

People Capability Maturity Model Interim Maturity Evaluation Questionnaires

Answer the statements on the next questionnaires with:

- 0-1: this practice is not required and is (almost) never done
- 2-3: this practice is sometimes required or is sometimes done
- 4-5: this practice is required but not always done, or
the practice is regularly performed although is not not required or checked
- 6-7: this practice is normally required and usually done
- 8-9: this practice is required, is done and it is checked (the practice is institutionalized)
- 10: this practice is institutionalized and is a world class example
- ? : if the participant doesn't know the answer
- na: if the practice is not applicable

	Level 2 - Managed	
	Staffing	
Co1	The organization establishes and maintains a documented policy for conducting its Staffing activities.	
Co2	An organizational role(s) is assigned responsibility for assisting and advising units on Staffing activities and procedures.	
Ab1	Within each unit, an individual(s) is assigned responsibility and authority for ensuring that Staffing activities are performed.	
Ab2	Adequate resources are provided for performing Staffing activities.	
Ab3	Individuals performing Staffing activities receive the preparation in methods and procedures needed to perform their responsibilities.	
Ab4	Individuals participating in Staffing activities receive appropriate orientation in Staffing practices.	
Pr1	Responsible individuals plan and coordinate the staffing activities of their units in accordance with documented policies and procedures.	
Pr2	Each unit analyzes its proposed work to determine the effort and skills required.	
Pr3	Individuals and workgroups participate in making commitments for work they will be accountable for performing.	
Pr4	Each unit documents work commitments that balance its workload with available staff and other required resources.	
Pr5	Individual work assignments are managed to balance committed work among individuals and units.	
Pr6	Position openings within a unit are analyzed, documented, and approved.	
Pr7	Position openings within the organization are widely communicated.	
Pr8	Units with open positions recruit for qualified individuals.	
Pr9	External recruiting activities by the organization are planned and coordinated with unit requirements.	
Pr10	A selection process and appropriate selection criteria are defined for each open position.	
Pr11	Each unit, in conjunction with its human resources function, conducts a selection process for each position it intends to fill.	
Pr12	Positions are offered to the candidate whose skills and other qualifications best fit the open position.	
Pr13	The organization acts in a timely manner to attract the selected candidate.	
Pr14	The selected candidate is transitioned into the new position.	
Pr15	Representative members of a unit participate in its staffing activities.	
Pr16	Workforce reduction and other outplacement activities, when required, are conducted according to the organization's policies and procedures.	
Pr17	Discharges for unsatisfactory performance or other valid reasons are conducted according to the organization's policies and procedures.	
Pr18	Causes of voluntary resignation from the organization are identified and addressed.	
Me1	Measurements are made and used to determine the status and performance of Staffing activities.	
Me2	Unit measures of Staffing activities are collected and maintained.	
Ve1	A responsible individual(s) verifies that Staffing activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.	
Ve2	Executive management periodically reviews the Staffing activities, status, and results; and resolves issues.	

	Communication and Coordination	
Co1	Executive management establishes and communicates a set of values for the organization regarding the development and management of its workforce.	
Co2	The organization establishes and maintains a documented policy for conducting its Communication and Coordination activities.	
Co3	An organizational role(s) is assigned responsibility for assisting and advising units on Communication and Coordination activities and procedures.	
Ab1	Within each unit, an individual(s) is assigned responsibility and authority for ensuring that Communication and Coordination activities are performed.	
Ab2	Adequate resources are provided for performing Communication and Coordination activities.	
Ab3	Individuals responsible for facilitating or improving Communication and Coordination activities receive the preparation needed to perform their responsibilities.	
Pr1	The workforce-related policies and practices of the organization are communicated to the workforce.	
Pr2	Information about organizational values, events, and conditions is communicated to the workforce on a periodic and event-driven basis.	
Pr3	Information required for performing committed work is shared across affected units in a timely manner.	
Pr4	Individuals' opinions on their working conditions are sought on a periodic and event-driven basis.	
Pr5	Individuals or groups can raise concerns according to a documented procedure.	
Pr6	Activities related to the resolution of a concern are tracked to closure.	
Pr7	The interpersonal communication skills necessary to establish and maintain effective working relationships within and across workgroups are developed.	
Pr8	Interpersonal problems or conflicts that degrade the quality or effectiveness of working relationships are handled appropriately.	
Pr9	Individuals and workgroups coordinate their activities to accomplish committed work.	
Pr10	Individuals and workgroups monitor and coordinate the dependencies involved in their committed work.	
Pr11	Meetings are conducted to make the most effective use of participants' time.	
Me1	Measurements are made and used to determine the status and performance of Communication and Coordination activities.	
Me2	Unit measures of Communication and Coordination activities are collected and maintained.	
Ve1	A responsible individual(s) verifies that the Communication and Coordination activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.	
Ve2	Executive management periodically reviews the Communication and Coordination activities, status, and results; and resolves issues.	

	Work Environment	
Co1	The organization establishes and maintains a documented policy for conducting its Work Environment activities.	
Co2	An organizational role(s) is assigned responsibility for assisting and advising units on work environment-related activities, and for assuming appropriate organizational responsibilities for the physical work environment and work resources.	
Ab1	Within each unit, an individual (s) is assigned responsibility and authority for ensuring that Work Environment activities are performed.	
Ab2	Within prudent limits, adequate resources are provided for performing Work Environment activities, implementing the physical environment and resources necessary to perform assigned work, and making improvements to the work environment.	
Ab3	The workforce receives the preparation needed to maintain an effective work environment.	
Ab4	Those responsible for improving the work environment receive the preparation in relevant methods and procedures needed to perform their responsibilities.	
Pr1	The physical environment and resources required to perform committed work are identified in each unit.	
Pr2	The physical environment required to perform assigned work is provided.	
Pr3	Individual workspaces provide an adequate personal environment for performing assigned work responsibilities.	
Pr4	The resources needed to accomplish committed work are made available in a timely manner.	
Pr5	Improvements are made to the work environment that improve work performance.	
Pr6	Environmental factors that degrade or endanger the health or safety of the workforce are identified and corrected.	
Pr7	Physical factors that degrade the effectiveness of the work environment are identified and addressed.	
Pr8	Sources of frequent interruption or distraction that degrade the effectiveness of the work environment are identified and minimized.	
Me1	Measurements are made and used to determine the status and performance of Work Environment activities.	
Me2	Unit measures of Work Environment activities are collected and maintained.	
Ve1	A responsible individual(s) verifies that Work Environment activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.	
Ve2	Executive management periodically reviews the Work Environment activities, status, and results, including improvements to the work environment; and resolves issues.	

	Performance Management	
Co1	The organization establishes and maintains a documented policy for conducting its Performance Management activities.	
Co2	An organizational role(s) is assigned responsibility for assisting and advising units on Performance Management activities.	
Ab1	Within each unit, an individual(s) is assigned responsibility and authority for ensuring that Performance Management activities are performed.	
Ab2	Adequate resources are provided for performing Performance Management activities.	
Ab3	Individuals conducting Performance Management activities receive the preparation needed to perform their responsibilities.	
Ab4	Individuals who participate in Performance Management activities receive appropriate orientation in Performance Management practices.	
Pr1	Measurable performance objectives based on committed work are established for each unit.	
Pr2	The unit's performance objectives are periodically reviewed as business conditions or work commitments change, and, if necessary, they are revised.	
Pr3	Those accountable for the accomplishment of unit performance objectives track and manage unit performance.	
Pr4	Performance objectives based on committed work are documented for each individual on a periodic or event-driven basis.	
Pr5	Performance objectives for each individual are reviewed on a periodic or event-driven basis, and, if necessary, they are revised.	
Pr6	Those responsible for performance management activities maintain ongoing communication about the performance of committed work with those whose performance they manage.	
Pr7	Those responsible for managing the performance of others maintain an awareness of accomplishments against performance objectives for each of the individuals whose performance they manage.	
Pr8	Potential improvements in process, tools, or resources, which could enhance an individual's performance of committed work, are identified, and actions are taken to provide them.	
Pr9	The accomplishments of individuals against their performance objectives are documented and discussed on a periodic or event-driven basis according to a documented procedure.	
Pr10	If performance problems occur, they are discussed with the appropriate individual(s).	
Pr11	Performance improvement plans are developed for resolving persistent performance problems according to a documented procedure.	
Pr12	Progress against a documented performance improvement plan is periodically evaluated, discussed, and documented.	
Pr13	Guidelines for recognizing or rewarding outstanding performance are developed and communicated.	
Pr14	Recognition or rewards are made on an appropriate basis as events occur that justify special attention.	
Me1	Measurements are made and used to determine the status and performance of Performance Management activities.	
Me2	Unit measures of Performance Management activities are collected and maintained.	
Ve1	A responsible individual(s) verifies that the Performance Management activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.	
Ve2	Executive management periodically reviews the Performance Management activities, status, and results; and resolves issues.	

	Training and Development	
Co1	The organization establishes and maintains a documented policy for conducting its Training and Development activities.	
Co2	An organizational role(s) is assigned responsibility for assisting and advising units on Training and Development activities and procedures.	
Ab1	Within each unit, an individual(s) is assigned responsibility and authority for ensuring that Training and Development activities are performed.	
Ab2	Adequate resources are provided for performing Training and Development activities.	
Ab3	Training time is made available to each individual according to the organization's training policy.	
Ab4	Individuals performing Training and Development activities receive the preparation needed to perform their responsibilities.	
Pr1	In each unit, the critical skills required for performing each individual's assigned tasks are identified.	
Pr2	Training needed in critical skills is identified for each individual.	
Pr3	Each unit develops and maintains a plan for satisfying its training needs.	
Pr4	Individuals or groups receive timely training needed to perform their assigned tasks.	
Pr5	Training is tracked against the unit's training plan.	
Pr6	A development discussion is held periodically with each individual.	
Pr7	Relevant development opportunities are made available to support individuals in accomplishing their individual development objectives.	
Pr8	Individuals pursue development activities that support their individual development objectives.	
Me1	Measurements are made and used to determine the status and performance of Training and Development activities.	
Me2	Unit measures of Training and Development activities are collected and maintained.	
Ve1	A responsible individual(s) verifies that Training and Development activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.	
Ve2	Executive management periodically reviews the Training and Development activities, status, and results; and resolves issues.	

	Compensation	
Co1	The organization establishes and maintains a documented policy for conducting its Compensation activities.	
Co2	An organizational role(s) is assigned responsibility for performing or coordinating Compensation practices at the organizational level and for assisting and advising units on Compensation activities.	
Ab1	Within each unit, an individual(s) is assigned responsibility and authority for ensuring that Compensation activities are performed.	
Ab2	Adequate resources are provided for Compensation activities.	
Ab3	Individuals performing Compensation activities receive the preparation needed to perform their responsibilities.	
Pr1	An organizational compensation strategy is developed.	
Pr2	The organization's compensation strategy is periodically reviewed to determine whether it needs to be revised.	
Pr3	When appropriate, the workforce provides inputs for developing or revising components of the organization's compensation strategy.	
Pr4	A documented compensation plan is prepared periodically for administering compensation activities needed to execute the compensation strategy.	
Pr5	The compensation plan is designed to maintain equity in administering the compensation strategy.	
Pr6	The organization's compensation strategy is communicated to the workforce.	
Pr7	Each individual's compensation package is determined using a documented procedure that is consistent with the organization's compensation policy, strategy, and plan.	
Pr8	Compensation adjustments are made based, in part, on each individual's documented accomplishments against their performance objectives.	
Pr9	Decisions regarding an individual's compensation package are communicated to the individual.	
Pr10	Responsible individuals periodically review compensation packages for those whose compensation they administer to ensure they are equitable and consistent with the organization's compensation policy, strategy, and plan.	
Pr11	Action is taken to correct inequities in compensation or other deviations from the organization's policy, strategy, and plan.	
Me1	Measurements are made and used to determine the status and performance of Compensation activities.	
Me2	Unit measures of Compensation activities are collected and maintained.	
Me3	Aggregate trends in compensation activities and decisions are measured and reviewed on a recurring basis.	
Ve1	A responsible individual(s) verifies that Compensation activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.	
Ve2	Executive management periodically reviews the Compensation activities, status, and results; and resolves issues.	

	Level 3 – Defined	
	Competency Analysis	
Co1	The organization establishes and maintains a documented policy for conducting its Competency Analysis activities.	
Co2	An organizational role(s) is assigned responsibility for coordinating Competency Analysis activities across the organization.	
Ab1	A responsible individual(s) coordinates the Competency Analysis activities for defining, developing, and maintaining each workforce competency.	
Ab2	Adequate resources are provided for performing Competency Analysis activities.	
Ab3	Individuals performing Competency Analysis activities develop the knowledge, skills, and process abilities needed to perform their responsibilities.	
Ab4	The practices and procedures for performing Competency Analysis are defined and documented.	
Pr1	The workforce competencies required to perform the organization's business activities are identified.	
Pr2	Each of the organization's workforce competencies is analyzed to identify the knowledge, skills, and process abilities that compose it.	
Pr3	Workforce competency descriptions are documented and maintained according to a documented procedure.	
Pr4	Workforce competency descriptions are updated on a periodic and event-driven basis.	
Pr5	The competency-based processes to be performed by capable individuals in each workforce competency are established and maintained.	
Pr6	Information about the use of competency-based processes is captured and made available.	
Pr7	Competency information regarding the capabilities of individuals in their workforce competencies is collected and maintained according to a documented procedure.	
Pr8	Current resource profiles for each of the organization's workforce competencies are determined.	
Pr9	Competency information is updated on a periodic and event-driven basis.	
Me1	Measurements are made and used to determine the status and performance of Competency Analysis activities within each unit and across the organization.	
Me2	Measurements are made and used to determine the quality of workforce competency descriptions and competency information.	
Ve1	A responsible individual(s) verifies that Competency Analysis activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.	
Ve2	Executive management periodically reviews the Competency Analysis activities, status, and results; and resolves issues.	
Ve3	The definition and use of competency descriptions and competency information are periodically audited for compliance with organizational policies.	

	Workforce Planning	
Co1	The organization establishes and maintains a documented policy for conducting its Workforce Planning activities.	
Co2	An organizational role(s) is assigned responsibility for coordinating Workforce Planning activities across the organization.	
Ab1	Within each unit, an individual(s) is assigned responsibility and authority for ensuring that Workforce Planning activities are performed.	
Ab2	A responsible individual(s) coordinates the Workforce Planning activities for each workforce competency..	
Ab3	Adequate resources are provided for performing Workforce Planning activities.	
Ab4	Individuals performing Workforce Planning activities develop the knowledge, skills, and process abilities needed to perform their responsibilities.	
Ab5	The practices and procedures for performing Workforce Planning are defined and documented.	
Pr1	The current and strategic workforce needs of the organization are documented.	
Pr2	Measurable objectives are established for developing the organization`s capability in each of its selected workforce competencies.	
Pr3	A competency development plan is produced for each of the organization`s selected workforce competencies.	
Pr4	Competency development plans are reviewed and revised on a periodic and event-driven basis.	
Pr5	The organization establishes and maintains a strategic workforce plan to guide its workforce practices and activities.	
Pr6	Units plan workforce activities to satisfy current and strategic competency needs.	
Pr7	Units review and revise plans for workforce activities on a periodic and event-driven basis.	
Pr8	The organization develops succession plans for its critical positions.	
Pr9	The organization`s performance in meeting the objectives of its strategic workforce plan is tracked.	
Pr10	Progress in meeting the objectives of the competency development plan for each of the organization`s workforce competencies is tracked.	
Pr11	Each unit`s performance in conducting its planned workforce activities is tracked.	
Me1	Measurements are made and used to determine the status and performance of Workforce Planning activities.	
Me2	Unit measures of workforce planning are collected and aggregated at the organizational level.	
Ve1	A responsible individual(s) verifies that Workforce Planning activities are conducted according to the organization`s documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.	
Ve2	Executive management periodically reviews the Workforce Planning activities, status, and results; and resolves issues.	

	Competency Development	
Co1	The organization establishes and maintains a documented policy for conducting its Competency Development activities to develop the workforce competencies required to perform its business processes.	
Co2	An organizational role(s) is assigned responsibility for coordinating Competency Development activities across the organization.	
Ab1	Within each unit, an individual(s) is assigned responsibility and authority for ensuring that Competency Development activities are performed.	
Ab2	A responsible individual(s) coordinates the Competency Development activities for each workforce competency.	
Ab3	Adequate resources are provided for performing the planned organization-wide and unit-specific Competency Development activities.	
Ab4	Individuals performing Competency Development activities develop the knowledge, skills, and process abilities needed to perform their responsibilities.	
Ab5	Individuals who participate in Competency Development activities receive appropriate orientation in Competency Development practices.	
Ab6	The practices and procedures for performing Competency Development are defined and documented.	
Pr1	Competency development activities are based on the competency development plans within each workforce competency.	
Pr2	Graduated training and development activities are established and maintained for developing capability in each of the organization's workforce competencies.	
Pr3	The organization makes available descriptions of workforce competencies and information about development opportunities related to them.	
Pr4	Competency-based training and development activities are identified for each individual to support their development objectives.	
Pr5	Individuals actively pursue learning opportunities to enhance their capabilities in the organization's workforce competencies.	
Pr6	Capable individuals within a competency community are used to mentor those with less capability in the competency.	
Pr7	The organization supports communication among those comprising a competency community.	
Pr8	Competency-based experience and information is captured and made available to those within a competency community.	
Me1	Measurements are made and used to determine the status and performance of Competency Development activities within each unit and across the organization.	
Me2	Measurements are made and used to determine the quality of Competency Development activities.	
Ve1	A responsible individual(s) verifies that Competency Development activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.	
Ve2	Executive management periodically reviews the Competency Development activities, status, and results; and resolves issues.	
Ve3	The definition and use of data on competency development are periodically audited for compliance with organizational policies.	

	Career Development	
Co1	The organization establishes and maintains a documented policy for conducting its Career Development activities.	
Co2	An organizational role(s) is assigned responsibility for coordinating Career Development activities across the organization.	
Ab1	Within each unit, an individual(s) is assigned responsibility and authority for ensuring that members of the unit participate, as appropriate, in Career Development activities.	
Ab2	A responsible individual(s) coordinates the Career Development activities for each workforce competency.	
Ab3	Adequate resources are provided for implementing Career Development activities.	
Ab4	Individuals responsible for Career Development activities develop the knowledge, skills, and process abilities needed to perform their responsibilities.	
Ab5	Individuals who participate in Career Development activities receive appropriate orientation in career development opportunities and activities.	
Ab6	The practices and procedures for performing Career Development are defined and documented.	
Pr1	The organization defines graduated career opportunities to support growth in the workforce competencies required to perform its business activities.	
Pr2	Career promotions are made in each area of graduated career opportunities based on documented criteria and procedures.	
Pr3	Graduated career opportunities and promotion criteria are periodically reviewed and updated.	
Pr4	Affected individuals periodically evaluate their capabilities in the workforce competencies relevant to their career objectives.	
Pr5	Affected individuals create and maintain a personal development plan to guide their training and career options.	
Pr6	Career options and development in the organization's workforce competencies are discussed with affected individuals on a periodic or event-driven basis.	
Pr7	Affected individuals pursue training and development opportunities that enhance their career options and capabilities in the organization's workforce competencies.	
Pr8	Individual development activities are tracked against personal development plans.	
Me1	Measurements are made and used to determine the status and performance of Career Development activities within each unit.	
Me2	Unit measures of Career Development status are collected and aggregated at the organizational level.	
Me3	Measurements are made and used to determine the effectiveness of Career Development activities.	
Ve1	A responsible individual(s) verifies that Career Development activities are conducted according to the organization's documented policies, practices, and procedures; and addresses noncompliance.	
Ve2	Executive management periodically reviews the Career Development activities, status, and results; and resolves issues.	

	Competency-Based Practices	
Co1	Relevant organizational policies promote increased capability in the organization's workforce competencies.	
Co2	An organizational role(s) is assigned responsibility for coordinating adjustments in workforce practices designed to increase the organization's capability in its workforce competencies.	
Ab1	Within each unit, an individual(s) is assigned responsibility and authority for ensuring that workforce practices and activities are designed to motivate individuals and workgroups to develop and apply workforce competencies.	
Ab2	A responsible individual(s) coordinates the competency-based practices and activities for each workforce competency.	
Ab3	Adequate resources are provided for ensuring that workforce practices and activities are designed to increase the organization's capability in its workforce competencies.	
Ab4	Those responsible for competency-based workforce activities develop the knowledge, skills, and process abilities needed to perform their responsibilities.	
Ab5	The practices and procedures for performing competency-based workforce practices are defined and documented.	
Pr1	Recruiting activities are planned and executed to satisfy the organization's requirements for workforce competencies	
Pr2	Selection processes are enhanced to evaluate each candidate's potential for contributing to organizational and unit objectives for capability in workforce competencies	
Pr3	Staffing decisions are made, in part, to achieve the competency development objectives of the organization and the career objectives of qualified candidates	
Pr4	Transition activities provide orientation to workforce competencies	
Pr5	Work assignments are designed, in part, to enhance personal and career development objectives	
Pr6	Each unit documents performance objectives for developing workforce competencies	
Pr7	Each individual documents performance objectives for developing additional capability in the organization's workforce competencies	
Pr8	Ongoing discussions of work performance include feedback on an individual's development and application of relevant workforce competencies	
Pr9	Each individual's performance is assessed, in part, against the objectives of their personal development plan.	
Pr10	The compensation strategy is established and maintained, in part, to increase the organization's capability in its workforce competencies	
Pr11	Compensation practices are defined to support capability objectives within each workforce competency	
Pr12	Adjustments to compensation are partly determined by each individual's development and application of relevant workforce competencies.	
Pr13	Recognition and rewards for developing or applying workforce competencies are provided, when appropriate, at the individual, workgroup, or unit levels	
Me1	Measurements are made and used to determine the status and performance of workforce practices to increase capability in the organization's workforce competencies	
Me2	Measurements are made and used to determine how effectively competency-based workforce practices are increasing capability in the organization's workforce competencies	
Ve1	A responsible individual(s) verifies that competency-based workforce practices are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance	
Ve2	Executive management periodically reviews the activities implementing competency-based workforce practices, their status and results, and resolves issues	

	Workgroup Development	
Co1	The organization establishes and maintains a documented policy for conducting Workgroup Development activities	
Co2	An organizational role(s) is assigned responsibility for coordinating Workgroup Development activities across the organization.	
Co3	Workgroup Development activities are incorporated into the organization's strategic workforce plan and the planned workforce activities within units.	
Ab1	Within each unit, an individual(s) is assigned responsibility and authority for ensuring that members of the unit participate in Workgroup Development activities, as appropriate.	
Ab2	Adequate resources are provided for performing Workgroup Development activities	
Ab3	Responsible individual(s) to whom the members of a workgroup are accountable develop the knowledge, skills, and process abilities needed to manage workgroups	
Ab4	Workgroup members receive appropriate guidance or training in workgroup skills	
Ab5	The practices and procedures for performing Workgroup Development are defined and documented	
Pr1	The committed work within a unit is analyzed to identify its process dependencies	
Pr2	Committed work is structured to optimize the coordination and performance of interdependent work within workgroups	
Pr3	Each workgroup is formed to perform a defined set of business activities and to accomplish defined objectives.	
Pr4	Methods and procedures for performing common workgroup functions are defined and maintained for use by workgroups	
Pr5	The competencies required to perform a workgroup's business activities are identified.	
Pr6	Staffing processes are performed to ensure that workgroups are staffed with individuals whose competencies match those needed to perform the workgroup's business activities.	
Pr7	Workgroups tailor competency-based processes for performing their business activities	
Pr8	Roles for performing the workgroup's operating processes are defined and allocated to individuals	
Pr9	Workgroup activities and commitments are planned	
Pr10	Workgroup members establish mechanisms for communicating information and coordinating dependencies among roles	
Pr11	Skills needed to perform jointly as a workgroup using the workgroup's operating processes are developed.	
Pr12	Workgroups that share dependencies define interfaces through which their activities and commitments are coordinated	
Pr13	A responsible individual(s) tracks and manages workgroup performance	
Pr14	Workgroups are disbanded through an orderly performance of workforce activities	
Pr15	When workgroups disband, their assets are captured for redeployment	
Me1	Measurements are made and used to determine the status and performance of Workgroup Development activities across the organization	
Me2	Measures of workgroup development are collected and aggregated at the organizational level	
Me3	Measurements are made and used to determine the effectiveness of Workgroup Development activities.	
Ve1	A responsible individual(s) verifies that Workgroup Development activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.	
Ve2	Executive management periodically reviews the Workgroup Development activities, status, and results; and resolves issues.	

	Participatory Culture	
Co1	The organization's stated values encourage open communication and participation in decision making by individuals and workgroups, when appropriate	
Co2	The organization establishes and maintains a documented policy for its activities that supports the development of a participatory culture	
Co3	An organizational role(s) is assigned responsibility for coordinating the organization's activities for developing a participatory culture	
Ab1	Within each unit, an individual(s) is assigned responsibility and authority to ensure that the performance of business and workforce activities within the unit contributes to developing a participatory culture.	
Ab2	Adequate resources are provided for performing activities that support development of a participatory culture	
Ab3	Managers develop the knowledge, skills, and process abilities needed to perform their responsibilities regarding communication and participatory management	
Ab4	Individuals and groups who participate in Participatory Culture activities receive the preparation in problem-solving and decision- making processes, methods, and skills appropriate to the types of decisions they will participate in making.	
Ab5	The practices and procedures for developing a participatory culture are defined and documented	
Pr1	Information about organizational and unit performance is made available to individuals and workgroups	
Pr2	Individuals and workgroups are made aware of how their work performance contributes to unit and organizational performance	
Pr3	Individuals and workgroups have access to information needed to perform their committed work.	
Pr4	Information and communication systems support the information needs of individuals and workgroups.	
Pr5	The structure of decision-making processes within the organization is analyzed.	
Pr6	Decision-making processes and roles are defined.	
Pr7	Responsibilities for decisions are delegated to appropriate levels and locations in the organization	
Pr8	Individuals and workgroups use defined decision-making processes	
Pr9	Decisions made by those empowered to make them are supported by others in the organization.	
Pr10	Individuals and workgroups are involved in making decisions that affect their work.	
Pr11	Individuals and groups participate in decisions concerning their work environments.	
Pr12	Defined mechanisms are used for resolving conflicts and disputes.	
Me1	Measurements are made and used to determine the status and performance of participatory activities and trends within the organization.	
Me2	Measurements are made and used to determine the effectiveness of the participatory practices adopted in the organization.	
Ve1	A responsible individual(s) verifies that communication and decision- making activities within the organization are conducted in an open and participative manner according to the organization's values and policies; and addresses noncompliance.	
Ve2	Executive management periodically reviews the level of participatory behavior and resolves issues.	

	Level 4 - Predictable	
	Competency Integration	
Co1	The organization establishes and maintains a documented policy for conducting Competency Integration activities	
Co2	An organizational role(s) is assigned responsibility for coordinating Competency Integration activities across the organization.	
Ab1	Within relevant organizational units or other entities, an individual(s) is assigned responsibility and authority for ensuring that Competency Integration activities are performed.	
Ab2	A responsible individual(s) coordinates the activities for defining, developing, and maintaining each integrated competency-based process.	
Ab3	Adequate resources are provided for performing Competency Integration activities.	
Ab4	Those involved in defining integrated competency-based processes develop the knowledge, skills, and process abilities needed to perform process analysis and definition.	
Ab5	Affected individuals and workgroups develop the knowledge, skills, and process abilities needed to perform the integrated competency- based processes involved in their work	
Ab6	The practices and procedures for performing Competency Integration are defined and documented	
Pr1	Business activities involving dependencies among multiple workforce competencies are identified	
Pr2	Dependencies and interfaces among multiple workforce competencies are analyzed to identify opportunities for integrating their competency-based processes	
Pr3	Integrated competency-based processes are defined and made available for use.	
Pr4	Work is designed to incorporate integrated competency-based processes, where appropriate.	
Pr5	Organizational structures support multi-disciplinary work that integrates competency-based processes.	
Pr6	Skills needed for performing integrated competency-based processes are developed.	
Pr7	The work environment supports work by individuals or workgroups using integrated competency-based processes.	
Pr8	Workforce competency descriptions are revised to incorporate integrated competency-based processes.	
Pr9	Workforce practices and activities are defined and adjusted to support integrated competency-based activities.	
Pr10	Workgroups performing integrated competency-based processes tailor and use them for planning committed work.	
Pr11	Workgroups use integrated competency-based processes for work involving multiple workforce competencies.	
Pr12	The performance of integrated competency-based processes is evaluated to identify needed adjustments and updates	
Me1	Measurements are made and used to determine the status and performance of Competency Integration activities.	
Me2	Measurements are made and used to determine the effectiveness of Competency Integration activities.	
Ve1	A responsible individual(s) verifies that the Competency Integration activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.	
Ve2	Executive management periodically reviews the Competency Integration activities, status, and results; and resolves issues.	

	Empowered Workgroups	
Co 1	The organization establishes and maintains a documented policy for conducting Empowered Workgroups activities.	
Co2	An organizational role(s) is assigned responsibility for coordinating empowerment activities and tailoring workforce practices to support empowered workgroups.	
Ab1	Each empowered workgroup has an individual(s) or organizational entity that is assigned responsibility as its sponsor and to whom it is accountable	
Ab2	Adequate resources are provided for performing Empowered Workgroups activities.	
Ab3	All affected parties develop the knowledge, skills, and process abilities needed to develop effective relationships with empowered workgroups.	
Ab4	Individuals responsible for tailoring or administering workforce practices for empowered workgroups develop the knowledge, skills, and process abilities needed to perform their responsibilities.	
Ab5	The practices and procedures for performing Empowered Workgroups are defined and documented.	
Pr1	Work responsibilities are designed to provide an empowered workgroup with optimal control over an integrated set of business activities.	
Pr2	Empowered workgroups are formed with a statement of their mission and authority for accomplishing it.	
Pr3	The individual(s) or organizational entity to which an empowered workgroup is accountable provides business objectives and negotiates responsibilities and commitments with the empowered workgroup.	
Pr4	Empowered workgroups are delegated the responsibility and authority to determine the methods by which they will accomplish their committed work.	
Pr5	Empowered workgroups use appropriate methods for making decisions on their commitments and methods of operation.	
Pr6	The organization's work environment supports the development and performance of empowered workgroups.	
Pr7	The organization's workforce practices are tailored for use with empowered workgroups.	
Pr8	Responsibility and authority for performing selected workforce activities is delegated to empowered workgroups.	
Pr9	Empowered workgroups tailor workforce activities delegated to them and plan for their adoption.	
Pr10	Empowered workgroups perform the workforce activities delegated to them.	
Pr11	Empowered workgroups participate in managing their performance.	
Pr12	Adjustments to the compensation of members of empowered workgroups are based, in part, on issues related to workgroup performance.	
Me1	Measurements are made and used to determine the status and performance of workforce practices for empowering workgroups.	
Me2	Measurements are made and used to determine the effectiveness of workforce practices for empowering workgroups.	
Ve1	A responsible individual(s) verifies that the organization's workforce practices for empowering workgroups are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.	
Ve2	Executive management periodically reviews the organization's Empowered Workgroups activities, status, and results; and resolves issues	
Ve3	The definition and use of empowered workgroup performance data are periodically audited for compliance with organizational policies.	

	Competency-Based Assets	
Co 1	The organization's stated values encourage knowledge sharing between individuals and workgroups, when appropriate.	
Co2	The organization establishes and maintains a documented policy for developing and using competency-based assets	
Co3	An organizational role(s) is assigned responsibility for coordinating across the organization the activities involved in capturing and reusing competency-based assets	
Ab1	Within each unit, an individual(s) is assigned responsibility and authority for ensuring that members of the unit participate in capturing and using competency-based assets, as appropriate.	
Ab2	A responsible individual(s) coordinates the activities for capturing and using competency-based assets within each workforce competency.	
Ab3	Adequate resources are provided for capturing and using competency-based assets.	
Ab4	Those responsible for various tasks involved in developing and deploying the organization's competency-based assets develop the knowledge, skills, and process abilities needed to perform their responsibilities.	
Ab5	Individuals involved in capturing or using competency-based assets develop the knowledge, skills, and process abilities needed to perform their responsibilities.	
Ab6	The practices and procedures for capturing or using competency-based assets are defined and documented.	
Pr1	Individuals and workgroups capture and retain information and artifacts that emerge from performing competency-based processes.	
Pr2	Communication vehicles are established to support the sharing of competency-based information and artifacts within and among competency communities.	
Pr3	A strategy for developing and deploying competency-based assets is created for each affected workforce competency.	
Pr4	Selected components of competency-based information and artifacts are organized into competency-based assets and made available for use.	
Pr5	Competency-based assets are updated to reflect periodic revisions in the knowledge, skills, and process abilities constituting workforce competencies.	
Pr6	Competency-based assets are integrated into competency-based processes and related technologies, as appropriate.	
Pr7	Individuals and workgroups use competency-based assets in performing their business activities.	
Pr8	Information resulting from the use of competency-based assets is captured and made available.	
Pr9	Competency development activities incorporate competency-based assets.	
Pr10	Mentoring or coaching activities are organized to deploy competency-based assets.	
Pr11	Workforce practices and activities encourage and support the development and use of competency-based assets.	
Pr12	Compensation practices and activities are defined and performed to motivate the development and use of competency-based assets.	
Me1	Measurements are made and used to determine the status and performance of activities for contributing to and using competency-based assets.	
Me2	Measurements are made and used to determine the effectiveness of competency-based assets on improving competencies and performance.	
Ve1	A responsible individual(s) verifies that the organization's activities for developing and using competency-based assets are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.	
Ve2	Executive management periodically reviews the Competency-Based Assets activities, status, and results; and resolves issues.	
Ve3	The definition and use of competency-based assets measures and information are periodically audited for compliance with organizational policies.	

	Quantitative Performance Management	
Co 1	The organization establishes and maintains a documented policy for conducting Quantitative Performance Management activities	
Co2	An organizational role(s) is assigned responsibility for coordinating Quantitative Performance Management activities across the organization.	
Ab1	Within each unit, an individual(s) is assigned responsibility and authority for ensuring that Quantitative Performance Management activities are performed.	
Ab2	Adequate resources are provided for performing Quantitative Performance Management activities.	
Ab3	Individuals who participate in Quantitative Performance Management activities develop the knowledge, skills, and process abilities needed to perform their responsibilities.	
Ab4	The practices and procedures for performing Quantitative Performance Management are defined and documented.	
Pr1	The quantitative performance objectives required to achieve organizational business objectives are defined.	
Pr2	Each unit establishes measurable performance objectives whose achievement most contributes to organizational business objectives.	
Pr3	Individuals and workgroups establish measurable performance objectives for competency-based processes that most contribute to their achieving unit performance objectives.	
Pr4	Individuals and workgroups plan their committed work using process performance baselines for competency-based processes.	
Pr5	Individuals and workgroups define quantitative methods for managing the competency-based processes that most contribute to achieving their performance objectives.	
Pr6	Individuals and workgroups quantitatively manage the performance of the competency-based processes that most contribute to achieving their performance objectives.	
Pr7	Individuals or workgroups take corrective actions when the performance of their competency-based processes differs from the quantitative results required to achieve their performance objectives.	
Pr8	Quantitative records of individual and workgroup performance are retained.	
Pr9	Where appropriate, quantitative performance results are used in performing workforce practices and activities.	
Me1	Measurements are made and used to determine the status and performance of the organization's Quantitative Performance Management activities.	
Me2	Measurements are made and used to determine the effectiveness of Quantitative Performance Management activities.	
Ve1	A responsible individual(s) verifies that Quantitative Performance Management activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.	
Ve2	Executive management periodically reviews the Quantitative Performance Management activities, status, and results; and resolves issues.	
Ve3	The definition and use of performance measures at the individual, workgroup, and unit levels are periodically audited for compliance with the organization's policies.	

	Organizational Capability Management	
Co 1	The organization establishes and maintains a documented policy for conducting Organizational Capability Management activities.	
Co2	An organizational role(s) is assigned responsibility for coordinating Organizational Capability Management activities across the organization.	
Ab1	Within each unit, an individual(s) is assigned responsibility and authority for ensuring the unit's involvement in Organizational Capability Management activities, as appropriate.	
Ab2	A responsible individual(s) coordinates the quantitative capability management activities within each critical workforce competency.	
Ab3	Adequate resources are provided for performing Organizational Capability Management activities.	
Ab4	Those responsible for Organizational Capability Management activities develop the knowledge, skills, and process abilities needed to perform their responsibilities.	
Ab5	Individuals who participate in Organizational Capability Management activities receive appropriate orientation in the purposes and methods for the organization's quantitative capability management activities	
Ab6	The practices and procedures for performing Organizational Capability Management are defined and documented.	
Pr1	The organization identifies the workforce competencies that are critical to its business strategies and objectives.	
Pr2	The organization quantifies its capability in each of its critical workforce competencies.	
Pr3	The organization's capability in each of its critical workforce competencies is managed quantitatively.	
Pr4	Measurable objectives for contributing to capability growth in critical workforce competencies are established for workforce practices and activities	
Pr5	The organization quantitatively evaluates the impacts of workforce practices and activities on capability in each of its critical workforce competencies.	
Pr6	The impacts of workforce practices and activities on the organization's capability in each of its critical workforce competencies are managed quantitatively.	
Pr7	Process performance baselines are developed and maintained for critical competency-based processes.	
Pr8	The capability of critical competency-based processes is managed quantitatively.	
Pr9	The organization uses its capability data and process performance baselines in developing quantitative models of performance.	
Pr10	The impact of workforce practices and activities on the capability and performance of competency-based processes is evaluated and managed quantitatively.	
Pr11	Evaluations of the impact of workforce practices and activities on the capability and performance of competency-based processes are used in performing other business and workforce activities, as appropriate.	
Me1	Measurements are made and used to determine the status and performance of Organizational Capability Management activities.	
Me2	Measurements are made and used to determine the effectiveness of Organizational Capability Management activities.	
Ve1	A responsible individual(s) verifies that Organizational Capability Management activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.	
Ve2	Executive management periodically reviews the Organizational Capability Management activities, status, and results; and resolves issues.	
Ve3	The definition and use of measures at the individual, workgroup, and unit levels are periodically audited for compliance with organizational policies.	

	Mentoring	
Co 1	The organization establishes and maintains a documented policy for conducting Mentoring activities.	
Co2	An organizational role(s) is assigned responsibility for coordinating Mentoring activities across the organization.	
Ab1	Within each unit, an individual(s) is assigned responsibility and authority for ensuring that members of the unit participate in Mentoring activities, as appropriate.	
Ab2	Adequate resources are provided for performing Mentoring activities.	
Ab3	Individuals selected to act as mentors develop the knowledge, skills, and process abilities needed in relevant mentoring objectives, techniques, and skills to perform their responsibilities	
Ab4	Affected individuals receive appropriate orientation in Mentoring practices	
Ab5	The practices and procedures for performing Mentoring are defined and documented.	
Pr1	Opportunities for using the experience of the workforce to improve performance or achieve other organizational objectives are identified.	
Pr2	The objectives and structure of each mentoring program are defined.	
Pr3	Each mentoring program is communicated to affected individuals and workgroups.	
Pr4	Mentors are selected and matched with individuals or workgroups to be mentored.	
Pr5	Mentors and those they mentor establish a mentoring relationship.	
Pr6	Mentors assist individuals or workgroups in developing capability in workforce competencies.	
Pr7	Mentoring relationships are reviewed to ensure that they satisfy their intended objectives.	
Pr8	Mentors support the development and improvement of competency- based assets.	
Pr9	Mentors participate in performance management and related workforce activities, as appropriate.	
Pr10	The organization`s workforce practices support mentoring activities, as needed.	
Me1	Measurements are made and used to determine the status and performance of Mentoring activities.	
Me2	Measurements are made and used to determine the effectiveness of Mentoring activities.	
Ve1	A responsible individual(s) verifies that Mentoring activities are conducted according to the organization`s documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.	
Ve2	Executive management periodically reviews Mentoring activities, status, and results; and resolves issues.	

	Level 5 - Optimizing	
	Continuous Capability Improvement	
Co1	The organization establishes and maintains a documented policy for continuously improving individual and workgroup capability.	
Co2	An organizational role(s) is assigned responsibility for coordinating Continuous Capability Improvement activities across the organization.	
Ab1	Within each unit, an individual(s) is assigned responsibility and authority for ensuring that members of the unit participate in Continuous Capability Improvement activities, as appropriate	
Ab2	Within selected workforce competencies, responsible individual(s) coordinate activities to improve its competency-based processes.	
Ab3	Adequate resources are provided for continuously improving individual and workgroup capabilities.	
Ab4	Mentoring support is offered to improve the capability and performance of individuals and workgroups.	
Ab5	Individuals and workgroups develop the knowledge, skills, and process abilities needed to perform their responsibilities in applying techniques for continuously improving their capabilities.	
Ab6	The practices and procedures for performing Continuous Competency Improvement are defined and documented.	
Pr1	Individuals and workgroups are empowered to continuously improve their capability for performing competency-based processes	
Pr2	Individuals characterize the capability and performance of their personal work processes.	
Pr3	Individuals evaluate the capability of their personal work processes to identify opportunities for improvement.	
Pr4	Individuals establish measurable improvement objectives and plans for improving the capability of their personal work processes.	
Pr5	Individuals continuously improve the capability and performance of their personal work processes.	
Pr6	Workgroups evaluate the capability and performance of their operating processes to identify opportunities for improvement.	
Pr7	Workgroups establish measurable objectives and plans for improving the capability of their operating processes.	
Pr8	Workgroups continuously improve their capability and performance.	
Pr9	Recommendations resulting from improvements in personal work processes or workgroup operating processes are reviewed to determine if they should be incorporated into competency-based processes.	
Pr10	Within each critical workforce competency, capability objectives are defined for critical competency-based processes.	
Pr11	Within each critical workforce competency, capability objectives for competency-based processes are compared to process performance baselines to identify improvement objectives.	
Pr12	Within each critical workforce competency, responsible individuals identify opportunities for improving the capability and performance of competency-based processes.	
Pr13	Within selected workforce competencies, responsible individuals identify, evaluate, and select improvements to competency-based processes.	
Pr14	Selected improvement recommendations are incorporated into competency-based processes and made available for use.	
Pr15	The organization's workforce practices are adjusted, as needed, to accommodate continuous improvement activities by individuals and workgroups.	
Me1	Measurements are made and used to determine the status and performance of activities for Continuous Capability Improvement.	
Me2	Measurements are made and used to determine the effectiveness of activities for Continuous Capability Improvement.	
Ve1	A responsible individual(s) verifies that the activities for Continuous Capability Improvement are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.	
Ve2	Executive management periodically reviews the Continuous Capability Improvement activities, status, and results; and resolves issues.	

	Organizational Performance Alignment	
Co1	The organization establishes and maintains a documented policy for aligning performance across individuals, workgroups, units, and the organization.	
Co2	An organizational role(s) is assigned responsibility for coordinating performance alignment activities across the organization	
Ab1	Within each unit, an individual(s) is assigned responsibility and authority for ensuring the unit's involvement in the organization's performance alignment activities.	
Ab2	Adequate resources are provided for performing Organizational Performance Alignment activities.	
Ab3	Individuals performing Organizational Performance Alignment activities develop the knowledge, skills, and process abilities needed to perform their responsibilities.	
Ab4	Individuals and workgroups participating in Organizational Performance Alignment activities receive appropriate orientation in Organizational Performance Alignment practices.	
Ab5	The practices and procedures for performing Organizational Performance Alignment are defined and documented.	
Pr1	Workgroups continuously improve the alignment of performance among individuals and across the workgroup.	
Pr2	Units align performance among individuals, workgroups, and other entities within the unit.	
Pr3	The organization aligns performance across units and with the organization's business objectives.	
Pr4	The impact of the organization's workforce practices and activities on aligning performance is understood quantitatively.	
Pr5	The impact of workforce practices and activities on performance alignment is managed quantitatively.	
Pr6	Evaluations of the impact of workforce practices and activities on performance alignment are used in performing other business and workforce activities	
Me1	Measurements are made and used to determine the status and performance of the organization's performance alignment activities.	
Me2	Measurements are made and used to determine the effectiveness of the organization's performance alignment activities	
Ve1	A responsible individual(s) verifies that the organization's performance alignment activities are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.	
Ve2	Executive management periodically reviews the organization's performance alignment activities, status, and results; and resolves issues.	
Ve3	The definition and use of measures of individual, workgroup, unit, and organizational performance are periodically audited for compliance with organizational policies	

	Continuous Workforce Innovation	
Co1	The organization establishes and maintains a documented policy for conducting Continuous Workforce Innovation activities.	
Co2	An organizational role(s) is assigned responsibility for coordinating the continuous innovation and improvement of workforce practices across the organization	
Ab1	Within each unit, a responsible individual(s) coordinates actions regarding proposals for improving workforce practices and activities and manages deployment of improvements or innovations.	
Ab2	Adequate resources are provided for continuously improving workforce practices and activities.	
Ab3	Those responsible for continuously innovating and improving workforce practices and activities develop the knowledge, skills, and process abilities needed to perform their responsibilities and to apply relevant evaluation methods and continuous improvement techniques.	
Ab4	Individuals receive orientation or preparation in the innovative or improved workforce practices and technologies adopted by the organization.	
Ab5	The practices and procedures for performing Continuous Workforce Innovation are defined and documented.	
Pr1	The organization establishes a framework for continuously improving its workforce practices and activities.	
Pr2	Individuals and workgroups are empowered to continuously improve their performance of workforce activities.	
Pr3	A continuous improvement program is established to encourage individuals and workgroups to propose improvements to workforce practices and activities.	
Pr4	Workforce opinions about their working conditions are periodically evaluated to identify areas that would most benefit from innovative or improved practices.	
Pr5	Data regarding the impact of the organization's workforce practices and activities are analyzed to identify areas that would most benefit from innovative or improved practices.	
Pr6	Quantitative objectives are established for improving the impact of workforce practices and activities.	
Pr7	The organization continuously investigates innovative workforce practices and technologies.	
Pr8	Innovative and improved workforce practices and technologies are evaluated and selected for implementation.	
Pr9	When appropriate, innovative or improved workforce practices or technologies are evaluated in trials to evaluate their benefits and most effective methods for implementation.	
Pr10	The deployment of innovative or improved workforce practices or technologies is planned and prepared.	
Pr11	Innovative or improved workforce practices and technologies are implemented according to their deployment plans	
Pr12	The effectiveness and benefits of innovative or improved workforce practices and technologies are evaluated quantitatively	
Pr13	The status and results of the organization's Continuous Workforce Innovation activities are periodically reviewed and communicated across the organization.	
Me1	Measurements are made and used to determine the status and performance of activities for continuously innovating and improving workforce practices and activities.	
Me2	Measurements are made and used to determine the effectiveness of continuously innovating and improving workforce practices and technologies.	
Ve1	A responsible individual(s) verifies that the activities for continuously innovating and improving workforce practices are conducted according to the organization's documented policies, practices, procedures, and, where appropriate, plans; and addresses noncompliance.	
Ve2	Executive management periodically reviews the Continuous Workforce Innovation activities, status, and results; and resolves issues.	