

Functional Community Maturity Model (FCMM) Assessment Tool (July 2020 Assessment)

This assessment tool is the primary means to operationalize the FCMM. The requirement for the FCMM was directed in the March 2018 Lethality Report and is formally documented within the FY19 DOD Human Capital Operating Plan (HCOP) under Strategy 1.2: Recruit and retain a highly skilled and agile civilian workforce. Initiative 1.2.2: Establish Functional Community Maturity Model (FCMM) in order to enhance the effectiveness of Functional Community support for the Department.

The tool guides Functional Communities (FCs) through stages of maturity within four pillars as they relate to duties and responsibilities of Office of the Secretary of Defense Functional Community Managers (OFCMs) as outlined in DoDI 1400.25 vol 250. The pillars are as follows: Leadership and Governance, Workforce Planning, Resource Planning, and Workforce Development. The stages of maturity are: Reactive, Emerging, Advanced, and Optimized. Each pillar will be assessed at each stage of maturity and an overall assessment will be determined.

Prior to each reporting period, DCPAS will distribute this tool to the FCs who will complete each tab in order to provide a self-assessment of their maturity. FCs will be assisted by their assigned DCPAS Strategic Workforce Planner counterparts as necessary. FCs are required to submit semi-annual assessments which will serve as source input to HRStat reporting for the purpose of measuring FC maturity in support of the HCOP.

All cells highlighted in orange require FC input.

LG, WP, RP, and WD tabs

These tabs represent each pillar within the FCMM.

For tabs "LG", "WP", "RP" and "WD" answer all questions asked in column C by selecting "Yes" or "No" in column D. Each question must be answered. For questions that are answered "No", but active progress is taking place to meet the requirement, please highlight the cell in yellow.

The rating (stage of maturity) for each pillar will be automatically generated in the blue box under the question/answer area based on answers, and will be automatically populated in the Summary tab.

The model is progressive in nature in accordance with OPM policy. FCs must be able to answer "Yes" to all questions within a stage of maturity in order to advance to the next stage. Exception: OFCMs may subjectively upgrade a stage of maturity based on their assessment. Generally, no more than one question within a stage may be answered "No" in order to consider an upgrade. The requirement should be currently addressed with anticipation of completion within the upcoming quarter. Note: the automatically generated rating in the blue box will remain at the lower stage but the OFCM may consider the upgraded stage when determining the overall FC assessment.

The comment box at the bottom of each pillar tab provides opportunity for amplification or subjective assessment if necessary. These comments will be automatically populated in the Summary tab.

Examples:

- (1) Answering "Yes" to all questions in Reactive stage, generates an automatic maturity rating of Emerging. Answering "Yes" to all questions in Reactive and Emerging stages, generates an automatic maturity rating of Advanced.
- (2) Answering "No" to one or more questions in Reactive stage generates an automatic maturity rating of Reactive. A rating of Emerging cannot be achieved until all questions in Reactive stage are answered "Yes".
- (3) FC answers one question in the Reactive stage as "No" but the requirement is currently being addressed and is anticipated to upgrade to "Yes" within the upcoming quarter. OFCM, at his/her discretion, may upgrade assessment to the Emerging stage. Justification will be explained within the orange comments box.

Summary tab

The Summary tab provides OFCMs the opportunity to provide amplification and to declare an overall subjective rating of maturity (Reactive, Emerging, Advanced, or Optimized) for the FC based on their collective assessment. The top portion of the tab will be automatically populated from answers provided in the pillar tabs. The orange comment box at the bottom is reserved for amplification and overall assessment.

Leadership & Governance Self Assessment

Name of Functional Community and Date of Assessment:

21-Aug-20

Assessment Level	CRITERIA	ASSESSMENT QUESTIONS	Y/N
Reactive	PSA formally appoints OFCM	Has the PSA formally appointed the OFCM in writing?	Y
	Limited policies	Does the FC have a basic policy describing how it's governance structure purpose, intent, and how it operates?	Y
	Leadership Involvement	Is leadership involved in workforce planning and development when needs arise?	Y
Emerging	Formal establishment of FC Governance Structure	Does the FC have an adequate and formal governance structure policy that includes: (1) a clearly defined purpose and intent; (2) clearly defined roles & responsibilities; (3) formal establishment and appointment of a senior leader group; (4) formal appointment of Component FCMs; (5) formal establishment of CFCM Advisory Board & Working Group or similar bodies to address workforce issues? Are all appointments in writing?	Y
	Senior leader communication	Is the policy formally communicated to senior leaders within the FC?	Y
	Policy Implementation	Is the policy documented (i.e. a charter) and are most aspects of the policy fully implemented with FC senior leader support?	Y
	Review and Update of policy	Has the policy been reviewed and updated within the past 5 years?	Y
Advanced	Full implementation of Governance Structure	Is the policy fully implemented with FC senior leader engagement and the support of other senior leaders within the Department if necessary (CIO, CFO, etc.)?	Y
	Inclusion of external roles, responsibilities, and relationships	Does the policy include roles & responsibilities and relationships of leadership outside of the FC if necessary?	Y
	Advocate and obtain authorities required to enhance workforce	Does the policy include business rules regarding the obtaining of authorities to enhance the workforce?	Y
	Policies support fulfillment of purpose/intent and enhanced Department-level decision-making	Does the governance structure support and enhance Department-level decision-making?	Y
Optimized	Collaboration and engagement with Federal-wide Functional Governing Councils	Does the FC collaborate with Federal-wide councils in order to leverage best practices?	Y
	Evolving nature	Is the governance structure policy reviewed and updated as required in order to facilitate the evolving requirements of the FC?	Y

Write comments below

The final draft of HRFC formal governance structure was signed December 13, 2019.

The HRFC team has collaborated with OPM to influence outcomes and leverage best practices. The Charter and commencement of activities have resulted in work on competency modeling and policy change through Executive Council, Action Officer, and Community of Practice Leader meetings.

Pillar Assessment
Optimized

Workforce Planning Self Assessment

44064

Assessment Level	CRITERIA	ASSESSMENT QUESTIONS	Y/N
Reactive	No plan or plan has not been updated within 2 years	Has the FC published a workforce plan within the last 2 years?	Y
Emerging	Align workforce planning to Department strategic goals and objectives	Has the FC aligned planning efforts with Department priorities, and identified the personnel, funding, and supporting authorities to achieve the Department's objectives?	Y
	FC priorities in support of Department objectives	Has the FC established its own workforce priorities in support of the Department's objectives?	Y
	Conduct current workforce analysis	Does the current workforce analysis document workforce risks and concerns?	Y
	Conduct future workforce analysis	Does the future workforce analysis identify key future workforce needs and key internal and external factors that may affect the required workforce?	Y
	Conduct gap analysis	Does the gap analysis identify skill and competency gaps?	Y
	Conduct Workforce Action Planning	Does workforce action planning address recruitment, retention, and training strategies; and the tools/resources required to support them?	N
Advanced	Plans refined as required to achieve Department strategic goals and objectives	Does the FC employ a methodology to anticipate workforce planning requirements to support evolving Agency priorities?	N
	FC Senior Leader Group approves workforce plans as required to achieve Department strategic goals and objectives	Has the workforce plan been vetted through the FC governance structure and approved by leadership?	N
Optimized	Execute and monitor the plan	Does the FC employ metrics to measure effectiveness of executed plans and strategies?	N
	Human Capital Strategy	Has the FC published a Human Capital Strategy?	N

Write comments below

DCPAS completed a strategic human capital plan May 2019. The DCPAS Strategic Workforce Planning team continues to facilitate workforce plan development where HRFC is internal client. FC is working on competency gap analysis for each FC. Risks and concerns are part of this analysis.

HRFC forecasts its Workforce Planning assessment level to be at an Advanced stage in March 2021 (FCMM submission), and potentially Optimized, by July 2021. (FCMM submission).

Pillar Assessment

Emerging

Resource Planning Self Assessment

44064

Assessment Level	CRITERIA	ASSESSMENT QUESTIONS	Y/N
Reactive	Vision and endstate of workforce development framework is evolving	Has the FC begun to conceptualize its workforce development framework?	Y
Emerging	Vision and endstate of workforce development framework is complete Identification of personnel, funding, and authorities required to achieve objectives Submit personnel requirements Submit funding initiatives/requirements	Has the FC completed conceptualization workforce development framework and issued guidance?	N
		Have resource requirements been identified to achieve objectives?	Y
		Have personnel resource requests been submitted if necessary?	Y
		Have funding initiatives been submitted if necessary?	Y
Advanced	FTE personnel assigned primary duties to support OFCM roles and responsibilities FC Senior Leader Group approves resourcing requests as required to achieve Department strategic goals and objectives Funded workforce development plan Authorities and policies support workforce development framework	Are FTEs assigned primary duties to support OFCM roles and responsibilities?	Y
		Have resourcing requirements been vetted through FC governance structure and leadership for approval?	N
		Has the workforce development plan been funded?	Y
		Does the FC take an active role in seeking authority and developing related policies to support workforce development goals?	Y
Optimized	Budget executed	Has the budget been executed to support workforce development?	N

Write comments below

The HRFC team has secured resourcing for fiscal year 2021 for curriculum development. The HRFC end state: A community of [certified/credentialed] HR experts respected as business partners.

HRFC forecasts its Resource Planning assessment level to continue at Level to advance stage as budget entries are prompted (FCMM submission).

Pillar Assessment
Emerging

WORKFORCE DEVELOPMENT

44064

Assessment Level	CRITERIA	ASSESSMENT QUESTIONS	Y/N
Reactive	Workforce development framework plan	Has the FC completed its workforce development framework plan?	Y
	Identification of supporting system requirements	Does the plan include supporting system requirements?	Y
Emerging	Establishment of career roadmaps and individual development tools	Does the plan include establishment of career roadmaps and individual development tools?	N
	Development of training and education courses aligned to competencies	Has the FC developed training and education courses aligned to competencies?	N
	Establishment of certification program (if necessary)	Have certification programs been established (if necessary)?	Y
	Develop functional training resources	Has the FC developed training resources to meet the objectives of the workforce development framework plan?	N
	Design and manage online professional development portal	Has the FC implemented an online professional development portal? Is the portal effectively designed and managed?	N
	Employees establish accounts in portal	Has the FC implemented policy for employees to establish individual accounts within the portal?	N
	Develop experimental and developmental programs	Has the FC developed experimental programs to address emerging requirements?	N
	Senior Leadership approval of plan	Has the workforce development plan been vetted through FC governance structure and leadership for approval?	N
Advanced	Align Individual Development Plans to workforce framework	Has the FC implemented policy to ensure IDPs are aligned to the plan? Have IDPs been aligned to the plan?	N
	Full implementation of workforce framework including system support required to achieve vision and endstate	Does the support system fully enable the workforce development framework plan?	N
	Hold supervisors accountable to develop workforce in accordance with framework	Has the FC developed a policy to hold organizations accountable to develop the workforce in accordance with the framework?	N
	Further support through communication plan: portal, newsletter, social media, "live" sharing platforms	Is the workforce development framework plan further supported by a consistent communication plan, i.e. portal, newsletter, social media, etc.?	Y
Optimized	Development programs show ROI	Are development programs producing a workforce that meets Agency needs?	N
	Plan is revised as necessary	Does the FC update plan and support requirements as workforce requirements evolve?	N
	FC activity measured through website usage and program participation	Does the workforce participate in developmental programs as required?	N
	Periodic FC surveys are conducted to acquire FC member feedback	Does the FC provide opportunities for employees to provide feedback on workforce development programs?	N

Write comments below

HRFC is in process of refining the Workforce Development assessment level and is working on the path of certification and course level actions.

HRFC potentially will be at Emerging level FY21 Q2.

Pillar Assessment
Emerging

Summary

44064

Pillar	STAGE	ASSESSMENT COMMENTS
LEADERSHIP & GOVERNANCE	Optimized	<p>The final draft of HRFC formal governance structure was signed December 13, 2019.</p> <p>The HRFC team has collaborated with OPM to influence outcomes and leverage best practices. The Charter and commencement of activities have resulted in work on competency modeling and policy change through Executive Council, Action Officer, and Community of Practice Leader meetings.</p> <p>The CHCO Council mission statement: The Chief Human Capital Officers Council serves the Nation by advising and collaborating with the U.S. Office of Personnel Management and other stakeholders to create human capital management strategies that attract, develop and retain a high performing, engaged and diverse federal workforce.</p> <p>HRFC forecasts its Leadership & Governance assessment level should remain at Optimized</p>
WORKFORCE PLANNING	Emerging	<p>DCPAS completed a strategic human capital plan May 2019. The DCPAS Strategic Workforce Planning team continues to facilitate workforce plan development where HRFC is internal client. FC is working on competency gap analysis for each FC. Risks and concerns are part of this analysis.</p> <p>HRFC forecasts its Workforce Planning assessment level to be at an Advanced stage in March 2021 (FCMM submission), and potentially Optimized, by July 2021. (FCMM submission).</p>
RESOURCE PLANNING	Emerging	<p>The HRFC team has secured resourcing for fiscal year 2021 for curriculum development. The HRFC end state: A community of [certified/credentialed] HR experts respected as business partners.</p> <p>HRFC forecasts its Resource Planning assessment level to continue at Level to advance stage as budget entries are prompted (FCMM submission).</p>
WORKFORCE DEVELOPMENT	Emerging	<p>HRFC is in process of refining the Workforce Development assessment level and is working on the path of certification and course level actions.</p> <p>HRFC potentially will be at Emerging level FY21 Q2.</p>

Write comments below

OFCM OVERALL ASSESSMENT	Advanced	The overall assessment of the Human Resources Functional Community (HRFC) continues upward progress consistently. The overall assessment for 2020 is Advanced but trending toward Optimized.
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