

Standards For Success - Human Capital



Must Meet All Core Criteria:

- Agency human capital strategy is aligned with mission, goals, and organizational objectives and integrated into its strategic plans, performance plans, and budgets.
- Agency is citizen-centered, delayed and mission-focused, and leverages e-Government and competitive sourcing.
- Agency leaders and managers effectively manage people, ensure continuity of leadership, and sustain a learning environment that drives continuous improvement in performance.
- Agency has a diverse, results-oriented, high performance workforce, and has a performance management system that effectively differentiates between high and low performance, and links individual/team/unit performance to organizational goals and desired results.
- Agency has closed most mission-critical skills, knowledge, and competency gaps/deficiencies, and has made meaningful progress toward closing all.
- Agency human capital decisions are guided by a data-driven results-oriented planning and accountability system.

Achievement of Some but not All Core Criteria;
No Red Conditions.

Has Any One of the Following Conditions:

- Agency lacks a human capital strategy that demonstrates how human capital activities and investments support accomplishment of mission, goals, and organizational objectives.
- Agency has too many management layers and does not leverage e-Government and competitive sourcing as key components of its human capital planning efforts.
- Agency has not developed succession plans in mission-critical areas.
- Underrepresentation is not being addressed and the agency's performance management system does not effectively differentiate between high and low performance nor link individual/team/unit performance to organizational goals and desired results.
- Agency is not addressing gaps / deficiencies in mission-critical skills, knowledge, and competencies.
- Agency does not have adequate performance and workforce data to make and evaluate human capital decisions.

Standards for Success - Competitive Sourcing

		
<p>Must Meet All Core Criteria:</p> <ul style="list-style-type: none"> • Completed public-private or direct conversion competition on not less than 50 percent of the full-time equivalent employees listed on the approved FAIR Act inventories. • Competitions and direct conversions conducted pursuant to approved competition plan. • Commercial reimbursable support service arrangements between agencies are competed with the private sector on a recurring basis. 	<p>Achievement of Some but not All Core Criteria; No Red Conditions.</p>	<p>Has Any One of the Following Conditions:</p> <ul style="list-style-type: none"> • Completed public-private or direct conversion competition on less than 15 percent of the full-time equivalent employees listed on the approved FAIR Act inventories. • Competitions and direct conversions are not conducted in accordance with approved competition plan. • No commercial reimbursable support service arrangements between agencies are competed with the private sector.

Standards for Success - Financial Management



Must Meet All Core Criteria:

- Financial management systems meet Federal financial management system requirements and applicable Federal accounting and transaction standards as reported by the agency head.
- Accurate and timely financial information.
- Integrated financial and performance management systems supporting day-to-day operations.
- Unqualified and timely audit opinion on the annual financial statements; no material internal control weaknesses reported by the auditors.

Achievement of Some but not All Core Criteria;
No Red Conditions.

Has Any One of the Following Conditions:

- Financial management systems fail to meet Federal financial management systems requirements and applicable Federal accounting standards as reported by the agency head.
- Chronic or significant Anti-deficiency Act violations.
- Agency head unable to provide unqualified assurance statement as to systems of management, accounting, and administrative controls.
- Auditors cite material non-compliance with laws and regulations, or repeat material internal control weaknesses; or are unable to express an opinion on the annual financial statements.

Standards for Success - Expanding E-Government

		
<p>Must Meet All Core Criteria:</p> <ul style="list-style-type: none"> • Strategic Value: all major systems investments have a business case submitted that meets the requirements of OMB Circular A-11 (Exhibit 53, Form 300). • IT Program Performance: On average, all major IT projects operating within 90% of Form 300 cost, schedule, and performance targets. <p>E-government and GPEA implementation: (must show department-wide progress or participation in multi-agency initiative in 3 areas)</p> <ul style="list-style-type: none"> • Citizen one-stop service delivery integrated through Firstgov.gov, cross-agency call centers, and offices or service centers. • Minimize burden on business by re-using data previously collected or using ebXML or other open standards to receive transmissions. • Intergovernmental: Deploying E-grants or Geospatial Information one-stop. • Obtaining productivity improvements by implementing customer relationship management, supply chain management, enterprise resource management, or knowledge management best practices. 	<p>Achievement of Some but not All Core Criteria; No Red Conditions.</p>	<p>Has Any One of the Following Conditions:</p> <ul style="list-style-type: none"> • Less than 50% of major IT investments have a business case per OMB Circular A-11 (Exhibit 53, Form 300). • On average, all major IT projects operating at less than 70% of Form 300 cost, schedule and performance targets. <p>Fulfills not more than one of the following:</p> <ul style="list-style-type: none"> • Citizen one-stop service delivery integrated through Firstgov.gov, cross-agency call centers, and offices or service centers. • Minimize burden on business by re-using data previously collected or using ebXML or other open standards to receive transmissions. • Intergovernmental: Deploying E-grants or Geospatial Information one-stop. • Obtaining productivity improvements by implementing customer relationship management, supply chain management, enterprise resource management, or knowledge management best practices.

Standards for Success - Integrating Budget and Performance

		
<p>Must meet all core criteria:</p> <ul style="list-style-type: none"> • Integrated planning/evaluation and budget staff work with program managers to create an <u>integrated plan/budget</u> and to monitor and evaluate its implementation. • Streamlined, clear, integrated agency plan/budget sets forth outcome goals, output targets, and resources requested in context of past results. • Budget accounts, staff, and specifically program/activities are aligned to support achieving program targets. • Full budgetary cost is charged to mission accounts and activities. Cost of outputs and programs is integrated with performance in budget requests and execution. • Agency has documented program effectiveness. Analyses show how program outputs and policies affect desired outcomes. Agency systematically applies performance to budget and can demonstrate how program results inform budget decisions. 	<p>Achievement of Some but not All Core Criteria; No Red Conditions.</p>	<p>Has Any One of the Following Criteria:</p> <ul style="list-style-type: none"> • Planning and budgeting separate with little collaboration. Levels of organization have little and formal communication. Focus on getting funds for independent use. • Traditional budget request with little attempt to tie resources to results or communicate with other than budget technicians. • Excessive numbers of accounts, historical anomalies, accounts that fund illogical parts of programs. Centralized accounts that fund program resources; accounts that fund multiple programs with little in common. • No attention to charging cost to the right bureau, let alone the activity. Substantial costs “mixed up” at the agency or bureau level. Program managers lack authority over resources. • Focus on getting money for a good cause. Justification by anecdote. Little focus on outcomes, or how program influences them.