

The Executive Branch Management Scorecard

Green Light
Must meet all core criteria

Red Light
Has Any One of the
Following Conditions

Standards for Success: Human Capital

- Agency human capital strategy is aligned with mission, goals, and organizational objectives: 1) integrated into Budget and Strategic Plans; 2) consistent with OPM's human capital balanced scorecard (issued by December 1, 2001); and 3) complies with standards for internal accountability systems to ensure effective merit-based HRM.
- Agency has a citizen-centered organizational structure that is de-layered and oriented toward performing the mission assigned to it.
- Agency 1) sustains high-performing workforce that is continuously improving in productivity; 2) strategically uses existing personnel flexibilities, tools, and technology; and 3) implements effective succession plans.
- No skill gaps/deficiencies exist in mission-critical occupations.
- Agency differentiates between high and low performers through appropriate incentive and rewards.
- Changes in agency workforce skill mix and organizational structure reflect increased emphasis on e-government and competitive sourcing.

- Agency human capital strategy is not aligned to support the mission, goals, and organizational objectives: 1) not integrated into Budget and Strategic Plans; 2) not consistent with OPM 's human capital balanced scorecard; and 3) does not comply with standards for internal accountability systems to ensure effective merit-based HRM.
- Agency organizational structure is not citizen-centered and not de-layered.
- Agency does not 1)sustain a high-performing workforce that is continually improving in productivity; 2)strategically use existing personnel flexibilities, tools, and technology; and 3)implement succession plans.
- Skill gaps/deficiencies exist across the agency or in mission-critical occupations.
- Agency fails to reward high performers and fails to address low performance.
- Agency out-sources without training and deploying adequate contract management staff, and/or without appropriate planning to accommodate displaced employees.

Standards for Success -Expanding E-Government

<ul style="list-style-type: none"> • Strategic Value: all major systems investments have a business case that meets the requirements of OMB Circular A-11 (Exhibit 53,Form 300). • IT Program Performance: On average, all major IT projects operating within 90 percent of Form 300 cost, schedule, and performance targets. <p>E-government and GPEA implementation: show department-wide progress or participation in multi-agency initiative in three areas)</p> <ul style="list-style-type: none"> • Citizen one-stop service delivery integrated through Firstgov.gov, cross-agency call centers, and offices or service centers. • Minimize burden on business by re-using data previously collected or using ebXML or other open standards to receive transmissions. • Intergovernmental: Deploying E-grants or Geo-spatial Information one-stop. • Obtaining productivity improvements by implementing customer relationship management, supply chain management, enterprise resource management, or knowledge management best practices. 	<ul style="list-style-type: none"> • Less than 50 percent of major IT investments have a business case per OMB Circular A- 11 (Exhibit 53, Form 300). • On average, all major IT projects operating at less than 70 percent of Form 300 cost, schedule and performance targets. <p>Fulfills not more than one of the following:</p> <ul style="list-style-type: none"> • Citizen one-stop service delivery integrated through Firstgov.gov, cross-agency call centers, and offices or service centers. • Minimize burden on business by re- using data previously collected or using ebXML or other open standards to receive transmissions. • Intergovernmental: Deploying E- grants or Geo-spatial Information one- stop. • Obtaining productivity improvements by implementing customer relationship management, supply chain management, enterprise resource management, or knowledge management best practices.
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Standards for Success - Competitive Sourcing

<ul style="list-style-type: none"> • Completed public-private or direct conversion competition on not less than 50 percent of the full-time equivalent employees listed on the approved FAIR Act inventories. • Competitions and direct conversions conducted pursuant to approved competition plan. • Commercial reimbursable support service arrangements between agencies are competed with the private sector on a recurring basis. 	<ul style="list-style-type: none"> • Completed public-private or direct conversion competition on less than 15 percent of the full-time equivalent employees listed on the approved FAIR Act inventories. • Competitions and direct conversions are not conducted in accordance with approved competition plan. • No commercial reimbursable support service arrangements between agencies are competed with the private sector.
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Standards for Success -Financial Management

<ul style="list-style-type: none"> • Financial management systems meet federal financial management system requirements and applicable federal accounting and transaction standards as reported by the agency head. • Accurate and timely financial information. • Integrated financial and performance management systems supporting day-to-day operations. • Unqualified and timely audit opinion on the annual financial statements; no material internal control weaknesses reported by the auditors. 	<ul style="list-style-type: none"> • Financial management systems fail to meet federal financial management systems requirements and applicable federal accounting standards as reported by the agency head. • Chronic or significant Anti-deficiency Act violations. • Agency head unable to provide unqualified assurance statement as to systems of management, accounting, and administrative controls. • Auditors cite material non-compliance with laws and regulations, or repeat material internal control weaknesses; or are unable to express an opinion on the annual financial statements.
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Standards for Success -Integrating Budget and Performance

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

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