee at the beginning of the service period</li> </ul>			

<p>multiplied by the number of years (including fractions of a year) in the service period not to exceed 2 years. However, in no event may a waiver provide total relocation incentive payments exceeding 100% of the employee's annual rate of basic pay at the beginning of the service period.</p> <p>Waiver requests must include [CFR 575.209(c)(2)]</p> <ul style="list-style-type: none"> <li>• A description of the critical agency/organization need the proposed relocation incentive would address;</li> <li>• The documentation required by §575.208 (see next block below)</li> <li>• The proposed relocation incentive payment amount and a justification for that amount;</li> <li>• The timing and method for making the relocation incentive payments;</li> <li>• The period of service required; and</li> <li>• Any other information pertinent to the case at hand</li> </ul>			
<p>Was a request package submitted that included the required information?</p> <ul style="list-style-type: none"> <li>• Written determination that the position is likely to be difficult to fill in the absence of a relocation incentive</li> <li>• Supporting factors used to authorize the incentive</li> <li>• The reasons for determining the amount and timing of the incentive payments</li> <li>• The reasons for determining the length of the service period</li> <li>• Worksite of the new position is in a different geographic area than the previous position</li> </ul> <p>Is this documentation retained in the servicing personnel office for non-centrally managed positions?</p> <p>[DoD Policy memo dated 21 Sep 2006; 5 CFR 575.208; AFI36-802 para 4.6 ]</p>			
<p>Does Aggregate Pay exceed the limitation?</p> <p>Payment of a relocation incentive is subject to the aggregate limitation on pay under 5 CFR Part 530, subpart B</p> <ul style="list-style-type: none"> <li>• An employee's aggregate compensation received in any given calendar year may not exceed the rate of pay for level I of the Executive Schedule.</li> </ul>			

<ul style="list-style-type: none"> <li>In the case of an employee assigned to the Physician, 0602, or Dentist, 0680, occupations, payment to the employee may not exceed the salary of the President of the United States as in effect on the last day of that calendar year. [DoD Policy memo dated 21 Sep 2006]</li> </ul>			
<p>Was the proper coordination and level of approval obtained? (Refer to AFI36-802 para 4.2 to identify approval levels &amp; AF re-delegation memo 15 Mar 07 for Centrally Managed Positions)</p>			
<p>Is a signed employment service agreement on file?</p> <p>Does the service agreement contain:</p> <ul style="list-style-type: none"> <li>Period of service and total amount authorized</li> <li>Beginning and ending dates of service period</li> <li>Method of payment</li> <li>Conditions under which agreement must be terminated</li> <li>Terms or conditions that may result in termination of agreement</li> <li>Effects of detail or non-pay status on creditable service</li> <li>Consequence of termination of service agreement</li> <li>Statement that termination of agreement may not be grieved or appealed</li> </ul> <p>[AFI36-802 fig. 4.1]</p>			
<p>Was correct NOA/LAC used?</p> <p>NOAC: 816 Relocation Incentive LAC: VPF 25% or less VPO &gt; 25% VPW terminated</p> <p>[GPPA Ch 29 Table 29]</p>			

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**TALENT MANAGEMENT CHECKLIST  
RETENTION INCENTIVE**

**(Critical Success Factors: Recruitment and Retention)**

*Use in conjunction with HAF AFIS Checklist Force Support Manpower Personnel Flight Item 2.6.1*

<b>Employee Name:</b>	<b>RPA Number:</b>
<b>Position Title/PP/Series/Grade:</b>	
<b>Effective Date:</b>	<b>Announcement Number:</b>
<b>NOA/NOAC:</b>	<b>Certificate Number:</b>
<b>LAC/Legal Authority:</b>	
<b>MAJCOM/Installation/Organization Name:</b>	

**REFERENCES: 5 CFR 575 Sub C, DoD Policy memo dated 21 Sep 2006, AF re-delegation memo 15 Mar 2007, DoD Policy memo dated 5 Feb 2008, AFI 36-802, Ch 4**

ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
<p>To be eligible for this incentive, an employee/group must be in position(s) described below:</p> <ul style="list-style-type: none"> <li>• A General Schedule position paid under 5 U.S.C. 5332 or 5305 (or similar special rate authority);</li> <li>• A senior-level or scientific or professional position paid under 5 U.S.C. 5376;</li> <li>• A Senior Executive Service position paid under 5 U.S.C. 5383 or a Federal Bureau of Investigation and Drug Enforcement Administration Senior Executive Service position paid under 5 U.S.C. 3151;</li> <li>• A position as a law enforcement officer, as defined in 5 CFR 550.103;</li> <li>• A position under the Executive Schedule paid under 5 U.S.C. 5311–5317 or a position the rate of pay for which is fixed by law at a rate equal to a rate for the Executive Schedule;</li> <li>• A prevailing rate position, as defined in 5 U.S.C. 5342(a)(3); or</li> <li>• Any other position in a category for which payment of retention incentives has been approved by OPM at the request of the head of an executive agency.</li> </ul> <p>[5 CFR 575.303]</p>			
<p>Was a request package submitted that included the required information?</p> <ul style="list-style-type: none"> <li>• The basis for determining that the employee (or number of employees in a group) would be likely to leave the Federal service in the absence of a retention incentive; and</li> <li>• The basis for establishing amount and timing of approved retention incentive payment and the</li> </ul>			

<p>length of the required service period Is documentation by management officials? [5 CFR 575.308, DoD Policy memo dated 21 Sep 2006, AF re-delegation memo 15 Mar 2007, DoD Policy memo dated 5 Feb 2008, AFI 36-802, Ch 4]</p>			
<p>Was the proper coordination and level of approval obtained? (Refer to AFI36-802 Ch 4 to identify approval levels &amp; AF re-delegation memo 15 Mar 07 for Centrally Managed Positions)</p> <p>Approval is not authorized prior to individual's employment. [DoD Policy memo dated 21 Sep 2006]</p>			
<p>Retention incentives for employees likely to leave for a different position in the Federal service [5 CFR 575.315]</p> <ul style="list-style-type: none"> <li>• Is decision to grant retention incentive used to retain employee who is likely to leave for a different position in the Federal service?</li> <li>• Is employee in an organization subject to closure or relocation?</li> <li>• Does the employee have a general or specific written notice that his or her position may or would be affected? (e.g., the employee's position may or would move to a new geographic location or the employee's position may or would be eliminated)</li> </ul> <p>If incentive was granted under these terms, waiver requests for payment of incentive greater than 25% must be routed through DCPAS IAW Addendum to the DoD policy and plan for Recruitment, Relocation and Retention Incentives dated 21 Sep 06</p>			
<p>Retention incentives require annual review and certification.</p> <ul style="list-style-type: none"> <li>• Has a review been completed?</li> <li>• Is review documentation retained in the servicing personnel office?</li> </ul> <p>[DoD PM dtd 5 Feb 08, AFI36-802 Ch 4]</p>			
<p>Has the employee signed a written employment service agreement? Is service agreement on file? Service agreements must include/specify:</p> <ul style="list-style-type: none"> <li>• Employee name, title, series (occupational code), grade (pay level)</li> <li>• Period of service agreed to (in months &amp; years)</li> <li>• Beginning and ending dates of service period</li> <li>• Retention incentive percentage rate</li> <li>• Whether the incentive will be paid in</li> </ul>			

<p>installments or in a lump sum payment upon completion of the service provided</p> <ul style="list-style-type: none"> <li>• Whether any installment payments will be paid at less than the full retention incentive percentage rate established under 575.309(a)</li> <li>• The timing of incentive payments</li> <li>• The conditions under which the service agreement must be terminated or may be terminated before the employee completes the agreed upon service period</li> <li>• Extent to which periods of time on detail, non-pay status or other such periods of time count toward completion of the service period</li> <li>• Consequences of termination of service agreements</li> <li>• Statement that the determination to pay a retention incentive must be reviewed at least annually</li> <li>• Statement that the decision to terminate service agreement may not be grieved or appealed</li> </ul> <p>[5 CFR 575.310, DoD Policy memo dtd 5 Feb 08]</p> <p><b>A written service agreement is NOT required in few instances. See DoD Policy memo dated 21 Sep 2006, D 2(b)(v)</b></p>			
<p>Is the retention incentive within 25% (individuals) and 10% (groups) of the annual rate of basic pay? [5 CFR 575.309 (a)]</p> <p>If incentive was more than 25%, was waiver received from OPM?</p> <p>Waiver requests must include A description of the employee's work requirements and responsibilities or, if requesting a group retention incentive, a description of the group or category of employees and the number of employees to be covered by the proposed retention incentive</p> <ul style="list-style-type: none"> <li>• A description of the critical agency/organization need the proposed retention incentive would address;</li> <li>• The written documentation required by §575.308;</li> <li>• The proposed retention incentive percentage rate and a justification for that percentage;</li> <li>• The timing and method of making the retention incentive payments;</li> <li>• The service period required; and</li> </ul>			



<ul style="list-style-type: none"> <li>• Any other information pertinent to the case</li> </ul> <p>[5 CFR 575.309(e)(2)]</p>			
<p>Does Aggregate Pay exceed the limitation?</p> <p>Payment of a retention incentive is subject to the aggregate limitation on pay under 5 CFR part 530, subpart B</p> <ul style="list-style-type: none"> <li>• An employee's aggregate compensation received in any given calendar year may not exceed the rate of pay for level I of the Executive Schedule</li> <li>• In the case of an employee assigned to the Physician, 0602, or Dentist, 0680, occupations, payment to the employee may not exceed the salary of the President of the United States as in effect on the last day of that calendar year</li> </ul> <p>[DoD Policy memo dated 21 Sep 2006, DoD Policy memo dated 5 Feb 2008]</p>			
<p>NOAC/NOA: 827 Retention Incentive</p> <p>Legal Authority/LAC:</p> <ul style="list-style-type: none"> <li>• VPN 25% or less</li> <li>• VPX terminated</li> </ul> <p>Establishment or change of retention incentive where employee receives biweekly payments in equal percentage &amp; no service agreement required</p> <ul style="list-style-type: none"> <li>• VPR 25% or less</li> <li>• VPS &gt;25%</li> <li>• VPY terminated</li> </ul> <p>Establishment of retention incentive when a service agreement is required and employee is likely to leave Federal service</p> <ul style="list-style-type: none"> <li>• VPA 25% or less</li> <li>• VPB &gt;25%</li> <li>• VPC terminated</li> </ul> <p>Establishment of retention incentive when a service agreement is required and employee is likely to leave for a different position in the Federal service</p> <p>[GPPA Ch 29 Table 29]</p>			

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**REVIEWER**

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**DATE**

**TALENT MANAGEMENT CHECKLIST  
STAFFING CASE FILE REVIEW – RECORD OF INDIVIDUAL ACTIONS  
(Critical Success Factors: Recruitment & Retention)  
AFPC/APFC-OL Compliance Checklist**

<b>Employee Name:</b>		<b>RPA Number:</b>	
<b>Position Title/PP/Series/Grade:</b>			
<b>Effective Date:</b>		<b>Announcement Number:</b>	
<b>NOA/NOAC:</b>		<b>Certificate Number:</b>	
<b>LAC/Legal Authority:</b>			
<b>MAJCOM/Installation/Organization Name:</b>			
<b>ITEMS</b>	<b>Y/N</b>	<b>N/A</b>	<b>COMMENTS (may be asked to provide examples)</b>
<b>1 DOCUMENTATION</b>			
<p><b>1</b> Merit promotion process can be reconstructed, including how candidates rated and ranked. Are promotion records maintained IAW [5 CFR 335.103(b)(5)] and [AFMAN 36-203, 2.24]? <b>NOTE: this requires obtaining copies of the selection records that are kept by the supervisor as well as the Job Analysis used.</b></p> <p>Records Maintained IAW AFMAN 33-364, AFRIMS RDS, T23–27, R10 (When a class action complaint is filed, refer to AFMAN 33-364, Air Force Records Information Management System (AFRIMS) Records Disposition Schedule (RDS) Table 36-29, Rule 2 )</p>			
<b>2 CASE FILE CONTENTS</b>			
<p><b>2 Required information:</b></p> <ul style="list-style-type: none"> <li>• Position title, series, grade, PB, PS, duty location</li> <li>• Announcement</li> <li>• Documents used to determine major job requirements, specialized experience, skills, education and factors used to identify best qualified candidates</li> <li>• Job Analysis, Template or Assessment Tool used to rate and rank qualified applicants [5 CFR 300.103]</li> <li>• Method used to rate candidates (HR, panel, SME)</li> <li>• Candidate Referral Roster</li> <li>• Certificate(s)</li> <li>• Applications or resumes</li> <li>• Applicant notices</li> <li>• Documentation of selection</li> </ul>			
<b>3 JOB ANALYSIS/TEMPLATE/ASSESSMENT TOOL</b>			
<p><b>3.1 – 3.6 Validated Job Analysis/Template/Assessment Tool:</b></p>			

<ul style="list-style-type: none"> <li>• Job analysis completed IAW 5 CFR 300.103, AFMAN 36-203, para 2.14.</li> <li>• Major Job Requirements</li> <li>• KSAs, competencies, required to perform the duties and responsibilities are assessable and relevant to the position being filled</li> <li>• Supplemental Questionnaire(s) linked to KSAs</li> <li>• Minimum qualification requirements and “Best Qualified” criteria/definition – clear distinction between creditable levels of qualification</li> <li>• Minimum referral score</li> <li>• Tie-breaking method identified</li> <li>• Entry level and target grade of position</li> <li>• Grade level and length of qualifying experience</li> <li>• Minimum educational requirements</li> <li>• Minimum qualifications established</li> <li>• Correct Qualification standard identified/used</li> <li>• Selective placement factors valid/justified</li> <li>• Positive Education Requirements, Licensure</li> </ul>			
<b>4 CANDIDATE REFERRAL ROSTER</b>			
<p>Applicant names  Applicant scores and rating  Action/applicant consideration annotated  Vet preference  Selection(s)/Non-Selections documented  Documented use of Alternate Certification</p>			
<b>5 CERTIFICATE</b>			
<p><b>Referral Certificate Contains:</b></p> <ul style="list-style-type: none"> <li>• Candidate names</li> <li>• Certificate #, issue and due date</li> <li>• Certifying official signature, date or electronic tracking</li> <li>• Position title, series, grade, duty location</li> <li>• Number of vacancies</li> <li>• Correct number of eligibles certified [5 CFR 332]</li> <li>• Certification Order</li> <li>• Candidates certified are qualified, meet TIG requirements, are eligible for referral, are among “Best Qualified”</li> <li>• Names removed or supplemental names added properly documented</li> <li>• Supplemental certificate(s) issued properly</li> <li>• Selecting official signature, date or electronic tracking</li> <li>• If position restricted to vets, referred candidates all vets or sufficient documentation showing availability or non-availability of vets [5 USC 3310]</li> </ul>			

<ul style="list-style-type: none"> <li>• Eligible objections properly processed [5 CFR 332]</li> <li>• Incomplete applications processed consistently for each vacancy</li> </ul> <p><b>Selections documented:</b></p> <ul style="list-style-type: none"> <li>• Selecting official annotated certificate</li> <li>• Date selection made</li> <li>• Interviews conducted or documentation that no interview conducted</li> <li>• Declination and failure-to-respond documented</li> </ul> <p><b>Candidate within reach for selection:</b></p> <ul style="list-style-type: none"> <li>• Selection is from among the “best-qualified” candidates [5 CFR 300.102]</li> </ul>			
<b>6 APPLICANT NOTIFICATION</b>			
<p><b>Applicant notified of status when:</b></p> <ul style="list-style-type: none"> <li>• Application received</li> <li>• Application assessed for qualifications</li> <li>• Applicant referred (or not referred) to selecting official</li> <li>• Applicant selected or not selected</li> <li>•</li> </ul>			

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**REVIEWER**

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**DATE**

**TALENT MANAGEMENT CHECKLIST  
STUDENT LOAN REPAYMENT PROGRAM (SLRP)  
(Critical Success Factors: Recruitment and Retention)  
CPS/Installation Checklist**

*Use in conjunction with HAF AFIS Checklist Force Support Manpower Personnel Flight Item 2.6.2*

<b>Employee Name:</b>	
<b>MAJCOM/Installation/Organization Name:</b>	
<b>Position Title/PP/Series/Grade:</b>	
<b>Effective Date:</b>	<b>Loan Repayment Amount:</b>
<b>NOA/NOAC:</b>	<b>LAC/Legal Authority:</b>

*NOTE: SLRP is not to be used to recruit current Federal employees or to retain employees leaving for positions in other Federal agencies.*

ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
<b>AGENCY PLAN (5 CFR 537.103)</b>			
Agency Plan must include: <ul style="list-style-type: none"> <li>• Designation of officials to review and approve student loan repayment benefits</li> <li>• Identification of situations under which the authority can be use</li> <li>• Established criteria for student loan repayment authorizations</li> <li>• Established criteria for determining size and timing of payments</li> <li>• System for selecting employees (or job candidates) to receive student loan repayment benefits, that ensures fair and equitable treatment</li> <li>• Requirements for service agreements, including a basis for determining the length of service to be required if it is greater than the statutory minimum</li> <li>• Procedures for making student loan payments</li> </ul>			
Have provisions been established and published for: <ul style="list-style-type: none"> <li>• Recovering outstanding SLRP amounts from an employee who fails to satisfy a service agreement</li> <li>• Request for repayment waivers</li> </ul>			
Have documentation and recordkeeping requirements been established?  Do they to support reconstruction of each action for approved student loan repayment benefits?			

<b>RECORDS AND REPORTS (5 CFR 537.107)</b>			
<p>Do CPS/HR activity records contain:</p> <ul style="list-style-type: none"> <li>• Documentation of each student loan repayment determination?</li> <li>• Requirement for employees to reimburse the Federal Government upon failure to complete the period of employment?</li> </ul>			
<b>AUTHORITY</b>			
<p>Does employee meet eligibility for student loan repayment? [5 CFR 537.102 and 104]</p> <ul style="list-style-type: none"> <li>• Used to recruit highly qualified employee?</li> <li>• Employee is eligible, except if occupying a position excepted from the competitive civil service because of the confidential, policy-determining, policy-making, or policy advocating nature of the position (e.g., Schedule C appointees)?</li> <li>• On temporary appointment leading to conversion to term or permanent?</li> <li>• Term employee with at least 3 years left on appointment?</li> <li>• Permanent employee?</li> <li>• Serving on excepted service appointment with established conversion to term, career or career conditional (including DCIP Intern) by regulation or law?</li> </ul>			
<p>Was written determination made before the employee's EOD? (SLRP may be approved for up to \$10,000.00, paid biweekly over a 12-month service period (aggregate limit not more than \$40,000.00 per person))</p>			
<b>SERVICE AGREEMENT</b>			
<p>Employee must sign service agreement prior to repayment of loan. Has the employee signed a written service agreement with the agency before any payment made?</p>			
<p>Does the service agreement state:</p> <ul style="list-style-type: none"> <li>• Minimum period of service is 3 years?</li> <li>• Requirements &amp; conditions for reimbursement to agency (5 CFR 537.109)?</li> <li>• Incentive is in addition to basic pay?</li> <li>• Employee responsibility to make loan payments on portion for which responsible?</li> </ul> <p>Is a copy of the agreement filed on the left side of employee OPF/EPF?</p>			

Is a copy of the agreement filed in the supervisor's work folder (locally approved repayments)? <b>[5 CFR 537.107, DoD SLRP 17Oct 01; AF SLRP dated 18 Jul 02 &amp; AF Memo SLRP Amendment, dated 8 Oct 04]</b>			
<b>PERSONNEL ACTION</b>			
Was RPA processed with initial student loan repayment authorization and annually in any subsequent year in which payments continued? [AF Memo AF SLRP Amendment, dated 8 Oct 04]			
Was effective date no earlier than the date the employee signed the service agreement or earlier than the date the individual begins serving in the position for which recruited? [5 CFR 537.107]			
Was Correct NOA used?  <ul style="list-style-type: none"> <li>• NOA: 817/Student Loan Repayment</li> </ul>			
Was mandatory DCPDS coding of contingency area accomplished?  <ul style="list-style-type: none"> <li>• SL – locally approved/funded SLP</li> <li>• SP – centrally funded/approved SLP for PAQ</li> <li>• SC – centrally funded/approved SLP for Copper Cap</li> </ul>			
<b>DOCUMENTATION</b>			
Is documentation on file at the CPS/HR Activity?			
Does documentation contain: <ul style="list-style-type: none"> <li>• STLN Form for DFAS?</li> <li>• Verification of outstanding student loan?</li> <li>• Manager's approved justification for authorizing loan repayment?</li> <li>• Copy of the service agreement?</li> </ul>			

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**REVIEWER**

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**DATE**

**TALENT MANAGEMENT CHECKLIST  
SUPERIOR QUALIFICATIONS PAY SETTING AUTHORITY  
(Critical Success Factors: Recruitment and Retention)  
CPS/Installation Checklist**

*Use in conjunction with HAF AFIS Checklist Force Support Manpower Personnel Flight Item 2.6.1*

<b>Employee Name:</b>	<b>RPA Number:</b>		
<b>MAJCOM/Installation/Organization Name:</b>			
<b>Position Title/PP/Series/Grade:</b>			
<b>Effective Date:</b>	<b>Announcement Number:</b>		
<b>NOA/NOAC:</b>	<b>Certificate Number:</b>		
<b>LAC/Legal Authority:</b>			
<b>ITEMS</b>	<b>Y/N</b>	<b>N/A</b>	<b>COMMENTS (may be asked to provide examples)</b>
<p>An agency may use the superior qualifications and special needs pay-setting authority in 5 U.S.C. 5333 to set the payable rate of basic pay for an employee above the minimum rate of the highest applicable rate range for the employee's position of record. [5 CFR 531.212] <b>FIAR ITEM</b></p>			
<p>Does the employee meet the eligibility requirements for this incentive?</p> <ul style="list-style-type: none"> <li>• Is this the first appointment (regardless of tenure) as a civilian employee of the Federal Government?</li> <li>• Is this a reappointment:</li> <li>• The employee has had a break in service of at least 90 days?</li> </ul> <p style="text-align: center;"><b>OR</b></p> <p>The preceding appointment was:</p> <ul style="list-style-type: none"> <li>• Employment under a time-limited or non-permanent appointment in the competitive or excepted service?</li> <li>• Employment under an appointment as an expert or consultant under 5 U.S.C. 3109 and 5 CFR part 304?</li> <li>• Employment under a provisional appointment designated under 5 CFR 316.403?</li> </ul> <p>Service as an employee of a non-appropriated fund instrumentality (NAFI) of the Department of Defense or Coast Guard is not considered employment by the Federal Government under this section except for employees covered by §531.216 upon appointment or reappointment (i.e., employees who move from NAFI</p>			



<p>position to GS position with a break in service of 3 days or less and without a change in agency).  <b>Employees covered by §531.216 upon appointment or reappointment to a GS position are not eligible to have pay set under the superior qualifications or special needs authority</b>, since their NAFI employment is considered employment by the Federal Government. Otherwise, NAFI employment does not block application of this section.</p> <p>[5 CFR 531.212 (a)]</p>			
<p>Does the written justification package meet the criteria for superior qualifications and contain sufficient justification to allow reconstruction of the action taken?</p> <ul style="list-style-type: none"> <li>• The candidate has superior qualifications based on the level, type, or quality of their skills or competencies demonstrated or obtained through experience and/or education</li> <li>• The quality of the candidate's accomplishments compared to others in the field, or other factors that support a superior qualifications determination.</li> <li>• The candidate's skills, competencies, experience, education, and/or accomplishments must be relevant to the requirements of the position to be filled. These qualities must be significantly higher than that needed to be minimally required for the position and/or be of a more specialized quality compared to other candidates</li> </ul> <p>[AFI36-802 para 5.3.1; 5 CFR 531.212 (b)(1 or 2) &amp;531.(e)(1)]</p>			
<p>Does the written justification package list the factors and how the factors directly related to setting the pay?</p> <p>[AFI36-802 para 5.3.1; 5 CFR 531.212 (c)]</p>			
<p>Does the written justification package substantiate the reasons for superior qualifications instead of a recruitment incentive?</p> <p>[5 CFR 531.212 (e)( 2)(iii), DoD 1400.25-M SC 531.3.1.2.2, AFI36-802 para. 5.3.1]</p>			
<p>Was the proper coordination and level of approval obtained and made <b>prior</b> to the candidate entering on</p>			

duty? [AFI36-802 Table A 4.1 (page 37) and 5 CFR 531(e)]			
SF 50 Required remark: <ul style="list-style-type: none"> <li>• P04 - Pay set using the superior qualifications and special needs pay-setting authority under 5 CFR 531.212</li> </ul> [GPPA Table 9-I]			
Was the correct pay rate determinant used when coding the superior qualification appointment into the Defense Civilian Personnel Data System (DCPDS)?  Code to be used is "5" or "7".  5-Special and Superior Qualifications Rates For use when pay rate determinant codes 6 and 7 below are both applicable.  6-Special Rates Employee is paid at a special rate established under appropriate authority to recruit well qualified individuals in selected occupations and locations.  7-Superior Qualification Rate Employee is appointed at a rate above the minimum rate for the grade.  [AFI36-802 para 5.3.3]			

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**REVIEWER**

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**DATE**

**TALENT MANAGEMENT CHECKLIST  
VACANCY ANOUNCEMENT  
(Critical Success Factors: Recruitment and Retention)  
AFPC/AFPC-OL Checklist**

<b>Selectee Name:</b>			
<b>RPA Number#:</b>		<b>Announcement #:</b>	
<b>MAJCOM/Installation/Organization Name:</b>			
<p><b>Critical Success Factors: <u>Recruitment</u></b> - The workforce plan drives the aggressive and strategic recruitment of diverse and qualified candidates for the agency's workforce</p> <p><b><u>Retention</u></b>: Leaders, managers, and supervisors create and sustain effective working relationships with employees. The workplace is characterized by: A motivated and skilled workforce, attractive and flexible working arrangements, compensation packages and other programs used to hire and retain employees who possess mission-critical skills, knowledge, and competencies.</p>			
<b>ITEMS</b>	<b>Y/N</b>	<b>N/A</b>	<b>COMMENTS (may be asked to provide examples)</b>
<b>AUTHORITY [5 USC 3327 and 3330, 5 CFR 330.707]</b>			
<b>1 VACANCY ANOUNCEMENT</b>			
<b>1 Public notice requirements met?</b>			
<ul style="list-style-type: none"> <li>• JOA open to the public posted on USAJobs</li> <li>• Competitive service vacancy to be filled for more than 120 days when applications will be accepted from individuals outside the agency's own workforce; posted on USAJobs</li> </ul> <p><b>1.1</b> Announcement contains period during which applications will be accepted? [5 CFR 330.102]</p> <p><b>1.2</b> If announcement was open for a period of less than 5 business days, is the reason documented and does the documentation support a shorter duration?</p>			
<b>1.3 Required items: [5 CFR 330.707]</b>			
<p>Agency Name Announcement Number Title, Pay Plan/Schedule, Series/Occ Code, Grade(s)/Band(s) Entrance Pay or Pay Range</p> <ul style="list-style-type: none"> <li>• Correct for location of vacancy</li> <li>• Promotion Potential</li> </ul> <p>Open and Closing Dates (including cut-off dates, if any) Duty Location Type of appointment (e.g., permanent, term, temp, including NTE dates) Number of Vacancies Who may apply Work Schedule</p>			

<p>Explanation of what applicant can expect once application has been submitted</p> <p>Area of consideration is sufficiently broad to ensure availability of high quality candidates 5 CFR 335.103(b)(2)</p>			
<p><b>1.4</b> Description of duties designed to attract candidates</p> <ul style="list-style-type: none"> <li>• 3 – 5 major duties, bullet format</li> <li>• Listed in logical order</li> <li>• Plain language, no Federal jargon, not excessively wordy</li> <li>• Includes typical work assignments</li> <li>• 5 pages or less</li> </ul>			
<p><b>1.5</b> Correct qualification requirements for each grade level:</p> <ul style="list-style-type: none"> <li>• KSA's/competencies, including selective factors and/or quality ranking factors, if any</li> </ul> <p><b>No narrative response to KSAs required</b></p> <ul style="list-style-type: none"> <li>• Education requirements properly stated</li> <li>• Includes substitution of education for experience if applicable</li> </ul> <p>Interdisciplinary Position</p> <ul style="list-style-type: none"> <li>• All series included</li> </ul>			
<p><b>1.6</b> Do the qualifications statements contain meaningful definitions of qualifying or specialized experience?</p>			
<p><b>1.7</b> Positions <b>restricted to preference eligibles</b>: Contains statement explaining whether applications will be accepted from non-preference eligibles, and if so that they will not be considered if veterans are available for Custodian, Messenger, Guard, and Elevator Operator positions [5 CFR 330 Subpart D]</p>			
<p><b>1.8</b> Basis of Rating</p> <ul style="list-style-type: none"> <li>• Type of rating procedure (numeric rating, ranked/unranked, category rating)</li> <li>• Type of assessment(s) to be used</li> <li>• If using an interview, whether it is pass/fail or scored</li> <li>• If using category rating, description of each quality category</li> </ul>			
<p><b>1.9</b> Instructions on How to Apply (including point of contact, telephone number and email address, if appropriate) What to File</p>			

<p><b>1.10 Agency's Definition of "Well-Qualified" (ICTAP)</b></p> <ul style="list-style-type: none"> <li>• How ICTAP candidates may apply</li> </ul> <p>Proof of eligibility requirements</p>			
<p><b>1.11 Information on How to Claim Veterans Preference</b></p> <p>When seeking applications from outside own workforce, describe for eligible veterans how they may compete for vacancies under agencies' promotion procedures.</p>			
<p><b>1.12 Equal Employment Opportunity Statement</b>  <b>Reasonable Accommodation Statement</b>  <b>VOW Act Statement</b></p> <p><b>Agency Specific Requirements:</b>  Reemployed Annuitant Statement (DoD PM "Reemployed Annuitant", dtd 18 Mar 2004)  Lautenberg Amendment Statement (AF Policy Memo, 04-40 dtd 5 Oct 04)  Military Spouse Preference Statement (FAS DEU Update #12 dtd 31 Jul 2002)</p>			
<p><b>1.13 Do vacancy announcements contain all "conditions of employment" specific to the position being advertised? .</b>  <b>Conditions of Employment):</b>  Security Clearance Requirements  Part time or intermittent employment  Shift work  Unusual tour of duty  Travel requirements  Minimum/Maximum Entry Age  Physical Requirements  Mobility  Drug test  Defense Civilian Intelligence Personnel System (DCIPS)  Air Reserve Technician (ART)</p>			
<p><b>Additional items designed to attract job-seekers, if warranted:</b>  Recruitment/Relocation Incentive Opportunities  Alternative Work Schedules  Part-time Employment and Job Sharing Opportunities  Telework Options  Employee Benefits:</p> <ul style="list-style-type: none"> <li>• Insurance (Life, Health, Dental, Vision, Long Term Care)</li> <li>• Flexible Spending Accounts for Health &amp; Dependent Care</li> </ul> <p>Leave (Vacation, Medical, Family, and Leave</p>			

Sharing) Work/Like Programs (e.g., On-site Day Care, Nursing Mothers Program, Child Care Subsidy, Employee Health Programs) Transit Subsidy Employee Assistance Programs Incentive Award Opportunities Development and Training Opportunities Payment of Permanent Change of Station (PCS) expenses			
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**REVIEWER**

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**DATE**

**TALENT MANAGEMENT CHECKLIST**  
**Voluntary Separation Incentive Payment (VSIP)**  
**Voluntary Early Retirement Authority (VERA)**  
**(Critical Success Factor: Retention)**  
**CPS/Installation Checklist**

*Use in conjunction with HAF AFIS Checklist Force Support Manpower Personnel Flight Item 2.3.1*

<b>Employee Name:</b>	<b>RPA Number:</b>
<b>MAJCOM/Installation/Organization Name:</b>	
<b>Position Title/PP/Series/Grade:</b>	
<b>Effective Date:</b>	
<b>VERA Approval Authority Number:</b>	
<b>VSIP Approval Authority Number (DoD or Agency Specific):</b>	
<b>NOA/NOAC:</b>	
<b>LAC/Legal Authority:</b>	
<b>Voluntary separation incentives used to reduce (downsize) or restructure the civilian workforce, create vacancies for the placement of employees subject to involuntary separation by reduction in force (RIF), avoid the need for involuntary separations during RIF, and encourage non-DoD employers to hire employees being terminated because of base closure or realignment (BRAC)</b>	

**REFERENCES: National Defense Authorization Act (NDAA), Public Law 110-181 Section 1106; P.L. 107-296, Section 1313; Title 5 United States Code (U.S.C.) Section 9902(g); Title 5 U.S.C. Sections 3521 to 3523; 5 CFR Part 576 (VSIP); 5 U.S.C. Section 8336(d)(2); 8414(b)(1)(B) and 5 CFR 831.114 and 842.213 (VERA); DoDI 1400.25-V1702**

ITEMS	Y/N	N/A	COMMENTS (may be asked to provide examples)
<b>VSIP</b>			
Is employee (as defined in 5 U.S.C. 3521) serving in a position covered by a component/command/installation voluntary separation incentive payment (VSIP)? [5 U.S.C. Section 9902(g); DoDI 1400.25-V1702, Encl 3; 5 CFR 576.102(a)(1)]			
Employee is currently employed by Department of Defense (DoD) and has been for a continuous period of at least 3 years? [5 U.S.C. 9902(g); 5 CFR 576.101(2)]			
Is employee serving under an appointment that is not time limited? [5 CFR 576.101(1)]			
Has employee applied for and received approval for a VSIP from the component/command/installation making the VSIP offer? [5 U.S.C. 9902 (g); DoDI 1400.25-V1702 Encl 3; 5 CFR 576.103]			
An employee in the following categories <b><u>IS NOT</u></b> eligible for VSIP: <ul style="list-style-type: none"> <li>• Reemployed Annuitant (under 5 U.S.C. Chapter 83 (CSRS) or Chapter 84 (FERS) or other Federal Government retirement system)</li> <li>• Is or would be eligible for disability retirement</li> <li>• Is on a Schedule C excepted appointment</li> <li>• Is a non-compensated employee</li> </ul>			

<ul style="list-style-type: none"> <li>• Has accepted a position with another Federal Agency</li> <li>• Has received a specific notice of RIF separation</li> <li>• Has declined to relocate with his/her position or declined a transfer of function (TOF)</li> <li>• Has received a decision notice of involuntary separation for misconduct or poor performance</li> <li>• Previously received any VSIP from the Federal Government</li> <li>• During the 36-month period preceding the date of separation, performed service for which a student loan repayment benefit was paid, or is to be paid (unless a documented waiver was obtained)</li> <li>• During the 24-month period preceding the date of separation, performed service for which a recruitment or relocation incentive was paid, or is to be paid (unless a documented waiver was obtained)</li> <li>• During the 12-month period preceding the date of separation, performed service for which a retention incentive was paid, or is to be paid (unless a documented waiver was obtained)</li> </ul> <p>[DoDI 1400.25-V1702, Encl 3(2)(b)(2)]</p>			
<p><b>Absent a waiver</b>, an employee meeting any of these criteria <b>is ineligible</b> for a buyout:</p> <ul style="list-style-type: none"> <li>• Is covered by a written service agreement from a Permanent Change of Station (PCS) or training</li> <li>• Is in receipt of a recruitment or relocation bonus, or is receiving a retention allowance</li> <li>• Is occupying a position defined as “hard to fill”</li> <li>• Is occupying a position for which special salary rates are approved (must be approved by the Secretary of Defense or designee)</li> </ul> <p>Exceptions may be granted in writing on a case-by-case basis (DoDI 1400.25-V1702, Encl 3(2)(b)(4)), when it is determined an offer of the buyout is in the best interest of the offering component/installation, and it is approved and documented by the appropriate VSIP approving authority, IAW DoD and AF policy (legal staff may need to provide interpretation). Such an exception establishes eligibility for a buyout but does not waive the terms of written service agreements.</p> <p>[DoDI 1400.25-V1702, Encl 3 (2)(b)(3)]</p>			
<b>VERA</b>			
<p>Is employee serving in a position covered by a voluntary early retirement offer? [DoDI 1400.25-V1702, Encl 3(4)(b); 5 CFR 831.114 (k)(1) and 842.213 (k)(1)]</p>			
<p>Has employee been continuously employed within DoD for at least the 31-day period before the date on which the determination to conduct a workforce reduction or restructuring action was approved? [DoDI 1400.25-V1702, Encl 3(4)(b); 5 CFR 831.114 (k)(2)(i) and 842.213(k)(2)(i)]</p>			



Is employee serving under an appointment that is not time limited? [DoDI 1400.25-V1702, Encl 3 (4)(b); 5 CFR 831.114 (k)(2)(ii) and 842.213(k)(2)(ii)]			
Employee has not received notification of involuntary separation for misconduct or unacceptable performance. [DoDI 1400.25-V1702, Encl 3 (4)(b); 5 CFR 831.114 (k)(2)(iii) and 842.213(k)(2)(iii)]			
Employee <b>is not</b> a reemployed annuitant (e.g., under 5 U.S.C. Chapter 83 (CSRS) or Chapter 84 (FERS)) or any other Federal Government retirement system [5 U.S.C. Section 9902(g)]			
Does employee meet the age and service requirements for an early optional retirement? (Age 50 with 20 years creditable service or, with 25 years of credible service at any age) [DoDI 1400.25-V1702, Encl 3 (4)(b); 5 CFR 831.114 (k)and 842.213 (k)]			
<b>VSIP/VERA MISC</b>			
Employees on Leave Without Pay (LWOP), workers compensation, details outside the agency, etc., were notified of VSIP offers that would cover them			
If an employee is currently in receipt of OWCP benefits, notify Department of Labor, OWCP [DoDI 1400.25-V1702, Encl 3(2)(a)(12)]			
Employees on military duty, who would be otherwise eligible for a VSIP offer, are treated for all practical purposes as though they are still on the job. Employee will have 30 days following restoration to the agency to accept or reject the agency's offer of VSIP, even if the VSIP authority has expired [Title 38 U.S.C., Chap 43; 5 CFR 576.103(d)]			
Employee in not on a temporary promotion (if so, effect/process Change to Lower grade action before employee separates with VSIP)			
<b>DOCUMENTATION</b>			
Valid written/documented audit trail must be maintained, IAW specific VSIP policy/program requirements, for the use of VSIP to include: <ul style="list-style-type: none"> <li>• Component/Command/Installation memorandums designating/approval use of VSIP</li> <li>• Announcement/Surveys regarding the VSIP</li> <li>• VSIP offer to employee</li> <li>• Employee accepting an incentive must sign a statement on a VSIP agreement confirming the voluntary nature of the action and indicating an understanding of the re-employment restrictions resulting from acceptance of buyout. Ensure that: <ol style="list-style-type: none"> <li>1. Correct agreement is being used (DD forms 2903-1, 2903-2, or 2903-3 only)</li> <li>2. Agreement is properly completed, signed by employee and a HR representative, and filed permanently in OPF</li> <li>3. Separation date is within the prescribed</li> </ol> </li> </ul>			

<p>window/FY that agency established for VSIP recipients [5 CFR 831.114 (k)(2)(iv) and 842.213(k)(2)(iv)]</p> <p>4. Agreement must indicate that the request for personnel action is irrevocable and identify the incentive payment terms(i.e., lump sum or installments)</p> <ul style="list-style-type: none"> <li>• Specific RIF notice, if applicable, received by employee</li> <li>• All personnel actions associated with the VSIP to include separation 50's (i.e., NOA 825 and/or associated VERA retirement and/or resignation action)</li> <li>• Position Description (PD)/Core Doc for VSIP impacted position(s)</li> <li>• Any/all waivers that were prepared/issued IAW DoDI 1400.25-V1702, Encl 3(2)(b)(3)</li> </ul>			
<b>PROCESSING PERSONNEL ACTIONS</b>			
<p>Process personnel action for VSIP recipients IAW The Guide to Processing Personnel Actions (GPPA), Chapter 29:</p> <ul style="list-style-type: none"> <li>• Nature of Action (NOA) “825 – Separation Incentive”</li> <li>• Authority Code “VWN/5 U.S.C. 9902(g) to record the employee’s receipt of the VSIP</li> </ul> <p>If documenting the Separation Incentive on the same Standard Form 50 as the separation, use blocks 6A-F and 20 of the resignation or retirement Standard Form 50 to document the 825/Separation Incentive action; document the amount of the Separation Incentive in block 20</p>			
<p>The GPPA, Chapter 30, contains instructions for VSIP separations:</p> <ol style="list-style-type: none"> <li>1) For employees retiring under the Civil Service Retirement System (CSRS) with a VSIP under the VERA option: NOA – 303, Authority “ZLM – P.L. 107-296, VERA No. and date”</li> <li>2) For employees retiring under the Federal Employees Retirement System (FERS) with a VSIP under the VERA option: NOA – 303, Authority “USM – 5USC Chapter 84 and AZM/OPM Office, VERA No. and date”</li> <li>3) For regular optional retirements, follow instructions in Chapter 30 of the GPPA</li> <li>4) For resignations, follow instructions in Chapter 31 of the GPPA</li> </ol>			

\_\_\_\_\_  
**REVIEWER**

\_\_\_\_\_  
**DATE**

# **Appendix C**

## **Self-Assessment Summary**

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## Self-Assessment Summary

**Installation/Organization:**

\_\_\_\_\_

**Date of Self-Assessment:** \_\_\_\_\_

**Period Covered:** FY/CY \_\_\_\_ - FY/CY \_\_\_\_

### HC POC(s) – (Primary Org Point of Contact)

Name	Title	Organization
		(MAJCOM/COORD)

## Self-Assessment Summary

### I. INTRODUCTION:

Self-Assessment POC(s) – [Individual(s) conducting self-assessment activities]

Name	Title	Organization

### II. INSTALLATION ENVIRONMENT AND ORGANIZATION

**Organization** (e.g., Physical location of organization, organization structure, servicing population, etc.):

**CPS Staff** [List Names/Positions]

**Activity** [e.g., Number of actions per compliance area during rating period]

**Sample:**

1. Performance Appraisals – 357
2. Individual Awards – 321  
Group Awards - 15
3. Adverse Actions – 1
4. Accessions – 25
5. Separations - 13

**III. DATA SOURCES** (list sources reviewer used to retrieve information):

Reports used

### IV. OVERALL ASSESSMENTS OBSERVATIONS AND FINDINGS

**Strategic Alignment:**

**Leadership and Knowledge Management:**

**Results Oriented Performance Culture:**

**Talent Management:**

**Accountability:**

#### **GENERAL FINDINGS:**

1. **FINDING:** (identify HC program or process area)

2. **FINDING:**

### **3. FINDING:**

## **V. COMPLIANCE REVIEW**

**Number of personnel actions reviewed:**

- **Non-competitive (Reassignment, Promotion, Appointment, Conversion)**
- **Competitive (Appointment, Conversion, Transfer, Detail)**
- **Incentives (SLRP, 3Rs)**
- **Performance (Awards, QSIs)**

**Number of performance plans reviewed:**

**Number of award justification packages:**

**Number of incentive justification packages:**

**Number of recruitment and placement case files reviewed:**

### **GENERAL FINDINGS:**

**1. FINDING: (identify HR program or process area)**

- a) **REQUIRED/RECOMMENDED ACTIONS:**
- b) **RESPONSE:**

**2. FINDING:**

- a) **REQUIRED/RECOMMENDED ACTIONS:**
- b) **RESPONSE**

### **CASE LISTING SPECIFIC FINDINGS**

**1. CASE FILE: (identify each record or file)**

- a) **FINDING:**
- b) **REQUIRED/RECOMMEND ACTIONS:**
- c) **RESPONSE:**
- d) **EVALUATOR NOTES: (identify status as closed or pending ECD)**

**2. CASE FILE: (identify each record or file)**

- a) **FINDING:**
- b) **REQUIRED/RECOMMEND ACTIONS:**
- c) **RESPONSE:**
- d) **EVALUATOR NOTES: (identify status as closed or pending ECD)**

2 Atchs

1. Self-Assessment Checklists
2. Supporting Documents

## Appendix D

### Rating the Results of Compliance Self-Assessment

MAJCOM and A1PC will review your self-assessment summary and supporting documentation. If necessary, additional information may be requested in order to validate self-assessment results and assign an overall rating.

Compliance errors fall into **two** categories:

- 1) A **violation** is a serious error in complying with policies, regulations or law that invalidates the action; establishes an improper salary, wage payment; affects an employee's rights, retirement or insurance coverage; or creates a security problem.
- 2) A **discrepancy** is an error of lesser consequence than a violation. It is attributed to improper or non-application of procedures, record keeping deficiencies, misfiling, etc.

Determine whether records contain violations, discrepancies or combination of both using the summary results and documentation. In addition, potential best practices should be identified. The findings will be translated into a rating assignment:

- Met (no significant discrepancies or violations)
- Partially Met (there are discrepancies requiring corrective action)
- Not Met (action contains a violation or combined discrepancies cause a violation)

Individual ratings will be assigned to each action within a compliance area (e.g., Accessions). The overall assessment rating will be based on the percentage of actions not containing violations compared to the number of actions reviewed.

90 – 100% - Met

80 – 89% - Partially Met

Less than 79% - Not Met

**Example** (Assigned rating achieved by dividing the number Partially Met or Met by total number in the Review Sample)

Base/Installation	Review Sample	#Met	#Partially Met	#Not Met	Assigned Rating	Overall Rating
MacDill AFB	13	5	6	2	85%	Partially Met
Offutt AFB	35	20	10	5	86%	Partially Met
USAFA	10	8	1	1	90%	Met

If violations or inefficiencies have been identified, you will be required to accomplish corrective action(s) to bring record(s) into compliance within an established timeline or in conjunction with the AFIS timeline. Corrective actions must be completed by the responsible. Recommended actions also require a response outlining any improvements made or considered and the projected timeline for implementation of changes or improvements. Responses should be forwarded through your MAJCOM for submission to AICP.



## Appendix E

### GLOSSARY OF TERMS AND ACRONYMS

#### Terms

**Accountability (Evaluating Results):** A system that contributes to agency performance by monitoring and evaluating the results of its human capital management policies, programs, and activities; by analyzing compliance with merit system principles; and by identifying and monitoring necessary improvements.

**Affirmative Employment Program (AEP):** Each Federal agency is required to maintain a continuing affirmative program to promote equal opportunity and to identify and eliminate discriminatory practices and policies. 29 CFR § 1614.102 EEOC MD-715 requires agencies to take proactive steps to ensure equal employment opportunity for all their employees and applicants for employment by regularly evaluating their employment practices to identify and eliminate barriers that hamper the advancement of any individual on the basis of race, national origin, sex or disability

**Agency Chief Human Capital Officer (CHCO):** Under Secretary of Defense

**Alignment:** The positioning of the human capital system's policies, practices, and strategies in relationship to the agency's strategic plan and performance plan, so what is done in the system is in direct support of the agency's mission, goals, and objectives.

**Appointing Authority:** The authority to administer civilian personnel programs and to take final action on matters pertaining to employment and general administration of personnel

**Audit:** A systematic, independent, and documented process for obtaining evidence and evaluating it objectively to determine the extent to which agreed upon criteria are met (i.e., the agency strategic human capital goals/objectives and OPM's criteria for meeting Human Capital Assessment and Accountability Framework (HCAAF) standards in adherence with merit system principles, veterans' preference rules, and rules for avoiding prohibited personnel practices).

**Chief Human Capital Officers Act of 2002 (CHCO Act):** Title 13 of the Homeland Security Act. The Act establishes Chief Human Capital Officers (CHCOs) in agencies, the Chief Human Capital Officers Council led by the Director of OPM, strategic human capital management systems, the relationship of strategic human capital management to agency performance plans and reports, and Human Resources flexibilities. It clarifies management accountability for managing Human Resources.

**Compensation Flexibilities:** Agency's discretionary authority to provide additional direct compensation in certain circumstances to support recruitment, relocation, and

retention efforts (e.g., Recruitment, Relocation and Retention Incentives, Superior Qualifications Pay-Setting Authority, etc)

**Compliance:** The process of adhering to the merit system principles and related laws, rules, and regulations for which Federal leaders, managers, supervisors, and employees are held accountable.

**Critical Success Factor:** The areas on which agencies and human capital practitioners should focus to achieve a system's standard and operate efficiently, effectively, and in compliance with merit system principles.

**Disabled Veterans Affirmative Action Program (DVAAP):** A Federal program established to recruit, hire, and train disabled veterans as well as certain veterans of the Vietnam era and of the post-Vietnam era who are qualified for such employment and advancement.

**Diversity:** Concept which promotes the inclusion of a variety of backgrounds, styles, perspectives, values and beliefs of individuals as an asset to an organization; and recognizes the individuality of all employees in a working environment to complete organizational goals and missions.

**DoD Civilian Human Capital Assessment System (CHCAS):** Enterprise-wide program to assess and evaluate civilian human capital policies, programs, and practices as well as measure progress in meeting the goals and objectives of the DoD Civilian Human Capital Strategic Plan

**Effectiveness:** The level of achievement of program goals and the results intended (as defined in strategic plans and in legislation). Examples include the percentage of trainees employed 1 year after completing job training, the rate of compliance in filing tax returns, and the percentage of customers/employees satisfied in relation to relevant indices.

**Efficiency:** The ratio of the outcome or output to the input of any program; the degree to which programs are executed or activities are implemented to achieve results while avoiding wasted resources, effort, time, and/or money.

**Federal Equal Opportunity Recruitment Program (FEORP):** A Federal recruitment program targeting minority, female, and disabled individuals to establish diverse pools of applicants for referral to selecting officials. Within the Air Force, FEORP plan requirements are incorporated into the AEP reports.

**Hiring Flexibilities:** Alternatives that allow for appointment of applicants when it is not feasible or practical to use traditional competitive hiring procedures (e.g., Government-wide Direct Hire Authority for Certain Medical Occupations, Veterans' Recruitment Appointment (VRA), Student Employment Program, 30% or More Disabled Veterans, etc)

**Human Capital:** An inventory of skills, experience, knowledge, and capabilities that drives productive labor within an organization's workforce.

**Human Capital Accountability:** The responsibility shared by leaders, Chief Human Capital Officers, line managers, and human capital practitioners for ensuring people are managed efficiently and effectively in support of agency mission accomplishment in accordance with merit system principles.

**Human Resources Service Centers:** Organizations that provide direct personnel services and support to civilian employees including staffing, recruitment and placement or classification services.

**Human Resources Management:** The strategic and coherent approach to the management of an organization's most valued assets - the people working there who individually and collectively contribute to the achievement of the objectives of the organization.

**HR Operational Efficiency:** Measures in this category address the degree of efficiency of HR service delivery and the capability of the human resources and other staff to support it. Examples: accuracy and timeliness of personnel processes, including time to hire; effective use of human resources information technology including the accuracy of the Human Resources Information System (HRIS) data base; total cost of HR per serviced employee; or cost of a given HRM activity such as staffing, benchmarked against other agencies' data or tracked internally over time.

**Human Resources Practitioner:** May be internal to the agency (e.g., CHCOs, internal agency consultants, or Human Resources specialists who contribute directly to human capital programs and policies) or external to the agency (e.g., OPM Human Capital Officers (HCOs), auditors).

**Leadership and Knowledge Management (Implementation):** A system that ensures continuity of leadership by identifying and addressing potential gaps in effective leadership and implements and maintains programs that capture organizational knowledge and promote learning.

**Merit System Principles:** Nine principles found in 5 U.S.C. 2301 by which Federal personnel management is to be implemented. Consequently, the merit system principles provide guidance for how managers should manage their Human Resources. These principles are the undergirding of the entire Federal HCM System. The Merit System evolved in America to ensure selections for Federal jobs would be open, competitive, and free of political coercion.

**Metrics:** Measurements that provide a basis for comparison. Strategic human capital management requires a reliable and valid set of metrics that provides an accurate baseline against which individual agency progress can be assessed. Required outcome metrics are provided for the three systems that implement strategic human capital plans and

programs: Leadership and Knowledge Management, Results-Oriented Performance Culture, and Talent Management. Additional suggested metrics are also included.

**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

**Program Evaluation:** An assessment—through objective measurement and systematic analysis—of the results, impact, or effects of a program or policy; the manner and extent to which Federal programs achieve intended objectives. Program evaluations also are frequently used to measure "unintended results" (good or bad) which were not explicitly included in the original statement of objectives or were unforeseen in the implementation design. Evaluation, therefore, can serve to validate or find errors in the basic purposes and premises that underlie a program or policy.

**Prohibited Personnel Practices:** Twelve personnel practices found in 5 U.S.C. 2302 that must be avoided by any employee who has authority to take, direct others to take, recommend, or approve any personnel action. These practices describe results or outcomes of poor management practices and should never occur. Managers are held accountable for making Human Resources decisions free of prohibited personnel practices

**Results-Oriented Performance Culture (Implementation):** A system that promotes a diverse, high-performing workforce by implementing and maintaining effective performance management systems and awards programs.

**Self-Assessment:** Comprehensive internal review of all Human Capital (HC) program areas to determine the efficiency and effectiveness of programs as well as a compliance review of applicable laws, rules, regulations and merit systems principles

**Strategic Alignment (Planning and Goal Setting):** A system led by senior management—typically the Chief Human Capital Officer (CHCO)— that promotes the alignment of human capital management strategies with agency mission, goals, and objectives through analysis, planning, investment, measurement, and management of human capital programs.

**Strategic Human Capital Management:** The active alignment of the talent, energy, knowledge and enthusiasm that people invest in their work, with the strategic objectives of the organization. Leaders and managers can maximize their human capital assets by leading from the perspective that human capital produces sustained advantage; and by actively advancing the relationships among strategy, organizational design, deployment of talent, and results.

**Talent Management (Implementation):** A system that addresses competency gaps, particularly in mission-critical occupations, by implementing and maintaining programs to attract, acquire, develop, promote, and retain quality talent.

**Workforce Planning:** Organization identification of the human capital required to meet organizational goals; analysis to identify competency gaps; development of strategies to address human capital needs and close competency gaps; and ensuring the organization is appropriately structured.

## Acronyms

AFI—Air Force Instruction  
AFPC—Air Force Personnel Center  
AFPD—Air Force Policy Directive  
BO—Business Objects CDP—  
Civilian Development Plan CFR—  
Code of Federal Regulations  
CHCAS—Civilian Human Capital Accountability System  
CHCO—Chief Human Capital Officer  
CoP—Community of Practice  
CPO—Civilian Personnel Officer  
CPS—Civilian Personnel Section  
DCPAS – Defense Personnel Advisory Service  
DFAS—Defense Finance and Accounting Service  
DoD—Department of Defense DoDI—  
Department of Defense Instruction DCPDS—  
Defense Civilian Personnel Data System  
DVAAP—Disabled Veterans Affirmative Action Program  
EO—Equal Opportunity  
EEO—Equal Employment Opportunity EEOC—  
Equal Employment Opportunity Commission EMR—  
Employee Management Relations FedView—Federal  
Employee Viewpoint Survey  
FEORP—Federal Equal Opportunity Recruitment Program  
FOA—Field Operating Agency  
FSS—Force Support Squadron GAO—  
Government Accountability Office HC—  
Human Capital  
HCAAF—Human Capital Assessment and Accountability Framework  
HCM—Human Capital Management  
HQ USAF or HAF—Headquarters United States Air Force  
HR—Human Resources  
HRM—Human Resources Management  
HRSC—Human Resources Service Center  
IDP—Individual Development Plan LMR—  
Labor Management Relations MAJCOM—  
Major Command MCO—Mission-Critical  
Occupation NDAA—National Defense  
Authorization Act OMB—Office of  
Management and Budget OPM—Office of  
Personnel Management OPR—Office of  
Primary Responsibility POC—Point of  
Contact  
P.L.—Public Law

PD—Position Description RIF—  
Reduction in Force SAV—Staff  
Assistance Visit SEP—Special  
Emphasis Program SES—Senior  
Executive Service SECDEF—  
Secretary of Defense  
SHCM—Strategic Human Capital Management  
TOF—Transfer of Function  
UMD—Unit Manning Document  
U.S.C.—United States Code  
VEOA—Veterans Employment Opportunities Act of 1998  
VERA—Voluntary Early Retirement Authority VSIP—  
Voluntary Separation Incentive Program VRA—Veterans’  
Recruitment Appointment

## Appendix F

### DoD FY 2015 Mission Critical Occupations

**Mission Critical Occupations (MCOs):** Those occupations or occupational groups that set direction, directly impact, or execute performance of mission critical functions or services. MCOs are also segmented as being strategic, core, or support to the mission. *(Defined by the Federal Strategic Human Capital Management (SHCM) High Risk Initiative (HRI) for mission critical occupations or competencies).*

**High Risk MCOs:** Those MCOs that are most at risk for staffing or skill gaps based on recruitment, retention, and environmental indicators. (The three DoD high risk MCOs are bolded and depicted by \* below. Fed-wide High Risk MCOs are depicted by \*\* and listed separately below the DOD MCO list.)

OSD Lead	22 Functional Communities	33 Mission Critical Occupations (Including 3* High Risk MCOs)	Workforce Segment
USD(ATL)	<b>Contracting Support and Quality Assurance</b>	1102 – Contracting** 1910 – Quality Assurance	Strategic Strategic
	<b>Facilities Engineering and Management</b>	N/A	
	<b>Engineering (Non-Construction)</b>	N/A	
	<b>Environmental Management</b>	N/A	
	<b>Logistics</b>	0346 – Logistics Management 2130 – Traffic Management 1670 – Equipment Services 2001 – General Supply	Strategic Core Core Core
	<b>Safety &amp; Public Safety</b>	0017 – Explosives Safety 0018 – Safety and Occupational Health Management <b>0081 – Fire Protection and Prevention*</b> 0803 – Safety Engineering	Strategic Strategic  Strategic Strategic
	<b>Science &amp; Technology</b>	N/A	
DCMO	<b>Administrative Support</b>	N/A	
USD(P&R)	<b>Education</b>	N/A	
	<b>Human Resources</b>	0201 – Human Resources Management**	Strategic
	<b>Law Enforcement</b>	0083 - Police 1811 – Criminal Investigating	Core Core
	<b>Manpower</b>	N/A	
	<b>Medical</b>	0180 – Psychology 0185 – Social Work 0602 – Medical Officer 0603 – Physician Assistant 0610 – Nurse <b>0620 – Practical Nurse*</b> 0633 – Physical Therapist 0660 – Pharmacist	Core Core Core Core Core Core Core Core
	<b>Military Community and</b>	N/A	



## Appendix F

### DoD FY 2015 Mission Critical Occupations

OSD Lead	22 Functional Communities	33 Mission Critical Occupations (Including 3* High Risk MCOs)	Workforce Segment
	<b>Family Support</b>		
<b>USD(C)/CFO</b>	<b>Financial Management</b>	0501 – Financial Administration and Program 0510 – Accounting 0511 – Auditing 0560 – Budget Analysis	Strategic Core Core Strategic
<b>USD(P)</b>	<b>Foreign Affairs</b>	<b>0130 – Foreign Affairs*</b> 0131 – International Relations	<b>Strategic</b> Strategic
<b>DoD CIO</b>	<b>Information Technology</b>	0391- Telecommunications 1550 – Computer Science 2210 – Information Technology Management	Strategic Strategic Strategic
<b>USD(I)</b>	<b>Intelligence</b>	0132 – Intelligence	Strategic
	<b>Security</b>	0080 – Security Administration	Strategic
<b>GC, DoD</b>	<b>Legal</b>	N/A	
<b>ATSD(PA)</b>	<b>Public Affairs</b>	1035 – Public Affairs	Strategic
<b>TBD</b>	<b>Miscellaneous Occupational Series</b>	Note: Temporary FC pending placement of these occupations into the FCs they support.	
<b>Federal-wide Mission Critical Occupations</b>			
<p>2210 – Information Technology (Cybersecurity focus) – Strategic</p> <p>1102 – Contract Specialist – Strategic</p> <p>0511 – Auditor – Core</p> <p>0110 – Economist – Core</p> <p>0201 – Human Resources Specialist – Strategic</p> <p>STEM – Science, Technology, Engineering, Mathematics Functional Group (MCOs determined within each Federal agency)</p>			