



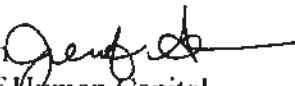
United States Department of the Interior

OFFICE OF THE SECRETARY
Washington, DC 20240

SEP 16 2019

Memorandum

To: DOI Bureau/Equivalent Office Human Resources Officers

From: Jennifer Ackerman 
Director, Office of Human Capital
Deputy Chief Human Capital Officer

Subject: Personnel Bulletin 19-10
Department of the Interior Policy on Human Capital Accountability and Program Evaluation

The Office of Human Capital is issuing a new Personnel Bulletin to all Department of the Interior Human Resources Offices to update the Human Capital Accountability and Program Evaluation Policy, dated September 17, 2008. The new updated policy provides background information on the transition from five human capital systems to four, describes the roles and responsibilities of key stakeholders and the methodology on Evidence-Based Evaluations.

All Bureaus/Offices must follow this updated policy, effective immediately. If you have any questions, please contact LaVonda Jay by email at lavonda_jay@ios.doi.gov or by phone at (202) 250-9140.

Attachment:



United States Department of the Interior

OFFICE OF THE SECRETARY
Washington, DC 20240

SEP 16 2019

PERSONNEL BULLETIN NO. 19-10

SUBJECT: Human Capital Accountability and Program Evaluation

1. Background. The Department of the Interior (DOI) is America's principle conservation agency responsible for managing a broad range of lands, resources and cultural heritage and is committed to achieving a vast array of missions. An Effective workforce is vital to achieve these missions and to DOI's success. DOI is committed to managing its workforce through effective Human Capital Management that has a rigorous Human Capital Accountability and Evaluation System. This system will demonstrate results, promote continuous process improvement, leverage data analytics, and ensure adherence to merit system principles and other Federal laws and regulations. By effectively leveraging data and measuring results can human capital strategies and tactics adjust to meet DOI's strategic goals and allow DOI to deliver the best possible service to the American public.

2. Purpose and Scope. The purpose of the U.S. Department of the Interior (DOI) Accountability System is to ensure we are effectively and efficiently accomplishing our human capital (HC) goals and objectives in alignment with the DOI's Strategic Plan and to ensure that our HC policies, programs, practices, and operations adhere to the merit system principles and other Federal personnel laws and regulations.

The revision of 5 CFR 250 requires DOI to align its human capital strategies with its strategic plan, and transition from five human capital systems to four based on the restructuring of the Human Capital Assessment and Accountability Framework to the Human Capital Framework (HCF). The four systems of the HCF are as follows: Strategic Planning and Alignment, Talent Management, Performance Culture, and Evaluation. The revision also requires DOI to assess its HC program performance through the HCF, which consists of three methodologies: HRStat, the Independent Audit Program, and Human Capital Reviews.

Through our comprehensive strategic and performance planning process, HC accountability responsibilities are shared throughout all levels of DOI. The scope of the HC Accountability System covers human resources (HR) operations and includes ensuring effective HC management; assessing program performance in key HR delivery systems; and ensuring proper use of delegated personnel authority consistent with applicable Federal HR laws, rules and regulations.

This personnel bulletin updates the current DOI policy on HC accountability and program evaluation. It supersedes previous guidance issued under Personnel Bulletin No. 08-13, dated September 17, 2008. It reinforces DOI's policy to ensure effective strategic HC management in support of DOI's Strategic Plan, Human Capital Operations Plan (HCOP),

and Annual Performance Plan. It also provides guidance on taking a systematic approach to assess progress in achieving the HC goals, as well as ensuring DOI's use of HR authorities, comply with Federal laws, regulations, and the merit system principles.

3. Authorities. The DOI HC Accountability System is designed to support the authorities related to the establishment and operation of a HC accountability system, including:

- Title 5 of the United States Code, Section 305;
- Civil Service Rule X, as codified in Title 5 of the Code of Federal Regulations (CFR) Part 10.2;
- 5 CFR Part 250 Subpart B
- Chief Human Capital Officers (CHCO) Act of 2002, enacted as part of the Homeland Security Act of 2002 (P.L. No. 107-296);
- Office of Management and Budget Circular No. A-11 dated July 2010;
- Government Performance and Results Modernization Act of 2010;
- Delegated examining authority;
- Evidence-Based Policy Making Act of 2018.

4. Scope and Applicability. This bulletin covers all bureaus and equivalent offices of DOI. The Assistant Secretary for Policy, Management and Budget (PMB), the Deputy Secretary for Human Capital and Diversity (DAS/HCD), and the Director of the Office of Human Capital (OHC) will act as the executive agents for DOI. OHC will collaborate with the U.S. Office of Personnel Management (OPM) and accountability program representatives from the bureaus and equivalent offices on the implementation of the HCEF. OHC will be the liaison with OPM and other Federal agencies on the reporting of all findings and corrective actions required by this policy. OHC will also certify the overall quality of the HCEF by providing all updates and corrections as required.

5. Policy. Senior DOI, bureau, and equivalent office managers, line managers, and HR officials will ensure agency employees are managed efficiently and effectively in support of mission accomplishment, and in compliance with laws, rules, regulations, and the merit system principles. DOI leadership will establish HC goals and objectives, ensure that HC goals and objectives align with and support the DOI's Strategic and Annual Performance Plans, determine measures for assessing results, establish budgets, identify resources for accountability system operation, and modify initiatives based on the results. There will be a continuous process of monitoring and adjusting goals, measures, budgets, and initiatives to ensure a systematic approach to accountability and evaluation. Senior leadership support, accountability, and evaluation are assured through DOI's Performance Management System, which links individual performance to organizational performance goals and strategic HC management initiatives. In this way, standards for effective, results oriented HC management are cascaded through all levels of management and the organizations.

DOI's Strategic Plan and Annual Performance Plan inform the development of DOI's HCOP. The HCOP is the implementation instrument which explicitly describes DOI-specific skill and competency gaps; includes annual HC performance goals and measures; analyzes data to determine which strategy best supports mission accomplishment; reflects

the HCF standard and focus areas; and addresses cross cutting issues identified in the Federal HC strategy. The HCOP is a living document that supports DOI's Annual Performance Plan, which feeds from the DOI Strategic Plan. DOI collaborates with the senior leadership of the bureaus and equivalent offices to develop the Strategic Plan and the HCOP. The Human Capital Evaluation Plan (HCEP) operationalizes DOI's HC evaluation system. The HCEP describes in significant detail the process for ensuring HC accountability at DOI.

6. The Department of the Interior's Accountability Framework. A comprehensive strategic and performance planning process provides the foundation for DOI's accountability effort. These processes ensure that HC activities are properly planned, integrated, and executed throughout DOI and all of the Bureaus. Figure 1 depicts the continuous cycle of activities that work together within DOI to link human capital activities to strategic goals and budget/performance requirements, ensuring that DOI has the personnel and capacity required to meet mission goals objectives.

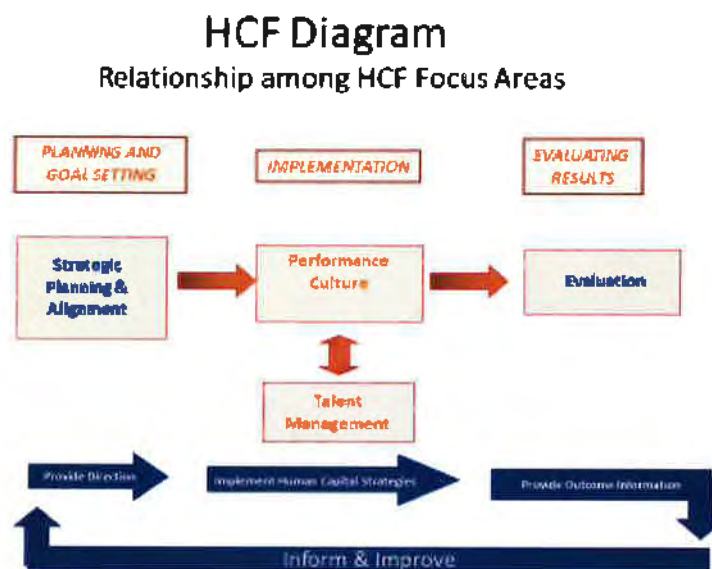


Figure 1

We organize the multiple components of the Strategic Human Capital Program along a four-step process for developing implementing a HC Accountability System:

- Step 1: *Planning* – develop, document and resource HC Accountability System
- Step 2: *Implementing* – conduct HC Accountability System activities
- Step 3: *Evaluating* – analyze and report HC Accountability results
- Step 4: *Informing/Improving* – implement improvements and corrective actions

The above cycle of activities complements the Human Capital Planning process by aligning the Strategic HC goals and HR programs with the mission goals, performance expectations, and results the executives, managers, supervisors, and employees will be held accountable

for achieving. The Strategic HCOP establishes the framework of accountability that DOI will use to assess its success in meeting human capital goals that are critical to accomplishing the mission, and to ensure that process and operations comply with merit system requirements.

7. Roles and Responsibilities for Evaluation throughout the Department.

Accountability Activity	Key Stakeholders	Roles and Responsibilities
Planning – develop, document and resource HC Accountability System	Deputy Assistant Secretary Human Capital & Diversity, Chief Human Capital Officer	<ul style="list-style-type: none"> ➤ Design, implement, and monitor DOI's HC policies and programs. ➤ Collaborate with DOI's Performance Improvement Officer (PIO) to convene quarterly reviews on key HC goals. ➤ Ensure the annual HCOP supports DOI's Strategic and Annual Performance Plans.
	Deputy Chief Human Capital Officer	<ul style="list-style-type: none"> ➤ Maintain and update HC goals, objectives, policies, and plans, including Workforce Plan and HC Accountability Plan.
	Director, Strategic Human Capital Planning and Evaluation	<ul style="list-style-type: none"> ➤ Manage/Oversee DOI HC Accountability System and Activities. ➤ Develop HC Accountability Plan to include measure/metrics, 5 year audit implementation schedule, timeframes of audits and reporting responsibilities.
	Human Capital Accountability Program Manager	<ul style="list-style-type: none"> ➤ Develop Annual Audit Plans (to include type of audit, HC coverage areas/scope, resources, and reporting requirements) to assess efficiency, effectiveness, and compliance with merit system principles. ➤ Provide HC metrics data used to develop the 5 year Workforce Plan. ➤ Document Bureau HR Office HC accountability activities and process controls.
	Bureau Human Resources Officers	<ul style="list-style-type: none"> ➤ Develop HC policies and HC strategies. ➤ Development of HC performance measures.
	Bureau Human Capital Accountability Program Manager	<ul style="list-style-type: none"> ➤ Develop Annual Audit Plans (to include type of audit, HC coverage areas/scope, resources,

		<p>and reporting requirements) to assess efficiency, effectiveness, and compliance with merit system principles.</p> <ul style="list-style-type: none"> ➤ Document Program Office HC accountability activities and process controls.
Implementing – conduct HC accountability system activities	Deputy Chief Human Capital Officer	<ul style="list-style-type: none"> ➤ Advise and assist bureau HROs and other DOI officials in carrying out DOI's responsibilities for selecting, developing, training, and managing a high-quality, productive workforce in accordance with the merit system principles. ➤ Implement the rules and regulations of the President and OPM, and the laws governing the Federal service. ➤ Assess workforce characteristics and future needs based on DOI's Strategic Plan and mission. Develop and conduct HR strategic planning, tactical planning, workforce, and succession planning. ➤ Align DOI's HR policies and programs with organization mission, strategic goals, and performance outcomes. ➤ Oversee development of policy. ➤ Develop and advocate a culture of continuous learning to attract and retain employees with superior abilities. ➤ Enhance DOI's capabilities to compete for a fair share of the nation's diverse workforce. Develop and implement policies, procedures, standards, and systems for effective utilization and management to accomplish the overall mission, with particular focus on achieving diversity goals. ➤ Develop and monitor DOI's HC Evaluation System and evaluate the effectiveness and efficiency of HC management as well as legal and regulatory compliance.

		<ul style="list-style-type: none"> ➤ Follow up on all issues or problems identified through OPM and GAO audits or when problems are discovered through other means.
	Director, Strategic Human Capital Planning and Evaluation	<ul style="list-style-type: none"> ➤ Manage/Oversee DOI's HC Accountability System and Activities. ➤ Ensure that DOI HC goals are being met through effective, efficient HRM programs and processes that are conducted in accordance with merit system principles.
	Human Capital Accountability Program Manager	<ul style="list-style-type: none"> ➤ Monitor and collect HC metrics data. ➤ Annual program assessment of Program Office HC accountability activities and process controls. ➤ Conduct monthly meetings with the Bureau APMs.
	Bureau Human Resources Officers	<ul style="list-style-type: none"> ➤ Ensure that HC goals are being met through effective, efficient HRM programs and that processes are conducted in accordance with merit system principles. ➤ Ensure HC needs are integrated into the bureau budget requests, annual performance plans, and/or GPRA-MA operational plans, as applicable. ➤ Ensure their Servicing Human Resources Offices (SHROs) have the necessary HR staff to accomplish the mission. ➤ Follow up on all issues or problems identified through OPM, DOI, or bureau evaluations or when problems are discovered through other means. ➤ Provide appropriate resources to augment compliance audit teams.
	Bureau Human Capital Accountability Program Managers	<ul style="list-style-type: none"> ➤ Conduct compliance audits to include audits and reviews of HC programs and activities to ensure compliance with merit system principles. ➤ Write final audit reports.

		<ul style="list-style-type: none"> ➤ Request matrix audit team members from HR Program Offices and Bureaus. ➤ Monitor and collect HC metrics data. ➤ Annual program assessment of Program Office HC accountability activities and process controls.
Evaluating – analyze and report HC accountability system results	Deputy Chief Human Capital Officer	<ul style="list-style-type: none"> ➤ Approve annual HC Accountability Report and communicate human capital progress and action items to the CHCO.
	Director, Strategic Human Capital Planning and Evaluation	<ul style="list-style-type: none"> ➤ Assess DOI-wide progress in implementing HC action strategies. ➤ Assess progress towards meeting workforce planning goals. ➤ Review annual HC program assessment reports/compliance audit reports and develop annual HC Accountability Report to senior management.
	Human Capital Accountability Program Manager	<ul style="list-style-type: none"> ➤ Assist in the development of the annual HC Accountability Report to include data analyses, report on key performance indicators, recommendations and follow-up actions.
	Bureau Human Resources Officers	<ul style="list-style-type: none"> ➤ Monitor performance data to ensure progress towards meeting DOI goals/objectives and compliance with merit systems principles and regulations. ➤ Develop annual HC program assessment report and provide to the HC Accountability Program Manager. ➤ Oversee SHRO selection, development, training, and management of a high-quality, highly performing workforce in accordance with the merit system principles.
	Bureau Human Capital Accountability Program Managers	<ul style="list-style-type: none"> ➤ Develop Bureau compliance audit reports to include audit activities. ➤ Provide Bureau compliance audit reports to Bureau senior management and the HC

Informing/Improving – implement improvement and corrective actions	Deputy Chief Human Capital Officer	<ul style="list-style-type: none"> ➤ Accountability Program Manager. ➤ Ensure appropriate corrective actions are implemented to address all adverse findings.
	Director, Strategic Human Capital Planning and Evaluation	<ul style="list-style-type: none"> ➤ Assess Accountability System Activities and make recommendations for improvement. ➤ Ensure timely responses to all adverse findings, and corrective are developed and implemented.
	Human Capital Accountability Program Manager	<ul style="list-style-type: none"> ➤ Monitor and follow-up on all responses to all adverse findings, and ensure corrective actions are implemented. ➤ Review Five-Year Audit, and Annual Audit Plan; Adjust as required to reflect changes to HC coverage areas/scope, and reporting requirements. ➤ Monitor and follow-up on all HC metrics to identify improvement needs. ➤ Maintain data systems used to monitor HC program results.
	Bureau Human Resources Officers	<ul style="list-style-type: none"> ➤ Ensure timely responses to all adverse findings, and corrective actions are developed and implemented.
	Bureau Human Capital Accountability Program Managers	<ul style="list-style-type: none"> ➤ Monitor and follow-up on all responses to all adverse findings, and ensure corrective actions are implemented. ➤ Monitor and follow-up on all HC metrics to identify improvement needs. ➤ Maintain data systems used to monitor HC program results.

8. Evaluation System. DOI's HC Evaluation System ensures coverage across all of the HCF systems. These systems will be reviewed throughout DOI to ensure mission alignment, program effectiveness, process efficiency, and legal and regulatory compliance. By leveraging data gathered from evidence-based evaluation methodologies performed in systems reviews, DOI can demonstrate where program effectiveness and process efficiencies are achieved and where improvements need to be made. The desired outcomes of the DOI HC Evaluation System are to:

- Ensure HC goals and programs are aligned with and support DOI's mission;
- Ensure HC planning is guided by a data driven, results-oriented process;
- Ensure 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 the DOI HR management function;
- f. Ensure DOI HC programs and policies adhere to merit system principles, and other pertinent laws and regulations;
- g. Provide for periodic review of HC and HR activities throughout DOI, including independent audits and evaluations of HR transactions;
- h. Address issues or problems identified during evaluations 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.

9. Agency Evidence-Based Evaluation Methodology. DOI's HC management programs, practices, and procedures will be reviewed using the HCEF which consists of the following three evidence-based evaluation methodologies: HRStat, the Independent Audit Program, and Human Capital Reviews. The HCEF is the tool by which DOI monitors and evaluates outcomes of its HC strategies, policies, programs, and activities.

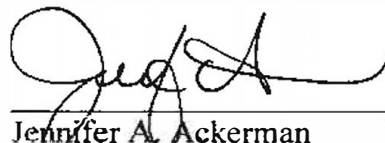
- a. **HRStat.** 5 CFR Part 250, subpart B establishes HRStat as a required HC process which requires a quarterly review of identified metrics. DOI's senior leadership and PIO direct the quarterly evidence-based data-driven reviews to monitor our progress in meeting key HC goals that support the DOI Strategic and Annual Performance Plans. During these quarterly review sessions, DOI's leadership can identify and focus on HC metrics that contribute to the successful achievement of DOI strategic goals and allow for prompt course correction as issues arise.
- b. **Independent Audit Program.** DOI and the HROs will conduct regularly scheduled accountability audits and evidence-based evaluations of HR programs and functions to assess their support toward mission accomplishment, effectiveness of HR programs, efficiency of HR processes, and programmatic and transactional compliance with statutory and regulatory requirements, including the merit system principles. DOI uses a number of data sources such as policies, transactions, interview and survey results, and program audits to assess its HC programs. Under 5 CFR Part 250, the HCF provides comprehensive guidance on the principles of strategic HC management in the Federal Government as well as direction on HC planning, implementation, and evaluation in the Federal environment.

The OHC, in conjunction with bureau HROs, will conduct periodic evaluations to ensure that each HR program office is evaluated, at a minimum, every three years. The OHC will conduct, at a minimum, two full bureau HRO evidence-based evaluations each fiscal year. In addition, targeted business processes (e.g., delegated examining) will be identified for evaluation as required. Reports will be prepared following completion of each evaluation. These reports will be provided to the HR program office, bureau HROs and appropriate leadership, the OHC, and OPM.

Selection of Program Emphasis Area: DOI may rotate annually the HR program and functional areas to be reviewed in coordination with the requirements of the HCF, the DOI's strategic HC goals, and/or other areas of high interest.

1. **Human Capital Evaluation Plan (HCEP):** The HCEP operationalizes DOI's HC evaluation system. The HCEP describes in significant detail the process for ensuring HC accountability at DOI. Evaluation teams will adapt the procedures and processes identified in the HCEP.
 2. **Reporting Corrective and Improvement Actions:** Following an Independent audit or evaluation, the evaluation team leader will provide a report to the respective HR Officer and leadership, bureau HRO, DOI's OHC, and OPM within 90 calendar days of the exit briefing. The report will include evaluation findings; required actions describing the steps to be taken to address any violations of laws, regulations, or policies; and recommendations to strengthen or improve HR management, processes, and activities. Within 60 calendar days of receiving this report, the HR Officer and leadership must develop and submit a corrective action plan addressing required and recommended actions to the evaluation team lead with a copy to DOI's OHC. DOI's OHC will maintain records that document what actions were taken to address issues identified during the evaluation.
- c. **Human Capital Review (HCR).** The HCR is an annual review which enables DOI and OPM to monitor progress toward achieving organizational goals and outcomes tied the HCOP. The review is conducted through the presentation of synthesized "evidence" and information (indicators, evidence-based evaluations/audit results, HRStat reviews, etc.). The HCR provides DOI and OPM the opportunity to showcase the agency's successes and to identify cross-cutting themes to enable development of Government-wide policies and strategies. The HCR further affords DOI with the opportunity to receive feedback from OPM to improve strategies and evidence-based evaluation processes, as well as decision-making leading to the prioritization of resources.

10. Point of Contact. Additional information or questions may be directed to Mr. Kermit Howard, Division Director, Strategic Human Capital Planning and Evaluation Division, Office of Human Capital, at kermit_howard@ios.doi.gov.



Jennifer A. Ackerman
Director, Office of Human Capital
Deputy Chief Human Capital Officer