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People Capability Maturity Model[®] (P-CMM[®])

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Workforce Planning

A process area at Maturity Level 3: Defined

Purpose	The purpose of Workforce Planning is to coordinate workforce activities with current and future business needs at both the organizational and unit levels.
Description	<p>Workforce Planning ties the organization’s workforce activities directly to its business strategy and objectives. Through workforce planning, the organization identifies the workforce it needs for its current and future business activities and plans the actions to be taken to ensure the required workforce is available when needed. The People CMM does not make an assumption that the organization must meet all of its workforce needs from within. Workforce planning could include partnerships, alliances, acquisitions, independent contracting, and other means for ensuring that the required components of workforce competencies are provided in support of business plans and objectives. Strategic workforce plans provide those responsible for workforce activities in units with a reference for ensuring that they perform their responsibilities with an understanding of how the unit’s workforce activities contribute to the business.</p> <p>The workforce planning process begins by identifying the current and future workforce competency needs of the organization. These needs are assessed from anticipated future developments in the business and its products, services, markets, technologies, and business processes. The organization identifies those workforce competencies where action is needed to meet these needs. A competency develop plan is created for each workforce competency identified as needing action by the organization. A strategic workforce plan is created by integrating these competency development plans and determining the organization’s actions to provide the needed competencies over time. The strategic workforce plan sets long-term objectives for workforce activities at the organizational and unit levels. Performance against these plans is periodically checked and reported at the appropriate level.</p> <p>As part of planning their workforce activities, units set specific objectives for contributing to the organization’s strategic workforce objectives while</p>

meeting the current needs of the unit. Succession plans are developed for each critical position in the organization to ensure a continuous supply of qualified position candidates.

Goals

- Goal 1** **Measurable objectives for capability in each of the organization’s workforce competencies are defined.**
- Goal 2** **The organization plans for the workforce competencies needed to perform its current and future business activities.**
- Goal 3** **Units perform workforce activities to satisfy current and strategic competency needs.**
- Goal 4** **Workforce Planning practices are institutionalized to ensure they are performed as defined organizational processes.**

Commitment to Perform

- Commitment 1** **The organization establishes and maintains a documented policy for conducting its Workforce Planning activities.**

Issues typically addressed in the policy include:

1. Workforce planning serves the business objectives and stated values of the organization.
2. Units contribute to satisfying the strategic competency needs of the organization.

3. The organization's workforce competency needs can be traced to the requirements of its current and anticipated products, services, and other business activities.
4. Responsibilities involved in workforce planning are defined and assigned.
5. Appropriate procedures are defined, documented, and used for:
 - developing and updating the strategic workforce plan at an appropriate frequency,
 - creating and updating competency development plans for workforce competencies at an appropriate frequency,
 - planning workforce activities within each unit,
 - reviewing and approving workforce plans,
 - basing all relevant workforce activities on workforce plans,
 - correcting and amending workforce plans,
 - reviewing the compliance of workforce activities with workforce plans,
 - documenting workforce planning processes and results, and
 - communicating workforce plans throughout the organization.
6. Workforce Planning practices and activities comply with relevant laws, regulations, and organizational policies.

Commitment 2 An organizational role(s) is assigned responsibility for coordinating Workforce Planning activities across the organization.

Examples of individuals who might be assigned responsibility for coordinating Workforce Planning activities 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
- Committee of representatives from ownership teams for each workforce competency

Ability to Perform

Ability 1 **Within each unit, an individual(s) is assigned responsibility and authority for ensuring that Workforce Planning activities are performed.**

Ability 2 **A responsible individual(s) coordinates the Workforce Planning activities for each workforce competency.**

Workforce Planning activities in each workforce competency focus on establishing and maintaining competency development plans. Examples of individuals or groups that may be involved in defining and maintaining the competency development plan for a workforce competency may include the following:

- Human resources or other appropriate professionals
- An organizational competency definition or competency management group
- Process engineering groups focused in areas of workforce competency
- Responsible individual(s) housed within a functional unit devoted to a specific workforce competency (e.g., a center of excellence)
- A group of experienced, capable individuals within the competency who form a competency ownership team

Ability 3 **Adequate resources are provided for performing Workforce Planning activities.**

1. Strategic and operational business objectives and plans are made available for developing workforce plans.
2. The organization's workforce competencies are identified.

Refer to the Competency Analysis process area for information regarding developing and maintaining descriptions of workforce competencies.

3. Individuals with expertise in workforce planning and competency development are available for developing workforce plans.

Examples of individuals with expertise in workforce planning and competency development include the following:

- Members of the human resources function or other appropriate professionals
- Members of the training or development functions
- Strategic planners
- Subject matter or domain experts
- Product or technology planning staff
- Executive management

4. Resources for supporting Workforce Planning activities are made available.

Examples of resources to support Workforce Planning activities include the following:

- Planning tools
- Spreadsheets
- Effort estimating tools
- Labor pool analyses and forecasts
- Competency analysis tools
- Other workforce analysis and planning tools

5. Workforce plans are made available to those responsible for planning each unit's workforce activities.
6. Funding to accomplish Workforce Planning activities is made available.
7. Time for Workforce Planning activities is made available.

Ability 4

Individuals performing Workforce Planning activities develop the knowledge, skills, and process abilities needed to perform their responsibilities.

Examples of appropriate guidance or training that may be provided as part of this preparation may include the following:

- Appropriate strategic assignments
- Training in long-range workforce planning
- Training in analyzing competency needs
- Training in planning unit workforce activities
- Training in planning competence development activities

Ability 5

The practices and procedures for performing Workforce Planning 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 coordinating Workforce Planning activities 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 Workforce Planning practices are captured to support the future use and improvement of the organization's practices.

Practices Performed

Practice 1

The current and strategic workforce needs of the organization are documented.

1. The organization's current workforce needs are documented from inputs provided by each unit that identify:
 - the number of people required to accomplish the unit's committed work compared to the number available,
 - the unit's current staffing plan or objectives,
 - the workforce competencies needed to conduct the business activities constituting these commitments compared to the unit's current capability in these workforce competencies, and
 - the unit's anticipated future commitments that have current staffing implications.
2. The strategic workforce needs of the organization are documented from inputs that anticipate the organization's future business activities.

Examples of relevant inputs concerning strategic workforce needs include the following:

- The organization's business strategies, objectives, or plans
- The organization's product and service capabilities
- The organization's competency descriptions
- Anticipated product development or service delivery technologies
- Anticipated work processes and environments
- Anticipated markets and revenues
- Data from benchmarking activities
- Anticipated changes in laws, regulations, and organizational policies

Examples of people with knowledge of the organization's future business needs include the following:

- Executive and line managers
- Experienced individuals
- Technologists
- Strategic planners
- Marketing specialists
- Human resources professionals
- Customer representatives
- External consultants

3. The organization's current capability in each workforce competency is compared to its current and strategic workforce needs to determine staffing and development requirements necessary to satisfy these current and strategic needs.

Refer to Practice 8 of the Competency Analysis process area for information regarding evaluating the organization's capability in each of its workforce competencies.

The organization's strategic workforce needs cannot be developed in a strictly top-down or bottom-up fashion. Although the organization should aggregate the anticipated competency needs of its units, significant changes in the processes or technologies used to perform work can result in units being created, eliminated, or radically reorganized. Therefore, strategic workforce planning must consist of more than a simple aggregation of each unit's needs.

4. The organization selects, from the organization's current and anticipated workforce competencies, those workforce competencies that require action be taken to meet identified staffing and development requirements.
5. The organization documents the list of selected workforce competencies requiring competency development activities in its strategic workforce plan.

Practice 2

Measurable objectives are established for developing the organization's capability in each of its selected workforce competencies.

Examples of measurable objectives for capability in each of the organization's workforce competencies include the following:

- The level of knowledge, skill, and process ability available in each of the organization's workforce competencies
- The rate at which knowledge, skill, and process ability are acquired in each of the organization's workforce competencies
- The deployment of workforce competencies across the organization
- The rate at which individuals develop knowledge, skill, and process ability in multiple workforce competencies
- The rate at which new workforce competencies can be developed and deployed across the organization

Measurable objectives for developing capability in each of the organization's workforce competencies are:

1. Derived from the strategic and operational business objectives and plans.
2. Aggregated at the organizational level into organizational objectives.
3. Reviewed and approved by the appropriate level of management.
4. Included in the appropriate competency development plans.
5. Reviewed periodically and revised, as necessary.

Practice 3**A competency development plan is produced for each of the organization's selected workforce competencies.**

Competency development plans can either be produced as separately documented plans for each workforce competency, or they can be integrated together in the organization's strategic workforce plan. In either case, the plan for each competency should be prepared by individuals with appropriate expertise in both the subject domain of the competency and the workforce activities required to develop it. Competency development plans may also be produced for workforce competencies the organization does not currently possess, but anticipates needing in the future.

1. Competency development plans for each of the organization's selected workforce competencies are developed according to a documented procedure that specifies:
 - the schedule for producing and updating the plan,
 - responsibilities for contributing to or producing the plan,
 - processes to be used in producing and approving the plan, and
 - the information to be included in the plan.
2. The competency development plan for each selected workforce competency is based on:
 - the competency development requirements established by comparing the organization's current level of capability in the competency with the capability needed to accomplish its currently committed work,
 - the strategic needs for this competency based on anticipated future business activities, and
 - the organization's established competency development activities.
3. The competency development plan for each selected workforce competency includes:
 - measurable objectives for developing capability in the workforce competency,
 - the number of people anticipated or required with the needed competency over the period covered by the plan,
 - how the number of people with the competency will be developed or staffed,

Examples of mechanisms through which people with a workforce competency can be developed or staffed include the following:

- Hiring individuals with the competency
- Acquiring an external organization with the competency
- Developing the competency through training
- Motivating the competency through career development and competency-based practices
- Bringing in consultants
- Hiring contractors with the competency
- Outsourcing the work to other firms with the competency

- the internal workforce activities needed to develop the competency,
- the competency development time typically required for individuals to achieve the required level of capability in the workforce competency,

The amount of competency development time needed may vary across different workforce competencies, based on the knowledge, skills, and process abilities required by the workforce competency and each individual's level of capability.

- the resources to perform the workforce activities needed for developing and maintaining the competency,
- how the competency will be maintained or enhanced over time, and
- the rate of change in the knowledge, skills, and process abilities composing this competency needed to support the organization's anticipated business activities.

4. The competency development plan for each selected workforce competency undergoes review by all affected parties.

Examples of parties affected by the development plan for a workforce competency include the following:

- Those responsible for coordinating workforce activities across the organization
- Those responsible for performing and reporting workforce activities, especially those related to competency development
- Those responsible for units or workgroups

5. The organization's competency development plans are incorporated into the organization's strategic workforce plan and provide input to planned workforce activities by units.

Practice 4**Competency development plans are reviewed and revised on a periodic and event-driven basis.**

1. Competency development plans are periodically reviewed and revised with a frequency that matches:
 - anticipated rate of significant changes in the knowledge, skills, and process abilities composing the competency,
 - appropriate opportunities to assess progress in competency development and take corrective actions, or
 - the need to review and revise the organization's strategic workforce plan.
2. Competency development plans are reviewed and revised on an event-driven basis when:
 - rapid changes in business, technology, or other relevant conditions require changes in knowledge, skills, or process abilities composing the competency,
 - changes in committed work or other business activities substantially change the staffing requirements for the competency, or
 - competency development activities are failing to achieve their intended results.
3. Competency development plans are revised according to documented procedures.

Practice 5**The organization establishes and maintains a strategic workforce plan to guide its workforce practices and activities.**

1. The strategic workforce plan is developed using a documented procedure that specifies the:
 - schedule for performing Workforce Planning activities,
 - schedule for periodically reviewing and revising the strategic workforce plan,
 - individuals or groups responsible for different strategic Workforce Planning activities,
 - resources required for the Workforce Planning activities, and

- the process for reviewing and approving Workforce Planning activities by all affected parties and by executive management.
- 2. The strategic workforce plan integrates the competency development plans for each of the organization's selected workforce competencies.
- 3. The strategic workforce plan documents the organization's decisions regarding the mechanisms through which workforce competencies will be developed or provided.

Examples of mechanisms for developing or providing workforce competencies include the following:

- Developing specialists within the competency
- Providing minimal training to all individuals to achieve a base-level competency
- Retraining individuals or groups whose competencies may become obsolete or oversupplied
- Offering growth through graduated career opportunities
- Providing cross-training for selected individuals
- Training selected groups within units
- Adjusting the compensation strategy to motivate development of needed competencies

- 4. The strategic workforce plan provides long-term requirements for growth or shrinkage in various workforce competencies and for guiding the development of competency-based practices.
- 5. The strategic workforce plan provides guidance for planning unit workforce activities.
- 6. The strategic workforce plan includes descriptions of anticipated organizational changes required to attract, develop, motivate, and retain the workforce required to execute its future business.

Examples of organizational changes include adjustments or modifications to the following:

- Workforce practices
- Working conditions or arrangements
- Learning technologies
- Structure of the organization
- Technologies through which work is performed
- Location of the work

7. The strategic workforce plan includes a risk assessment of the organization's ability to attract, recruit, and retain the workforce that will be needed for conducting its future business.
8. The strategic workforce plan is reviewed and revised periodically to reflect changes in the business.

The strategic workforce plan is intended to provide a relatively stable set of workforce objectives for the organization to pursue. Revisions to the plan most likely occur as revisions to competency development plans are made. Revisions to the strategic workforce plan typically only occur in the presence of changes in business conditions or technologies. Under such circumstances, the organization might be better served by redeveloping the plan rather than by merely revising it.

9. The strategic workforce plan provides input to the organization's business plan and strategy concerning the availability of the workforce needed to perform planned or anticipated business activities.

Practice 6

Units plan workforce activities to satisfy current and strategic competency needs.

A unit's workforce activities may be planned at a single time and documented in a single planning document. However, different types of workforce activities within a unit may be planned at different times and be documented in different ways. Some unit-level activities may be documented in plans that are aggregated at higher organizational levels or have been decomposed to actions at lower organizational levels. Plans for different workforce activities may vary in their level of formality, detail, or format. The purpose of planning is to make units proactive in performing activities that provide for their competency needs and provide the documented information needed for strategic workforce planning and tracking at higher levels.

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.

Relevant portions of the unit's performance objectives for developing workforce competencies may be included in the individual performance objectives of those responsible for performing the unit's workforce activities. The unit's performance objectives for developing competencies are reflected in the individual development plans of those whose competencies are to be developed.

2. Units plan their workforce activities to satisfy:
 - the current competency needs of the unit, and
 - their performance objectives relative to the organization's strategic workforce plan.

Examples of objectives for units planning their workforce activities include the following:

- Determining unit staffing, training, and other needs for workforce activities
- Aggregating planned workforce activities of the unit into the workforce plans of higher level units
- Contributing to the organization's understanding and planning of its overall requirements for staffing, training, and other workforce activities
- Implementing workforce activities that contribute to the strategic workforce objectives of the organization

3. Units plan their workforce activities with guidance from the organization that indicates:
 - schedules and events relevant to the unit's workforce activities,
 - resources available to assist in planning or performing the unit's workforce activities,
 - inputs from the organization's strategic workforce plan or other relevant sources,
 - information needed by the organization concerning the unit's workforce needs and activities, and
 - how planning information is to be represented and communicated.
4. Each unit's workforce activities are planned by those accountable for workforce activities within the unit, in collaboration with those responsible for coordinating unit plans with plans or activities at higher organizational levels.
5. Units identify and document their workforce requirements (e.g., staffing levels, competency needs, training requirements, etc.) for the next planning period.

6. Units identify and document unit- and organizational-level activities required to support their current and future workforce needs.

These activities include all workforce responsibilities initiated in the process areas at the Managed Level, in addition to new responsibilities developed in process areas at the Defined Level. Examples of unit-level workforce activities include the following:

- Staffing anticipated open positions
- Performance management activities
- Activities for increasing the unit's workforce competencies, in addition to any training required for performing the specific assignments made in executing the unit's business activities
- Training to be delivered
- Career development activities
- Administering compensation
- Administering recognition and rewards
- Improving the work environment
- Developing workgroups

Examples of organization-level activities that support unit workforce activities include the following:

- Performing organizational recruiting activities
- Organizing training delivery
- Developing career opportunities
- Preparing compensation and reward plans
- Making improvements to the work environment
- Other needed workforce activities

7. Units identify, assess, and document the risks associated with the unit's workforce activities.
8. Plans for each unit's workforce activities and related planning data are documented and maintained.

Practice 7**Units review and revise plans for workforce activities on a periodic and event-driven basis.**

1. Plans for a unit's workforce activities are periodically reviewed and revised with a frequency that matches:
 - the schedule for establishing work commitments and performance objectives,
 - appropriate opportunities to assess progress in planned unit workforce activities, or
 - the need to review and revise the organization's strategic workforce plan.
2. Plans for workforce activities within a unit are reviewed and revised on an event-driven basis when:
 - rapid changes in committed work, technology, or other relevant conditions require changes in competencies or workforce activities,
 - changes in committed work or other business activities substantially change staffing requirements, or
 - planned workforce activities are failing to achieve their intended results.
3. Where appropriate, units revise their plans for workforce activities according to documented procedures.

Practice 8**The organization develops succession plans for its critical positions.**

Succession plans are developed for critical positions within the organization to ensure that qualified individuals with the required knowledge, skills, and process abilities are always available to perform the position's responsibilities.

Critical positions are those positions that, because of the organization's interest in the performance of these positions, it plans for the development and career activities required to provide qualified candidates for filling them. Critical positions include more than just executive and other senior management positions. Certain technical, operational, or business positions may be designated as critical positions because of the difficulty in finding or developing individuals with the knowledge, skills, and process abilities to successfully perform in these positions.

Characteristics of critical positions include the following:

- Has responsibilities that are critical to business success
- Exercises influence, control, or direction over the performance of many other individuals, workgroups, or units
- Requires levels of knowledge, skills, or process abilities that are not readily available or easily obtained in the labor market
- Requires levels of knowledge, skills, or process abilities that are not easily developed by most individuals in relevant workforce competencies
- May require specialized experiences as a component of preparation for the critical position

1. Critical positions are identified.
2. Critical position profiles are developed that provide a description of each position, the competencies required to perform its responsibilities, and critical success factors.
3. A candidate pool for each critical position is developed.
4. For individuals identified through candidate pools, staffing, performance management, training, career development, and similar development activities are based, in part, on succession planning objectives.
5. The progress made by candidates in developing the workforce competencies required for critical positions is tracked.

Practice 9

The organization's performance in meeting the objectives of its strategic workforce plan is tracked.

1. Progress in meeting the objectives of the strategic workforce plan is reviewed periodically with executive management.

2. If results deviate significantly from the objectives documented in the strategic workforce plan, corrective action is taken.

Examples of corrective action include the following:

- Taking specific actions to bring results into compliance with the objectives of the strategic workforce plan
- Reviewing unit workforce plans to ensure they support strategic objectives and revising them when necessary
- Revising workforce objectives or tactics

Practice 10**Progress in meeting the objectives of the competency development plan for each of the organization's workforce competencies is tracked.**

1. For each workforce competency, an individual or group is assigned responsibility for tracking performance against its competency development plan.
2. If results deviate significantly from the competency development plan for a specific workforce competency, corrective action is taken.

Examples of corrective action include the following:

- Taking specific actions to bring results into compliance with the objectives of the competency development plan
- Reviewing results against unit plans or personal development plans to determine if they need to be addressed in growing the competency
- Reviewing competency development capabilities to determine if there are issues of capacity, timeliness, or effectiveness that need to be addressed
- Revising competency development plans

3. Progress against competency plans is reviewed on a periodic basis with executive management.

Practice 11

Each unit's performance in conducting its planned workforce activities is tracked.

1. Each unit periodically reviews its status in performing planned workforce activities.
2. The progress of each unit in executing its planned workforce activities is periodically reviewed at the organizational level.
3. Corrective actions are taken when results deviate significantly from a unit's objectives in performing its planned workforce activities.

Examples of corrective action include the following:

- Taking specific actions to bring results into compliance with the unit's workforce needs and objectives
- Reviewing a unit's planned workforce activities against current unit performance and the organization's strategic workforce plan to determine if revisions are necessary

4. Progress in meeting each unit's objectives in its development plan is periodically reviewed with those responsible for higher level units and those responsible for workforce activities.

Measurement and Analysis

Measurement 1 **Measurements are made and used to determine the status and performance of Workforce Planning activities.**

Examples of measurements include the following:

- Time spent in organizational and unit-level workforce planning
- Number of people involved in Workforce Planning activities
- Effectiveness of meeting milestones in workforce planning
- Effectiveness of achieving the objectives of the strategic workforce plan
- Effectiveness of in performing workforce activities at the organizational and unit levels
- Number of revisions made to workforce plans
- Length of time between workforce planning cycles

Measurement 2 **Unit measures of workforce planning are collected and aggregated at the organizational level.**

1. A historical database of workforce planning data is maintained.
2. Workforce planning data are periodically analyzed to determine trends.

Verifying Implementation

Verification 1 **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.**

These reviews verify that:

1. Workforce Planning activities comply with the organization's policies and stated values.
2. Workforce Planning activities comply with relevant laws and regulations.
3. Workforce Planning activities are performed according to the organization's documented practices and procedures.
4. Noncompliance issues are handled appropriately.
5. Workforce plans are kept current and reflect existing and anticipated organizational conditions and needs.

Verification 2

Executive management periodically reviews the Workforce Planning activities, status, and results; and resolves issues.

These reviews verify:

1. The appropriateness of Workforce Planning activities.
2. The appropriateness of unit planning activities.
3. Progress in performing Workforce Planning activities.
4. Results from reviews of workforce plans against the organization's stated values and appropriate policies.
5. Results from reviews of Workforce Planning practices and activities.

Refer to Verification 1 for information regarding reviews of Workforce Planning activities to ensure adherence to the following:

- Relevant laws and regulations
- Organizational policies, practices, and procedures

6. Status of resolution of noncompliance issues.
7. Trends in the results of planned workforce activities compared to strategic workforce objectives.
8. Effectiveness of Workforce Planning activities in achieving documented plans.

