

# HUMAN CAPITAL ACCOUNTABILITY SYSTEM

## Introduction

The U.S. Department of the Interior (DOI) is committed to planning its future workforce needs, developing and using the skills and abilities of its workforce in effective and productive ways, and ensuring human capital management accountability. Optimum performance and mission accomplishment can only be reached through the efforts of employees.

Human Capital Accountability is achieved through:

- Recognition of the importance of human capital in the accomplishment of DOI's mission by DOI's managers and employees
- Achievable human capital actions and milestones
- Clearly defined roles and responsibilities
- Good communication with all employees and managers on human capital actions and milestones
- Achievement of desired outcomes

Human capital accountability starts with top level management and includes managers at all levels of DOI. DOI's leadership establishes human capital goals and objectives, determines measures, establishes budgets, and modifies initiatives based on the results. The continuous process of monitoring and adjusting goals, measures, budgets and initiatives insures a systemic approach to accountability. Top leadership support and accountability is ensured through DOI's Senior Executive Service (SES) Performance Management System which links performance plans to organizational performance goals and strategic management initiatives.

## Authority

Executive Order 13197, Government Accountability for Merit System Principles: Workforce Information, dated January 18, 2001, established Civil Service Rule X, giving the U.S. Office of Personnel Management (OPM) authority to require agencies to establish an HRM accountability system. OPM memorandum of January 4, 2002, Subject: *HRM Accountability*, requires that agencies develop an internal human resource accountability system. To meet the requirements set forth in the OPM memorandum, DOI established this Human Capital Management Accountability System to improve human capital management practices and create a high-performing workplace.

## Department of the Interior Accountability Process

The U.S. Department of the Interior's Strategic Human Capital Management Plan, published in September 2002, is linked to DOI's Strategic Plan, which articulates the DOI's strategic direction and measurable workforce performance goals. The Strategic Human Capital Management Plan identifies the actions DOI and bureaus will take to ensure the people who

carry out DOI's mission have the right skills, in the right places, at the right time. The Strategic Human Capital Management Plan identifies the major organizational human capital initiatives and actions necessary to achieve DOI's performance goals. Both the Strategic Plan and the Strategic Human Capital Management Plan were developed collaboratively by DOI and bureau senior leadership.

The U.S. Department of the Interior Strategic Human Capital Management Implementation Plan: *Planning for Action – Achieving Results*, is the document that puts forth the specific initiatives, actions, and milestones to achieve the goals of the Strategic Human Capital Management Plan. The Implementation Plan was developed to align with the OPM Human Capital Assessment and Accountability Framework (HCAAF) established to guide federal agencies in their transformation of human capital efforts.

### **DOI Human Capital Scorecard**

The U.S. Department of the Interior Human Capital Scorecard is the vehicle used to track and report bureau and office progress towards the desired outcomes of the Strategic Human Capital Management Plan and HCAAF. (The latest version of the Department of the Interior Human Capital Scorecard can be viewed on DOI's Human Resources Management web site, <http://www.doi.gov/hrm/>). The Scorecard is a dynamic document for internal use in tracking and reporting progress towards strategic human capital outcomes. The outcomes have been agreed upon by DOI stakeholders responsible for human capital management.

Semi-annually, bureaus and the National Business Center (NBC) will assess themselves against the scorecard criteria providing a proposed rating (and documentation on data used to arrive at the rating) to the Office of Personnel Policy. The Office of Personnel Policy will review the proposed ratings, assess the documentation used to arrive at the ratings, and provide feedback to the bureaus. Based upon the feedback, the bureau or NBC and Office of Personnel Policy will jointly settle on the final ratings. If a joint rating cannot be reached, the Deputy Assistant Secretary for Human Resources and Workforce Diversity (DAS-HR/WD) will assign and approve the final rating based on consultations with the bureau director. If a rating is below green, the bureaus will identify the actions they will take to improve their score.

Internal DOI scorecard results will be reported by the DAS-HR/WD to the Assistant Secretary for Policy, Management and Budget/Chief Human Capital Officer (AS-PMB/CHCO) and the Deputy Assistant Secretary for Performance and Management (DAS-PM) semi-annually. The Office of Management and Budget (OMB) Scorecard results will be reported quarterly. Through the DAS-PM, the results will also be reported to the Management Initiatives Team (MIT).

The AS-PMB/CHCO and the DAS-HR/WD will use the results to:

- Assess progress towards goals and work with assistant secretaries and bureau/office directors 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/offices; and
- Adjust the Strategic Human Capital Management Implementation Plan as appropriate.

Assistant secretaries and bureau directors 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; and
- Develop appropriate plans and seek budgetary resources to support their plans.

In addition to the mandatory metrics included under the “Key Indicator” area for each measure, bureaus and offices are also encouraged to use the optional metrics and Federal Human Capital Survey (FHCS) questions included on each measure.

**Roles and Responsibilities**

<b>Responsible Official/Group</b>	<b>Main Functions</b>	<b>Human Capital Accountability Tools</b>
Secretary/Deputy Secretary	<ul style="list-style-type: none"> <li>• Establishes overall policies for DOI’s programs and operations.</li> <li>• 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.</li> </ul>	<ul style="list-style-type: none"> <li>• Internal and OMB Human Capital Scorecards</li> </ul>
Assistant Secretary – Policy, Management and Budget/ Chief Human Capital Officer	<ul style="list-style-type: none"> <li>• Oversees, directs, and executes all authorities related to human resources that are otherwise vested in the Secretary by statute.</li> <li>• Oversees, directs, and executes all authorities included in the Chief Human Capital Officer Act.</li> <li>• 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.</li> </ul>	<ul style="list-style-type: none"> <li>• Internal and OMB Human Capital Scorecards</li> <li>• Scorecard Improvement Plans</li> <li>• President’s Management Agenda (PMA) Tracking System</li> <li>• Monthly Human Capital meeting with DAS – HR/WD</li> </ul>

Responsible Official/Group	Main Functions	Human Capital Accountability Tools
	<ul style="list-style-type: none"> <li>• Organizes and sets the agenda with the Secretary for the MEC.</li> <li>• Represents DOI in its relationships with OMB, OPM, and the Merit Protection Board for human resources matters.</li> <li>• Chairs DOI’s MIT, which oversees implementation of the PMA government-wide initiatives and the Secretary’s management improvement initiatives. The MIT also oversees cross-DOI teams responsible for each of the five areas of the PMA, as well as the 4C’s, Partnerships and Collaborative Actions Team and the Facilities and Asset Management Team.</li> </ul>	<ul style="list-style-type: none"> <li>• Quarterly scorecard reviews with assistant secretaries and their respective bureau directors and the DAS- PM</li> <li>• Human Capital Status Report</li> </ul>
<p>Deputy Assistant Secretary – Human Resources and Workforce Diversity</p>	<ul style="list-style-type: none"> <li>• Advises and assists the Secretary, the AS-PMB/CHCO, 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.</li> <li>• Implements the rules and regulations of the President and OPM and the laws governing the Civil Service within the agency.</li> <li>• Sets the DOI workforce development strategy</li> <li>• Assesses workforce characteristics and future needs based on DOI’s strategic plan and mission.</li> <li>• Aligns DOI’s human resources policies and programs with organization mission, strategic goals, and performance outcomes.</li> <li>• Develops and advocates a culture of continuous learning to attract and retain employees with superior abilities.</li> <li>• Enhances DOI’s capability to compete for a fair share of the nation’s diverse workforce.</li> <li>• Identifies best practices and benchmarking studies.</li> <li>• Applies methods for measuring intellectual capital and identifying links of that capital to organizational performance and growth.</li> </ul>	<ul style="list-style-type: none"> <li>• Internal and OMB Human Capital Scorecards</li> <li>• Scorecard Improvement Plans</li> <li>• Monthly Human Capital meeting with the AS-PMB/CHCO</li> <li>• PMA Tracking System</li> <li>• Performance standards</li> <li>• Human Capital Status Report</li> </ul>

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<p>Director, Office of Personnel Policy</p>	<ul style="list-style-type: none"> <li>• 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.</li> <li>• Oversees development of policy, coordination, and administration of the DOI’s Executive Resources Management Program.</li> <li>• Develops and conducts human resources strategic planning, tactical planning, workforce and succession planning.</li> <li>• Plans, coordinates and monitors major personnel policies and programs for DOI</li> <li>• Develops and monitors DOI’s Human Resources Accountability System, and evaluates the effectiveness and efficiency of human resources management in DOI.</li> </ul>	<ul style="list-style-type: none"> <li>• Internal and OMB Human Capital Scorecards</li> <li>• Performance standards</li> <li>• PMA Tracking System</li> <li>• Human Capital Status Report</li> </ul>
<p>Deputy Assistant Secretary – Performance and Management</p>	<ul style="list-style-type: none"> <li>• Oversees and monitors progress on internal DOI and OMB scorecards and keeps the AS-PMB/CHCO, the MEC and the MIT informed on scorecard ratings.</li> <li>• Ensures that DOI’s GPRA Strategic Plan incorporates DOI’s Strategic Human Capital Management Plan.</li> </ul>	<ul style="list-style-type: none"> <li>• Internal and OMB Human Capital Scorecards</li> <li>• PMA Tracking System</li> <li>• Quarterly scorecard reviews with the AS-PMB/CHCO, Assistant Secretaries and their respective Bureau Directors</li> </ul>
<p>Deputy Assistant Secretary – Budget and Finance/Office of Budget</p>	<ul style="list-style-type: none"> <li>• Works with bureaus, reviews and coordinates bureau and office budget submissions to ensure that resources are requested to implement DOI’s Strategic Human Capital Management Plan and that Human Capital strategies are coordinated and consistent.</li> <li>• Ensures that DOI Human Capital initiatives support the Secretary’s and Administration’s priorities.</li> </ul>	<ul style="list-style-type: none"> <li>• Bureau and office budget requests</li> </ul>

<b>Responsible Official/Group</b>	<b>Main Functions</b>	<b>Human Capital Accountability Tools</b>
Assistant Secretaries	<ul style="list-style-type: none"> <li>• Exercise Secretarial direction and supervision over the following bureaus:                             <ul style="list-style-type: none"> <li>▪ Assistant Secretary – Land and Minerals Management – Bureau of Land Management, Minerals Management Service, Office of Surface Mining Reclamation and Enforcement</li> <li>▪ Assistant Secretary – Indian Affairs – Bureau of Indian Affairs</li> <li>▪ Assistant Secretary – Fish and Wildlife and Parks – Fish and Wildlife Service and National Park Service</li> <li>▪ Assistant Secretary – Water and Science – Bureau of Reclamation and U.S. Geological Survey</li> </ul> </li> <li>• Oversee assigned bureaus’ selection, development, training, and management of a high-quality, productive workforce in accordance with merit systems principles.</li> <li>• Serve as members of the MEC.</li> </ul>	<ul style="list-style-type: none"> <li>• Internal and OMB Human Capital Scorecards</li> <li>• Scorecard Improvement Plans</li> <li>• PMA Tracking System</li> <li>• Quarterly meetings to review scorecard results with AS-PMB/CHCO and DAS-PM</li> </ul>
Deputy Assistant Secretaries	<ul style="list-style-type: none"> <li>• Share responsibilities for Secretarial direction and supervision for bureaus with Assistant Secretaries (see above for specific bureau responsibilities).</li> <li>• Shares oversight of assigned bureaus’ selection, development, training, and management of a high-quality, productive workforce in accordance with merit systems principles.</li> <li>• Participate 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.</li> </ul>	<ul style="list-style-type: none"> <li>• Internal and OMB Human Capital Scorecards</li> <li>• Scorecard Improvement Plans</li> <li>• PMA Tracking System</li> <li>• Quarterly meetings to review scorecard results with AS-PMB/CHCO and DAS-PM</li> </ul>
Bureau/Office Directors	<ul style="list-style-type: none"> <li>• Responsible for ensuring that bureau has human resources needed to carry out the bureau’s/office’s mission.</li> <li>• Oversee bureau’s/office’s selection, development, training, and management of a high-quality, productive workforce in accordance with merit systems principles.</li> </ul>	<ul style="list-style-type: none"> <li>• Internal and OMB Human Capital Scorecards</li> <li>• Scorecard Improvement Plans</li> <li>• PMA Tracking System</li> </ul>

Responsible Official/Group	Main Functions	Human Capital Accountability Tools
	<ul style="list-style-type: none"> <li>• Responsible for ensuring that human capital needs are integrated into the bureau/office budget requests and GPRA operational plans.</li> <li>• Serve as members of the MEC.</li> </ul>	<ul style="list-style-type: none"> <li>• Quarterly meetings to review scorecard results with AS-PMB/CHCO and DAS-PM</li> <li>• Bureau/office budget requests</li> <li>• Bureau/office Government Performance and Results Act (GPRA) operational plans</li> </ul>
Deputy Bureau/Office Directors	<ul style="list-style-type: none"> <li>• Share responsibility for ensuring that bureau has human resources needed to carry out the bureau's/office's mission.</li> <li>• Oversee bureau's/office's selection, development, training, and management of a high-quality, productive workforce in accordance with merit systems principles.</li> <li>• Shares responsibility for ensuring that human capital needs are integrated into the bureau/office budget requests and GPRA operational plans.</li> <li>• Participate 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.</li> </ul>	<ul style="list-style-type: none"> <li>• Internal and OMB Human Capital Scorecards</li> <li>• Scorecard Improvement Plans</li> <li>• PMA Tracking System</li> <li>• Quarterly meetings to review scorecard results with AS-PMB/CHCO and DAS-PM</li> <li>• Performance Standards</li> <li>• Bureau/office budget requests</li> <li>• Bureau/office GPRA operational plans</li> </ul>
Bureau/Office Human Resources Officers	<ul style="list-style-type: none"> <li>• Ensure bureau's/office's selection, development, training, and personnel practices are in accordance with merit systems principles.</li> </ul>	<ul style="list-style-type: none"> <li>• Internal and OMB Human Capital Scorecards</li> <li>• Scorecard Improvement Plans</li> <li>• PMA Tracking System</li> <li>• Performance Standards</li> </ul>

<b>Responsible Official/Group</b>	<b>Main Functions</b>	<b>Human Capital Accountability Tools</b>
Bureau/Office Budget Officers	<ul style="list-style-type: none"> <li>• Ensure that bureau's/office's budget request includes sufficient resources to implement DOI's Strategic Human Capital Management Plan consistent with the Administration's and the Secretary's priorities.</li> </ul>	<ul style="list-style-type: none"> <li>• Bureau/office budget request</li> <li>• Performance Standards</li> </ul>
Managers	<ul style="list-style-type: none"> <li>• Select, develop, and train employees in accordance with merit systems principles and in accordance with the DOI's Diversity Plan.</li> </ul>	<ul style="list-style-type: none"> <li>• Performance Standards</li> </ul>
Management Excellence Council (MEC)	<ul style="list-style-type: none"> <li>• The Council provides leadership, direction, and is 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.</li> </ul>	<ul style="list-style-type: none"> <li>• Internal and OMB Human Capital Scorecards</li> <li>• Scorecard Improvement Plans</li> <li>• PMA Tracking System</li> </ul>
Management Initiatives Team (MIT)	<ul style="list-style-type: none"> <li>• The MIT is chaired by the AS-PMB, and is comprised of assistant secretaries, deputy assistant secretaries, bureau deputy directors.</li> <li>• The MIT supports the MEC and oversees implementation of the PMA government-wide and the Secretary's management improvement initiatives, including implementation of the DOI's Strategic Human Capital Management Plan.</li> <li>• 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 bureaus.</li> <li>• Reviews and recommends approval of provisions of the internal DOI Human Capital Scorecard.</li> <li>• Monitors internal and external scorecards results.</li> <li>• Oversees activities of the MIT Human Capital Team.</li> </ul>	<ul style="list-style-type: none"> <li>• HC Scorecard</li> <li>• PMB HC Scorecard</li> <li>• Quarterly Updates on Strategic Human Capital Management Plan actions</li> <li>• HC issues presented by assistant secretaries, deputy assistant secretaries, or Human Capital Team (HCT)</li> <li>• Internal and OMB Human Capital Scorecards</li> <li>• Scorecard Improvement Plans</li> <li>• PMA Tracking System</li> <li>• Human Capital Status Report</li> </ul>

<b>Responsible Official/Group</b>	<b>Main Functions</b>	<b>Human Capital Accountability Tools</b>
Human Capital Team (HCT)	<ul style="list-style-type: none"> <li>• The HCT is composed of members of the MIT or their designees who are responsible for Human Capital issues. Members serve under the direction of the MIT to transform the Strategic Human Capital Management Plan and Implementation Plan into actions.</li> <li>• Coordinates and monitors implementation of cross-DOI human capital actions.</li> <li>• Develops and recommends for approval the Human Capital Scorecard that measures the progress and impact of actions.</li> <li>• Reports progress to the MIT.</li> <li>• Collaborates across DOI with senior managers, human resources managers, and program managers.</li> </ul>	<ul style="list-style-type: none"> <li>• Internal and OMB Human Capital Scorecards</li> <li>• Scorecard Improvement Plans</li> <li>• PMA Tracking System</li> <li>• Human Capital Status Report</li> </ul>

**References**

Rule X for Executive Order 13197, Government Accountability for Merit System Principles: Workforce Information

U.S. Department of the Interior Strategic Plan

U.S. Department of the Interior Strategic Human Capital Management Plan

U.S. Department of the Interior Planning for Action – Achieving Results, Strategic Human Capital Management Implementation Plan

OPM Human Capital Assessment and Accountability Framework

U.S. Department of the Interior Human Capital Scorecard

**Appendix**

Organizing for Management Excellence at the Department of the Interior