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People Capability Maturity Model® (P–CMM®)

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FOR THE COMMANDER

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Competency-Based Practices

A process area at Maturity Level 3: Defined

Purpose   **The purpose of Competency-Based Practices is to ensure that all workforce practices are based in part on developing the competencies of the workforce.**

Description   The practices established through performing the activities of process areas at the Managed Level need to be adjusted to support the organization's focus on developing workforce competencies. Workforce activities that had focused primarily on unit concerns at the Managed Level are re-oriented by adjusting them to include concerns that are strategic to shaping the organization's workforce and the workforce competencies needed in the workforce. As a result of incorporating an organizational orientation in the performance of workforce activities, the performance of activities should become more consistent across units.

Both the organization and its units adjust recruiting practices to satisfy requirements for workforce competencies identified in the strategic workforce plan. The organization works with potential sources of qualified candidates to improve the application rate for individuals with aptitude in relevant workforce competencies. Selection methods are tailored to assess the knowledge, skills, and process abilities related to workforce competencies. Staffing decisions are based, in part, on capability in the relevant competencies that are involved both in the new position and in possible future positions.

Units develop performance objectives for contributing to long-term development in workforce competencies. Individuals incorporate competency development into their performance objectives. Periodic discussions of work performance include feedback on development and application of workforce competencies.

The organization's compensation strategy and practices are structured to motivate development in the organization's workforce competencies.

Adjustments to compensation are partly based on developing and applying workforce competencies. Recognition and rewards can be provided for outstanding development or application of workforce competencies.

Goals

Goal 1   **Workforce practices are focused on increasing the organization's capability in its workforce competencies.**

Goal 2   **Workforce activities within units encourage and support individuals and workgroups in developing and applying the organization's workforce competencies.**

Goal 3   **Compensation strategies and recognition and reward practices are designed to encourage development and application of the organization's workforce competencies.**

Goal 4   **Competency-Based Practices are institutionalized to ensure they are performed as defined organizational processes.**

Commitment to Perform

Commitment 1   **Relevant organizational policies promote increased capability in the organization's workforce competencies.**

> In deploying Competency-Based Practices as organizations mature, existing policies that were put in place at the Managed Level are typically revised to address issues relevant to the competency focus of the organization's practices at the Defined Level.

Issues typically addressed in these policies include:

1. Recruiting activities focus on the most likely sources of candidates with existing or potential capability in the organization's workforce competencies.

2. The organization's workforce activities are tailored to motivate and develop the organization's workforce competencies.

3. Selection activities are based, in part, on identifying candidates with the strongest capabilities and potential in the organization's workforce competencies.

4. Performance management includes activities, criteria, and feedback designed to aid development of individuals in the organization's workforce competencies.

5. Recognition and reward activities focus, in part, on motivating development and application of the organization's workforce competencies.

6. Compensation strategies focus, in part, on increasing the organization's capability in its workforce competencies.

7. Competency-based adjustments to policies, workforce practices, and workforce activities comply with relevant laws, regulations, and organizational policies.

> All competency-based adjustments to workforce practices are reviewed by a human resources, or other appropriate, professional to ensure their compliance with all applicable laws and regulations governing these practices, as well as the organization's policies and stated values.

Commitment 2   **An organizational role(s) is assigned responsibility for coordinating adjustments in workforce practices designed to increase the organization's capability in its workforce competencies.**

> Examples of individuals who might be assigned responsibility for coordinating adjustments in workforce practices include the following:
>
> - Members of the human resources function or other appropriate professionals
> - Members of the training or development functions
> - Organizational competency definition or competency management group

Ability to Perform

Ability 1   **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.**

Ability 2   **A responsible individual(s) coordinates the competency-based practices and activities for each workforce competency.**

Ability 3   **Adequate resources are provided for ensuring that workforce practices and activities are designed to increase the organization's capability in its workforce competencies.**

1. The workforce competencies of the organization have been analyzed, and the organization's capability in these competencies is known.

> Refer to the Competency Analysis, Workforce Planning, and Competency Development process areas for practices that identify, plan for the development of, and develop the organization's workforce competencies.

2. Experienced individuals who have expertise in workforce practices are available for guiding adjustments that increase the organization's capability in its workforce competencies.

3. Resources for supporting workforce practices and activities that have been adjusted to increase the organization's capability in its workforce competencies are made available.

> Examples of resources that could be used to support adjusting workforce practices and activities include the following:
>
> - Information bases on recruiting sources
> - Selection guides and aides
> - Performance management forms and guides
> - Training materials
> - Compensation and reward guides
> - Career planning guides and tools
> - Electronic availability of information concerning competency-based workforce practices
> - Other relevant workforce assets

4. The strategic workforce plans of the organization and each unit's planned workforce activities focus on increasing the capability of the organization in its workforce competencies.

5. Funding to accomplish competency-based workforce practices and activities is made available.

6. Adequate time is made available for performing competency-based workforce practices and activities.

Ability 4   **Those responsible for competency-based workforce activities develop the knowledge, skills, and process abilities needed to perform their responsibilities.**

1. Individuals assigned responsibility for performing competency-based workforce activities receive training or orientation in the application of these practices.

2. Individuals assigned responsibility for designing and adjusting competency-based workforce practices receive training in the knowledge and skills required for performing their responsibilities.

Ability 5   **The practices and procedures for performing competency-based workforce practices are defined and documented.**

1. Practices and procedures are defined and documented at the organizational or unit levels, as appropriate.

2. Guidelines for tailoring the practices and procedures for use in different circumstances are documented and made available, as necessary.

3. The individual(s) assigned responsibility for Competency-Based Practices across the organization ensures that defined practices and procedures are:

    ❏ maintained under version control,

    ❏ disseminated through appropriate media,

    ❏ interpreted appropriately for different situations, and

    ❏ updated through orderly methods.

4. Experiences, lessons learned, measurement results, and improvement information derived from planning and performing competency-based workforce practices are captured to support the future use and improvement of the organization's practices.

Practices Performed

Practice 1 **Recruiting activities are planned and executed to satisfy the organization's requirements for workforce competencies.**

1. Recruiting activities are tailored to satisfy organizational workforce competency objectives, in addition to the specific requirements of currently open positions.

> Refer to Practice 1 of the Workforce Planning process area for information regarding identifying the workforce needs of the organization. Refer to Practices 7, 8, and 9 of the Competency Analysis process area for information regarding tracking the competencies of the workforce.

2. The organization communicates its current and anticipated requirements for workforce competencies to likely sources of qualified candidates.

3. The organization establishes relationships with external sources willing to develop qualified candidates with the knowledge and skills that match the organization's current and anticipated competency requirements.

> Examples of possible aspects of relationships with sources of qualified candidates include the following:
>
> - Periodic recruiting trips
> - Financial support for teaching, research, or collaborative projects
> - Providing facilities or equipment in support of teaching or research
> - Summer or part-time employment for faculty or students
> - Internships
> - Sabbatical opportunities for faculty
> - Providing lecturers on a temporary or sabbatical basis
> - Frequent interaction with educational institutions to track the development of the most qualified candidates
> - Career guidance to students
> - Involvement and support for professional or honorary societies
> - Support for professional meetings and conferences
> - Awards and other forms of recognition for outstanding students or professionals

Practice 2   **Selection processes are enhanced to evaluate each candidate's potential for contributing to organizational and unit objectives for capability in workforce competencies.**

1. Descriptions of open positions:
   - ❏ incorporate information from relevant workforce competencies,
   - ❏ describe the level of capability required in each relevant workforce competency, and
   - ❏ describe how the open position relates to career development in relevant workforce competencies

2. In addition to the specific requirements of an open position, selection criteria are enhanced to include:
   - ❏ current capability in relevant workforce competencies,
   - ❏ potential future capability in workforce competencies, and
   - ❏ evidence of interest in developing relevant workforce competencies.

3. In addition to information about position-related knowledge and skills, selection processes are designed to produce information about each candidate's capabilities in relevant workforce competencies.

Practice 3   **Staffing decisions are made, in part, to achieve the competency development objectives of the organization and the career objectives of qualified candidates.**

1. Competency information is used to identify internal candidates for open positions or special assignments.

> Managers, human resource professionals, or others responsible for career planning can use the organization's competency information. Based on the organization's policies regarding use of personal data, different levels of information may be available to different individuals or workgroups. Support (manual or electronic) is provided for using competency information.

2. Personal development plans and career objectives are used as input when selecting among candidates for open positions.

> The selection process, especially for positions beyond entry level, involves the review of the development plans of qualified internal candidates to further develop, or broaden, their capabilities in the organization's workforce competencies. Thus, the staffing process becomes one mechanism for increasing the organization's capability in its workforce competencies.

3. Staffing decisions consider career development objectives when an open position represents a graduated career opportunity in one or more workforce competencies.

4. In addition to position responsibilities, candidates are evaluated for their potential to contribute to the organization's current and future capability requirements in workforce competencies.

5. The demonstrated capability of candidates in relevant workforce competencies is incorporated into selection decisions.

Practice 4   **Transition activities provide orientation to workforce competencies.**

1. Orientation to new positions is designed to familiarize individuals with the competencies required to perform their work assignments.

2. Orientation for individuals new to the organization is designed, in part, to inform them about the organization's workforce competencies and career development options, including:

    ❏ the knowledge, skills, and process abilities in competencies relevant to their work,

    ❏ development activities,

    ❏ career opportunities, and

    ❏ competence-related workforce practices.

Practice 5   **Work assignments are designed, in part, to enhance personal and career development objectives.**

1. Work assignments are defined in consultation with individuals assigned responsibility for the work.

2. Work assignments are defined in an agreement about the committed work that will be performed in response to the requirements of the position being filled.

3. To the extent possible, work assignments are designed to enhance:

    ❏ the immediate development objectives in the individual's development plan,

    ❏ the individual's growth in workforce competencies, and

    ❏ the individual's career objectives.

4. The extent to which work assignments contribute to personal and career objectives is discussed during staffing, performance management, and related activities.

Practice 6 **Each unit documents performance objectives for developing workforce competencies.**

1. Each unit defines and documents performance objectives for:

    ❏ developing the workforce competencies needed to perform its business activities,

    ❏ contributing to the strategic competency development objectives of the organization, and

    ❏ performing planned workforce activities that support these competence development objectives.

2. Relevant portions of the unit's performance objectives for developing workforce competencies are included in the individual performance objectives of each person who is responsible for performing the unit's workforce activities.

3. The unit's performance objectives for developing competencies are allocated to the personal development plans of those whose competencies are to be developed.

Practice 7 **Each individual documents performance objectives for developing additional capability in the organization's workforce competencies.**

1. Objectives for developing in relevant workforce competencies are included in each individual's performance objectives.

    > Example criteria to consider when selecting among workforce competencies to include in an individual's performance objectives include the following:
    >
    > - Relevance of the workforce competency to current assigned responsibilities
    >
    > - Relevance of the workforce competency to future business activities within the unit
    >
    > - Relevance of the workforce competency to the career development plans of the individual
    >
    > - Contribution to growth in the workforce competencies of the workgroup, unit, or organization
    >
    > - Importance to the organization's strategic requirements for workforce competencies

2. Some of each individual's performance objectives are drawn from their personal development plans.

> Examples of performance objectives related to individual competency and career development include the following:
>
> - Increasing capability in one or more of the organization's workforce competencies
> - Achieving limited capability in workforce competencies that supplement an individual's primary competencies
> - Assisting other members of the unit or organization in increasing their capability in the organization's workforce competencies

Practice 8   **Ongoing discussions of work performance include feedback on an individual's development and application of relevant workforce competencies.**

1. Those responsible for ongoing communication about an individual's work performance provide feedback concerning:

❏ evidence of growing capability in relevant workforce competencies,

❏ current level of capability in relevant workforce competencies, and

❏ ability to apply relevant workforce competencies for improving work performance,

2. Individuals are encouraged to seek guidance from relevant sources on their development and application of workforce competencies.

> Examples of relevant sources of feedback on development and performance of competencies include the following:
>
> - Managers
> - Mentors or coaches
> - Trainers or performance experts
> - Senior professionals in the competency
> - Peers
> - Outside experts

Practice 9 **Each individual's performance is assessed, in part, against the objectives of their personal development plan.**

1. Each individual's success in accomplishing the objectives established in their personal development plan is evaluated when providing formal performance feedback.

2. Each individual's work performance is evaluated to assess their level of capability in relevant workforce competencies.

3. The results of each individual's work performance are evaluated to identify evidence of capability in workforce competencies not involved in his or her assigned responsibilities or performance criteria.

> Reasons for evaluating other workforce competencies include gathering information for guiding decisions about additional career options and development opportunities.

4. Information about each individual's capability in the organization's workforce competencies is documented for use in:

   ❏ planning their development activities and career options,

   ❏ reviewing progress in accomplishing development objectives, and

   ❏ identifying new, or revising existing, development objectives.

> Refer to Practice 9 of the Competency Analysis process area for information regarding updating competency information.

Practice 10 **The compensation strategy is established and maintained, in part, to increase the organization's capability in its workforce competencies.**

1. The compensation strategy is adjusted to achieve specific objectives in developing and applying the organization's workforce competencies.

> Examples of competency objectives to be motivated by adjustments in the compensation strategy include the following:
>
> - Motivating growth in workforce competencies
> - Motivating the workforce to develop capability in scarce competencies
> - Maintaining equity in compensation among comparable capability levels across workforce competencies, and in relation to relevant labor markets
> - Attracting talent with knowledge and skills in the organization's workforce competencies
> - Retaining talent in the organization's workforce competencies
> - Motivating the use of workforce competencies to improve performance
> - Supporting others in developing and applying workforce competencies

2. Compensation practices are adjusted as necessary to achieve the objectives of the compensation strategy.

> Examples of compensation practices that can be adjusted to support the organization's compensation strategy include the following:
>
> - Creating salary bands across related workforce competencies for capability levels (e.g., technical associate, member of the technical staff [MTS], senior MTS, principal MTS, etc.) defined relative to the knowledge, skills, and process abilities within each workforce competency
> - Tying some compensation actions to events (rather than position changes or calendar-based actions) indicating achievement of greater capability within a workforce competency (such as receipt of a degree or professional certification)
> - Factoring into a bonus or other variable-based pay the attainment or application of greater capability in relevant workforce competencies
> - Tying the level or availability of some benefits to developing and applying greater capability in relevant workforce competencies
> - Tying stock and other incentives to developing and applying greater capability in workforce competencies

3. The effectiveness of the compensation strategy in improving the organization's capability in its workforce competencies is:

❏ periodically reviewed,

❏ adjusted as necessary to support capability and performance objectives, and

❏ revised as appropriate when intended competency development or performance results are not achieved.

Practice 11 **Compensation practices are defined to support capability objectives within each workforce competency.**

> Refer to Practice 2 of the Workforce Planning process area for information regarding establishing measurable capability objectives within each workforce competency.

1. Within each workforce competency, compensation practices are evaluated for their current and anticipated impact on:

❏ strategic capability and staffing goals in the competency,

❏ ability to attract and retain people with required capabilities in the competency,

❏ graduated career development and promotional opportunities within the competency, and

❏ increasing the impact of capability in the competency on performance.

2. Compensation practices are adjusted to support capability objectives in each workforce competency.

> Examples of adjustments to compensation practices that support capability objectives include the following:
>
> - Compensation actions for recruiting selected candidates with needed competencies
> - Compensation adjustments based on availability of different competencies within the local or national labors markets
> - Compensation actions based on promotion through graduated career steps within a competency
> - Compensation actions for completing specific competency development activities such as courses, degrees, or professional certifications
> - Compensation actions for applying increased capability in a competency to improve performance
> - Compensation actions for accomplishments in assisting the competency development of other individuals or teams

3. All adjustments to compensation practices that support capability objectives in a specific workforce competency must:

   ❏ be aligned with objectives in the strategic workforce plan,

   ❏ be consistent with the compensation policy, strategy, and related adjustments to organization-wide compensation practices,

   ❏ maintain equity among workforce competencies relative to their value to the organization and availability in the marketplace.

Practice 12 **Adjustments to compensation are partly determined by each individual's development and application of relevant workforce competencies.**

1. Individuals' development and application of relevant workforce competencies is factored into decisions concerning their compensation.

> Examples of competency-based factors affecting compensation decisions include the following:
>
> - Current capability in relevant workforce competencies
> - Development of capabilities in scarce competencies
> - Market value of their capability in their competencies
> - Successful completion of personal development plan objectives
> - Ability to translate capability in workforce competencies into performance at the individual, workgroup, unit, or organizational levels
> - Contribution in helping or mentoring others to improve their knowledge and skills in the organization's workforce competencies

2. The impact on compensation of developing and applying capability in relevant workforce competencies is discussed with each individual.

3. Each individual's compensation is reviewed to ensure it is:

   ❏ consistent with the organization's compensation policy and practices,

   ❏ consistent with objectives documented in the organization's strategic workforce plan, the unit's planned workforce activities, and the individual's development plan,

   ❏ consistent with the individual's capability in relevant workforce competencies, and

   ❏ equitable with the compensation of other individuals possessing similar capabilities.

4. Corrective actions are taken when an individual's compensation is found to be inequitable or inconsistent with organizational policies, practices, objectives, or individual capability.

Practice 13 **Recognition and rewards for developing or applying workforce competencies are provided, when appropriate, at the individual, workgroup, or unit levels.**

1. Policies are revised to include development and application of the organization's workforce competencies as a basis for recognition or reward.

2. The level of recognition or reward is equitable with regard to the level of capability developed or applied.

Practice 14   **As the definition or requirements of its workforce competencies change, the organization re-evaluates its workforce policies and practices and adjusts them, as needed.**

Measurement and Analysis

Measurement 1   **Measurements are made and used to determine the status and performance of workforce practices to increase capability in the organization's workforce competencies.**

> Examples of measurements include the following:
>
> - Amount of time spent in tailoring workforce policies, practices, and activities to support developing and applying the organization's   workforce competencies
> - Number of people involved in tailoring workforce activities to the organization's workforce competencies
> - Rate of progress in tailoring the workforce activities to focus on the organization's workforce competencies

Measurement 2   **Measurements are made and used to determine how effectively competency-based workforce practices are increasing capability in the organization's workforce competencies.**

Examples of measurements of the effectiveness of competency-based workforce practices include the following:

- Staff ratings of the effectiveness of competency-based workforce practices

- Increased level of knowledge, skills, and process ability resulting from competency-based recruiting, selection, and performance management practices

- Effectiveness of various competency development practices and activities in increasing the capability of individuals or workgroups in the organization's workforce competencies

- Increased level of motivation and retention resulting from competency-based career planning, compensation, and reward practices

- Indicators of the organization's increased efficiency or quality in performing competency-based workforce activities

Verifying Implementation

Verification 1   **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.**

These reviews verify that:

1. Competency-based workforce practices and activities comply with the organization's policies and stated values.

2. All actions related to competency-based workforce practices and activities are periodically reviewed to ensure that they conform to documented policies.

3. Competency-based workforce practices and activities comply with relevant laws and regulations.

4. Competency-based workforce practices and activities are performed according to the organization's documented practices and procedures.

5. Noncompliance issues are handled appropriately.

Verification 2   **Executive management periodically reviews the activities implementing competency-based workforce practices, their status and results, and resolves issues.**

These reviews verify:

1. The appropriateness of competency-based workforce activities at the organizational and unit levels.

2. Progress in performing competency-based workforce activities.

3. Results from reviews of competency-based workforce practices and activities.

> Refer to Verification 1 for information regarding reviews of Competency-Based Practices activities to ensure adherence to the following:
>
> • Relevant laws and regulations
> • Organizational policies, practices, and procedures

4. Status of resolution of noncompliance issues.

5. Trends related to competency-based workforce practices.

6. Effectiveness of competency-based workforce practices and activities in achieving planned objectives in the organization's workforce competencies.