



United States Department of the Interior

OFFICE OF THE SECRETARY
WASHINGTON, D.C. 20240



SEP 17 2008

PERSONNEL BULLETIN NO. 08-13

SUBJECT: Department Policy on Human Capital Accountability

- 1. Introduction:** As America's principal conservation agency, the Department of the Interior is responsible for managing a broad range of lands and resources and is committed to achieving a vast array of missions. An effective workforce is critical to DOI's success and people are the most important element of that success. The Department is committed to managing its workforce and planning its future needs through developing and utilizing workforce competencies and ensuring sound management through a rigorous Human Capital (HC) accountability system that demonstrates results, promotes continuous improvement, and ensures adherence to the merit system principles and other laws and regulations. Only by effectively measuring the results can we adjust the tactics and strategies we use to meet our goals and deliver the best possible performance for the American people.
- 2. Purpose and Scope:** This bulletin updates DOI's policy on HC accountability and program evaluation. It supersedes previous guidance issued under Personnel Management Bulletin No. 06-10, dated September 19, 2006. It reinforces the Department's policy to ensure effective HC management in support of DOI's Strategic Plan and its Strategic Human Capital Management (HC) Plan. It provides the framework for developing a systematic approach to assess Department-wide progress toward achieving the goals outlined in the HC plan and to ensure that the use of Human Resources (HR) authorities complies with the merit system principles, laws and regulations.
- 3. Authorities:**

 - a. 5 U.S. Code 305;
 - b. Civil Service Rule X, as codified in 5 CFR 10.2;
 - c. 5 CFR 250;
 - d. Homeland Security Act of 2002 (P.L. 107-296) Chief Human Capital Officer (CHCO) Act; and
 - e. Delegated Examining Agreement between the United States Office of Personnel Management (OPM) and DOI dated September 20, 2000
- 4. Covered Organizations and Employees:** All DOI Bureaus and equivalent offices are covered by the Department's policy on HC accountability. The Assistant Secretary for Policy, Management and Budget (PMB), Office of Human Resources (OHR) will act as the executive agent for the Department and will be the liaison with

OPM and other Federal agencies on the reporting of all findings and corrective actions required by this plan. PMB OHR will also certify the overall quality of the accountability plan by providing all updates and corrections as required.

5. **Policy:** Top Departmental, Bureau, and equivalent office management, line managers, and HR officials will ensure agency employees are managed efficiently and effectively in support of mission accomplishment and the merit system principles. Agency leadership will establish HC goals and objectives, determine measures for assessing results, establish budgets, identify resources for accountability system operation, and modify initiatives based on the results. The continuous process of monitoring and adjusting goals, measures, budgets and initiatives ensures a systemic approach to accountability. Top leadership support and accountability are assured through DOI's Senior Executive Service (SES) Performance Management System which links individual performance to organizational performance goals and strategic management initiatives. In this way, standards for effective, results-oriented HC management are cascaded through all levels of management.

DOI's Strategic HC Plan, updated in Fiscal Year (FY) 2008, links to DOI's Strategic Plan, articulates the Department's strategic direction, and identifies the major organizational HC initiatives and actions necessary to achieve DOI's performance goals. The Strategic HC Plan identifies the actions DOI and bureaus will take to address the challenges the agency faces over the next 5 years.

The Strategic Plan and the HC Plan were developed collaboratively by the Department and the senior leadership of the Bureaus and equivalent offices. The Human Capital Accountability Plan operationalizes the Department's human capital accountability system. The HC Accountability Plan describes in significant detail the process for ensuring HC accountability at DOI.

6. Roles and Responsibilities for Accountability throughout DOI:

Responsible Official or Group	Main Functions	Human Capital Accountability Tools
Secretary and Deputy Secretary	<ul style="list-style-type: none"> • Establishes overall policies for DOI's program and operations • Chairs the Management Excellence Council (MEC), which provides leadership and direction to implement the Administration's goals and provides overall direction and oversight of the Department's management reform activities, including those related to Human Capital 	<ul style="list-style-type: none"> • Internal and external reports and reviews.

Responsible Official or Group	Main Functions	Human Capital Accountability Tools
Assistant Secretary – Policy, Management and Budget, Chief Human Capital Officer	<ul style="list-style-type: none"> • Discharges the authority of the Secretary for all phases of management, budget and other administrative activities and serves as the principal policy advisor to the Secretary. • Oversees, directs and executes all authorities included in the Chief Human Capital Officers Act • Represents DOI in its relationship with OMB, OPM, and the Merit Systems Protection Board for human resources matters • Ensures that DOI Human Capital initiatives support the Secretary’s and administrations policies • Approves and signs the Annual Human Capital Management Report. 	<ul style="list-style-type: none"> • OMB Human Capital Scorecards • Annual Human Capital Management Report
Deputy Assistant Secretary for Human Capital, Performance and Partnerships	<ul style="list-style-type: none"> • Coordinates efforts to achieve excellence under the President’s Management Agenda (PMA). • Oversees and monitors progress on internal DOI and OPM Scorecards and keeps the MEC and the Department’s Management Initiatives team (MIT) informed on Scorecard ratings. • Ensures that DOI’s Government Performance and Results Act (GPRA) Strategic Plan incorporates DOI’s Strategic Human Capital Management Plan. • Reviews bureau and office budget requests to ensure that they include resources to implement DOI’s Strategic Human Capital Management Plan and that initiatives are consistent and coordinated DOI-wide and support the Administration’s and Secretary’s priorities • Organizes and sets the agenda with the Deputy Secretary for the Management Excellence Council (MEC) • Chairs DOI’s MIT, which oversees implementation of government-wide initiatives and the Secretary’s management improvement initiatives. The MIT also oversees cross-DOI teams responsible for Cooperative Conservation, Partnerships and Collaborative Actions Team and the Facilities and Asset Management Team. 	<ul style="list-style-type: none"> • Internal and OMB Human Capital Scorecards • Bureau and equivalent office budget requests

Responsible Official or Group	Main Functions	Human Capital Accountability Tools
Deputy Chief Human Capital Officer (DCHCO)	<ul style="list-style-type: none"> • Advises and assists the Secretary, Assistant Secretary and other DOI officials in carrying out the agency's responsibilities for selecting, developing, training and managing a high-quality, productive workforce in accordance with merit systems principles. • Implements the rules and regulations of the President and OPM and the laws governing the Federal Service within the agency. • Sets DOI strategic human capital development strategy. • Assesses workforce characteristics and future needs based on DOI's strategic plan and mission. • Aligns DOI's human resources policies and programs with organization mission, strategic goals and performance outcomes. • Develops and advocates a culture of continuous learning to attract and retain employees with superior abilities. • Enhances DOI's capabilities to compete for a fair share of the nation's diverse workforce. • Identifies best practices and benchmarking studies. 	<ul style="list-style-type: none"> • Monthly Human Capital meeting with the CHCO • Performance standards • Annual Human Capital Management Report • Co-chairs the Human Capital Team
Director, Office of Human Resources	<ul style="list-style-type: none"> • Develops and implements policies, procedures, standards and systems for effective utilization and management of the human resources to accomplish the overall DOI mission, with particular focus on achieving DOI's diversity goals. • Oversees development of policy, coordination and administration of the DOI Executive Resources Management Program. • Develops and conducts human resources strategic planning, tactical planning, workforce and succession planning. • Plans, coordinates and monitors major personnel policies and programs for DOI. • Develops and monitors DOI's Human Resources Accountability System and evaluates the effectiveness and efficiency of human resources management in DOI. • Ensures submission of the Human Capital Management Report to OPM. • Follows-up on all issues or problems 	<ul style="list-style-type: none"> • Internal and OPM Human Capital Scorecards • Performance standards • Annual Human Capital Management Report

Responsible Official or Group	Main Functions	Human Capital Accountability Tools
	<p>resulting from OPM and DOI audits or when problems are discovered by other means.</p> <ul style="list-style-type: none"> • Monitors the work of the Accountability Human Resources Board 	
Assistant Secretaries	<ul style="list-style-type: none"> • Exercise Secretarial direction and supervision over the bureaus and equivalent offices. • Oversee assigned bureaus or equivalent offices' selection, development, training and management of a high-quality, highly performing and productive workforce in accordance with merit systems principles. • Serve as members of the MEC 	<ul style="list-style-type: none"> • Internal and OMB Human Capital Scorecard
Deputy Assistant Secretaries	<ul style="list-style-type: none"> • Share responsibilities for Secretarial direction and supervision for bureaus and equivalent offices with Assistant Secretaries (see above for specific bureau and equivalent office responsibilities). • Shares oversight of assigned bureaus and equivalent offices' selection, development, training and management of a high-quality, highly performing and productive workforce in accordance with merit systems principles. • Serve as members of the MIT. May act as co-chairs for the MIT Teams and participate as members of the Co-Chairs Integration Group, ensuring that efforts are coordinated and integrated across the MIT Teams. 	<ul style="list-style-type: none"> • Internal and OMB Human Capital Scorecards
Bureau and Equivalent Office Directors	<ul style="list-style-type: none"> • Responsible for ensuring that bureaus and equivalent offices have the necessary human resources to accomplish the mission. • Oversee bureau and equivalent offices' selection, development, training and management of a high-quality, highly performing and productive workforce in accordance with merit systems principles. • Responsible for ensuring that human capital needs are integrated into the bureau or equivalent offices' budget requests and GPRA operational plans. • Serve as members of the MEC. 	<ul style="list-style-type: none"> • Internal and OMB Human Capital Scorecards • Bureau's and equivalent office's budget requests • Bureau's and equivalent office's GPRA operational plans
Deputy Directors for the Bureaus and Equivalent Offices	<ul style="list-style-type: none"> • Share responsibility for ensuring that bureaus or equivalent offices have the necessary human resources to carry out the mission. 	<ul style="list-style-type: none"> • Internal and OMB Human Capital Scorecards • Performance Standards • Bureau or equivalent office

Responsible Official or Group	Main Functions	Human Capital Accountability Tools
	<ul style="list-style-type: none"> • Oversee bureau or equivalent offices' selection, development, training and management of a high-quality, highly performing and productive workforce in accordance with merit systems principles. • Share responsibility for ensuring that human capital needs are integrated into the bureaus or equivalent offices' budget requests and GPRA operational plans. • Serve as members of the MIT. May act as co-chairs for MIT Teams and participate as members of the Co-Chairs Integration Group, ensuring that efforts are coordinated and integrated across MIT Teams. 	<ul style="list-style-type: none"> • budget requests • Bureau or equivalent office GPRA operational plans
Bureau or Equivalent Office Human Resources Officers	<ul style="list-style-type: none"> • Ensure bureaus or equivalent offices' selection, development, training and personnel practices are in accordance with merit systems principles. • Designate staff member(s) to participate on the Accountability Human Resources Board. • Designate team members to conduct accountability reviews. • Follow-up on all issues or problems resulting from OPM and DOI audits or when problems are discovered by other means. 	<ul style="list-style-type: none"> • Internal and OMB Human Capital Scorecards • Performance Standards
Bureau or Equivalent Office Budget Officers	<ul style="list-style-type: none"> • Ensure that bureaus or equivalent offices' budget requests include resources to implement DOI's Strategic Human Capital Management Plan consistent with the Administration's and the Secretary's priorities. 	<ul style="list-style-type: none"> • Bureau or equivalent budget request • Performance Standards
Managers and Supervisors	<ul style="list-style-type: none"> • Select, develop, and train employees in accordance with merit systems principles. • Follow-up on all issues or problems resulting identified through OPM and DOI audits or through other means. 	<ul style="list-style-type: none"> • Performance Standards
Management Excellence Council (MEC)	<ul style="list-style-type: none"> • Provides leadership direction. • Accountable for implementing the Administration's goals and providing overall executive direction and oversight of DOI's management reform activities, including those related to the strategic management of human capital. • Oversees activities of the MIT. 	<ul style="list-style-type: none"> • Internal and OPM Human Capital Scorecards
Management Initiatives Team	<ul style="list-style-type: none"> • Chaired by the Deputy Assistant Secretary for Performance, Accountability and 	<ul style="list-style-type: none"> • Internal and OPM Human Capital Scorecards

Responsible Official or Group	Main Functions	Human Capital Accountability Tools
(MIT)	<p>Human Resources, and comprised of assistant secretaries, deputy assistant secretaries and bureau and equivalent office deputy directors</p> <ul style="list-style-type: none"> • Supports the MEC and oversees implementation of the PMA and the Secretary's management improvement initiatives, including implementation of the DOI's Strategic Human Capital Management Plan. • Provides advice on proposed actions related to Human Capital and ensures implementation of the President's and Secretary's management initiatives in an integrated manner across the bureaus and equivalent offices. • Reviews and recommends approval of provisions of the internal DOI Human Capital Scorecard. • Monitors internal and external scorecards results; and results from the reviews. 	<ul style="list-style-type: none"> • Human Capital issues presented by assistant secretaries, and deputy assistant secretaries
Human Capital Team (HCT)	<ul style="list-style-type: none"> • A sub-team of the MIT composed of executive level managers of the bureaus and equivalent offices who are responsible for the broad range of human capital issues. Co-chairs include an MIT member, the Deputy Chief Human Capital Officer and one bureau or equivalent office associate director • Works to transform the Strategic Human Capital Management Plan into action. • Coordinates and monitors implementation of cross-DOI human capital actions. • Develops and recommends for approval the Human Capital Scorecard that measures the progress and impact of actions. • Reports progress to the MIT. • Collaborates across DOI with senior managers, human resources managers and program managers. 	<ul style="list-style-type: none"> • Internal and OMB Human Capital Scorecards
Accountability Program Manager	<ul style="list-style-type: none"> • Chair of the Accountability Human Resources Board • Develops checklists, guides and other tools associated with conducting accountability reviews. • Develops the annual Human Capital Management Report. 	<ul style="list-style-type: none"> • Internal and OMB Human Capital Scorecards • Performance standards • Annual Human Capital Management Report

Responsible Official or Group	Main Functions	Human Capital Accountability Tools
	<ul style="list-style-type: none"> • Follow-up on all issues or problems resulting from OPM and DOI audits or when problems are discovered by other means. • Manages DOI's multi-year accountability review schedule. 	
<p>Accountability Human Resources Board</p>	<ul style="list-style-type: none"> • Chaired by the Accountability Program Manager or other staff member from the Office of the Deputy Assistant Secretary for Human Capital, Performance and Partnerships • Composed of staff members designated by each of the bureaus and equivalent offices. • Works with Department's Accountability Program Manager to establish DOI's Accountability audit activity requirements, as delineated by DOI, OPM. • Works with Department's Accountability Program Manager to develop or edit documents and plans related to HC Accountability audits, including review tools, such as surveys, questionnaires, and compliance checklists. • Works with Department's Accountability Program Manager to establish and monitor the annual HC Accountability audit schedule for all bureaus and equivalent offices. • Monitors the compliance of corrective actions reported by HC Accountability audit teams within their respective bureaus or equivalent offices. 	<ul style="list-style-type: none"> • Internal and OMB Human Capital Scorecards • Performance standards • Annual Human Capital Accountability Report • Human Capital Accountability Plan
<p>Accountability Audit Team</p>	<ul style="list-style-type: none"> • Composed of HR staff members from respective bureaus or equivalent offices who work independently, i.e., not in the supervisory chain, from the HR operations under review. • Evaluates and reports on HR performance of bureau or equivalent offices. • Follows-up on all issues or problems resulting from OPM and DOI audits or when problems are discovered by other means. 	<ul style="list-style-type: none"> • Internal and OMB Human Capital Scorecards • Performance standards • Annual Human Capital Accountability Report • Human Capital Accountability Plan

7. **Accountability System.** The Department's HC Accountability system ensures coverage across the Human Capital Assessment and Accountability Framework (HCAAF) implementation systems. These implementation systems will be reviewed

throughout the Department to ensure mission alignment, program effectiveness, process efficiency, and merit system compliance.

The desired outcomes of DOI's HC accountability system are to:

- a. Ensure that HC goals and programs are aligned with and support DOI's mission;
 - b. Ensure that HC planning is guided by a data driven, results-oriented process;
 - c. Ensure that managers and HR officials are held accountable for their HC decisions and actions;
 - d. Document an approach that periodically analyzes HC data to assess results or progress toward goal achievement;
 - e. Assess the effectiveness and efficiency of DOI's HR management function;
 - f. Ensure agency HC programs and policies adhere to merit system principles and other pertinent laws and regulations;
 - g. Provide for periodic evaluation of HC and HR activities throughout DOI, including independent accountability audits of HR transactions;
 - h. Address issues or problems identified during accountability audits or through other means;
 - i. Ensure HC results and merit system compliance are determined and reported to management and OPM; and
 - j. Use assessments to promote continuous improvement as reflected by updates to HC activities and plans.
- 8. Agency Accountability Activities and Methodology:** The Department's HR management programs, practices, and procedures will be reviewed annually using two systematic methodologies, i.e., DOI's internal HC Scorecard and independent HC Accountability audits.
- a. **Internal HC Scorecard.** DOI's HC Scorecard is a dynamic document used to establish, track and report the progress of bureaus and offices toward achieving the desired outcomes in the Strategic HC Plan and the HCAAF. These outcomes have been agreed upon by DOI stakeholders responsible for HC management.
 1. Semi-annually, Bureaus and equivalent offices will assess themselves against DOI's internal HC Scorecard criteria and provide a proposed

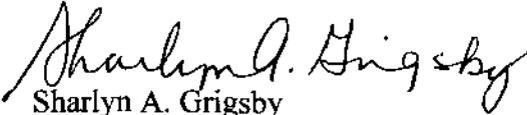
rating and documentation on data used to arrive at the rating to the Deputy Assistant Secretary for Performance, Accountability and for the Human Capital, Performance and Partnerships Human Resources. The Department's OHR will review the proposed ratings, assess the documentation used to arrive at the ratings, and provide feedback to the bureaus and equivalent offices. Based on the feedback, bureaus, equivalent offices, and the OHR will jointly decide the final ratings. If consensus on a joint rating cannot be reached, the Deputy Assistant Secretary for Performance, Accountability and Human Resources will assign and approve the final rating based on consultations with the director of the bureau or equivalent office. If a rating is below the "green" level on the internal HC Scorecard, the bureau or equivalent office will identify the actions it will take to improve the score.

2. DOI's internal HC Scorecard results will be reported to the CHCO semi-annually. The OMB HC Scorecard results will be reported quarterly. The results of both HC scorecards will be reported to the MIT.
 3. The Deputy Assistant Secretary for Performance, Accountability and Human Resources will use the results of the internal HC Scorecards to assess progress towards goals and work with assistant secretaries and the directors of the bureaus and equivalent offices to develop performance improvement plans where appropriate for the next rating period; determine DOI-wide trends and assess ways to address performance issues across Bureaus and equivalent offices; and adjust the Strategic HCM Plan, as appropriate.
 4. Assistant secretaries and the directors of bureaus and equivalent offices will use the results to measure progress towards goals and measure performance for managers with responsibility for individual measures; develop Scorecard Improvement Plans where necessary; and track progress in achieving provisions of the plans. Finally, the assistant secretaries and directors will develop appropriate plans and seek budgetary resources to support their plans.
- b. **HC Accountability Audits.** The Department and its Bureaus and equivalent offices will conduct regular and recurring accountability reviews of HR programs and functions to assess support of mission accomplishment, effectiveness of HR programs, efficiency of HR processes, and programmatic and transactional compliance with statutory and regulatory requirements. Reports will be prepared following completion of each review. These reports will be provided to the site visited and appropriate bureau or equivalent office leadership and to DOI's OHR. The results of Department-wide HR programmatic reviews will be reported to the MIT.

1. **Selection of Program Emphasis Areas.** HR program and functional areas under review may be established annually by the Department in coordination with the requirements of the HCAAF, DOI's strategic HC goals, and/or other areas of high interest. At a minimum, coverage will be focused on areas in the categories of Results-Oriented Performance Culture, Leadership and Knowledge Management, and Talent (including Delegated Examining).
 2. **Pre-Review Activities.** Audit teams will collect, review, and analyze HR information from: 1) results of the Federal Human Capital Survey (FHCS) and/or DOI's Annual Employee Survey; 2) the Federal Personnel and Payroll System (FPPS) database; and 3) results and findings from previous audits and third party reviews.
 3. **Records Reviews.** Audit teams will conduct reviews of HR records, including Official Personnel Folders, merit staffing case files, delegated examining case files, and Employee Performance Files to determine statutory, regulatory and procedural compliance.
 4. **Group Interviews.** Audit teams will conduct group interviews with managers, supervisors, employees, and HR staff to gather information on the status of current HR programs. Questions will be developed to collect additional or clarifying information obtained during the data collection and analysis phase, such as survey data, FPPS data, and findings from previous audits and third party surveys. The team will also capture perceptions and best practices and information on workforce planning.
 5. **In and Out Brief.** Each audit team conducts an in-brief and out-brief for the organization being reviewed. Participation is at the discretion of the audit team leader and the organization under evaluation.
9. **Reporting Corrective and Improvement Actions:** Following the on-site accountability review, the accountability team leader will provide a report to the respective Human Resources Officer and the Department's OHR within 90 calendar days. The report will include evaluation findings; required actions and a description of the steps taken to address any violations of laws, regulations, or policies; and recommendations to strengthen or improve HR management, process and activities. The HR Officer must develop a corrective action plan to address required and recommended actions and submit it to the review team lead with a copy to the Department's OHR usually within 60 calendar day from the receipt of the report. The Department's OHR will maintain records that document what action(s) were taken to address issues that were brought up in the review.
10. **Annual Human Capital Management Report to OPM.** During the first quarter of the Fiscal Year DOI will prepare a Human Capital Management Report (HCMR)

which will summarize all HC Accountability activities that occurred during the fiscal year. The report will be developed based on input from senior leadership, the HCT, DOI's internal HC Scorecard, and Accountability Review reports, and other relevant HC activities. The report will be issued Department-wide by the CHCO. The report will contain information required by OPM to include, at a minimum, metrics and results achieved in major HC activities and programs, a synopsis of findings and recommendations of accountability reviews, and results of employee surveys. The report will also contain the CHCO's HC management improvement and action plans that stem from the assessment of the year's HC activities. The CHCO will provide a copy of the report to OPM.

11. Point-of-Contact: The Department point-of-contact on this policy is Lin Cord, who can be reached by telephone at (202) 208-6428, or via e-mail at <Lin_Cord@ios.doi.gov>.


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