



DEPARTMENT OF THE NAVY
OFFICE OF THE SECRETARY
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SECNAVINST 12273.1A
ASN(M&RA)
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SECNAV INSTRUCTION 12273.1A

From: Secretary of the Navy

Subj: CIVILIAN HUMAN CAPITAL MANAGEMENT ASSESSMENT PROGRAM

- Ref
- (a) OPM Human Capital Assessment and Accountability Framework (HCAAF)
 - (b) OPM HCAAF Systems, Standards, and Metrics (HCAAF-SSM)
 - (c) Office of Personnel Management (OPM) HRM Accountability Memorandum, January 4, 2002 (NOTAL)
 - (d) Office of Management and Budget (OMB) Section 1 - Strategic Management of Human Capital (NOTAL)
 - (e) President's Management Agenda, Fiscal Year 2002
 - (f) Section 1115(a) of Title 31, United States Code (U.S.C.)
 - (g) Part 250 of Title 5, Code of Federal Regulations (C.F.R.) Personnel Management in Agencies
 - (h) Section 2000e (et seq.) of Title 42, U.S.C.
 - (i) Part 1614 of Title 29, C.F.R.
 - (j) DoD for Personnel and Readiness (OUSD(P&R)) Civilian Human Capital Accountability Policy Statement, September 29, 2006 (NOTAL)
 - (k) DoD Civilian Personnel Management Service (CPMS) Civilian Human Capital Accountability System (CHCAS) Accountability Plan (NOTAL)
 - (l) DoD Directive 8500.01E, Information Assurance (IA), October 24, 2002
 - (m) DoD Directive 8190.1, DoD Logistics Use of Electronic Data Interchange (EDI) Standards, May 5, 2000
 - (n) DoD Directive 8320.03 (et seq.), Unique Identification (UID) Standards for a Net-Centric Department of Defense, March 23, 2007
 - (o) Sections 305, 552a, 1103(a)(5), 1103(c)(1), 1401, 1402(a), 2301, and 2302 of Title 5, U.S.C.
 - (p) SECNAV M-5210.1
 - (q) SECNAV M-5214.1

1. Purpose. To assign responsibility for civilian Human Capital (HC) assessment within the Department of the Navy (DON) consistent with references (a) through (o). This is a complete revision to be read in its entirety.

2. Cancellation. SECNAVINST 12273.1.

3. Background

a. The quality and effectiveness of civilian Human Capital Management (HCM) programs impact directly on the productivity, efficiency, and mission accomplishment of DON commands and activities.

b. References (a) through (i) provide a basic framework for HCM within the Federal Government. They establish both the statutory requirements for ongoing assessment of our civilian workforce, and link effective HCM and assessment programs with budget, financial management and resourcing of mission and programs, and Equal Employment Opportunity (EEO). References (a) through (d) establish primary HCM terminology, processes, frameworks and measures adopted by Office of Personnel Management (OPM) and the Office of Management and Budget for Federal agencies. References (e) through (g) link HCM to performance and budget processes. References (h) and (i) incorporate EEO requirements. References (j) and (k) adapt OPM's Human Capital Assessment and Accountability Framework (HCAAF) to Department of Defense (DoD) components. This directive provides the DON framework for civilian HC assessment and accountability.

c. The Office of Civilian Human Resources (OCHR) will issue annual guidance on reporting and data analysis to responsible officials under subparagraphs 5c through 5e below. Annual requirements for civilian HC reporting will be updated and modified based on new or changed OPM or DoD requirements, and ongoing assessments of HC health by DON leadership.

d. DoD Civilian Personnel Management Service (CPMS) is responsible for facilitating the development, implementation, execution, and evaluation of the DoD Civilian Human Capital Strategic Plan and the Civilian Human Capital Accountability System (CHCAS). CPMS develops an accountability plan that aligns with Department policy and guidance, and contributes to

the effectiveness and efficiency of the CHCAS. CPMS organizational elements provide data and policy information on the implementation and maintenance of the CHCAS. In addition, CPMS retains overall responsibility for the operational assessment of all HCM programs within the Department of Defense.

e. The purpose of the civilian HCM Assessment Program within the Department of the Navy is to align Human Resources (HR) program assessment with OPM HCAAF and DoD CHCAS requirements, and to monitor and improve civilian HCM.

f. Federal responsibilities under references (h) and (i) shall be governed by the requirements of the Equal Employment Opportunity Commission Management Directive 715, (EEOC MD-715). In order to develop a competitive, highly qualified workforce, federal agencies must fully utilize all workers' talents, without regard to race, color, religion, national origin, sex, age or disability. HCM programs and reporting processes will be managed so as to fully support and complement those principles. Guidance and requirements for DON EEO program assessment and reporting are issued under DON OCHR Civilian Human Resources Manual, subchapter 1603. Reporting requirements, timelines and data requirements for HC, HR, and EEO assessments have been aligned to minimize or avoid redundancy.

4. Policy

a. All DON components shall maintain effective systems for accountability, assessment, and evaluation of civilian HCM results and use that information to improve civilian HCM. Accountability includes compliance with law, regulation, and policy, as well as ensuring that HCM supports mission accomplishment; consistency with OPM and DoD guidelines; alignment with the total force concept, and incorporation of EEO as an element of program assessment.

b. Within the Department of the Navy, HCM assessment programs and processes will address two primary aspects of HCM: (1) Assessing chain of command effectiveness in leadership, management, strategic planning, communications, utilization and engagement of the civilian workforce; and (2) Assessing the effectiveness of HC and HR administration (including both HR policy and direct service delivery) in optimizing the acquisition and utilization of DON civilian HC.

c. To the maximum extent feasible, assessment of civilian HC and HR programs will be conducted to enable presentation of results addressing the entire civilian workforce of the Department of the Navy and the entire civilian HR service delivery structure. Where alignment of assessment activities across DON elements is required to provide a total force perspective, the DON Force Management Oversight Council will be engaged to ensure alignment and consistency.

5. Responsibilities

a. The Assistant Secretary of the Navy (Manpower and Reserve Affairs) (ASN(M&RA)) has overall program responsibility for civilian HCM within the Department of the Navy.

b. The Deputy Assistant Secretary of the Navy (Civilian Human Resources) is responsible for management, oversight and administration of civilian HCM, and through the Director, OCHR, shall:

(1) Develop and interpret program policy and procedures in accordance with references (j) and (k);

(2) Develop and publish an annual DON OCHR Civilian Human Capital Assessment Reporting Guide (hereinafter referred to as "the Guide") applicable to the current fiscal year;

(3) Provide access to data and assessment tools, including workforce and HR metrics, benchmarks and standards as available. Data and information provided will comply with references (l) through (o);

(4) Assess and evaluate civilian HCM Assessment Program results within the Department of the Navy;

(5) Ensure that EEO, affirmative employment and diversity are integrated with assessment of HCM programs and processes under this directive;

(6) Coordinate DON-wide efforts to meet the civilian HCM Assessment Program reporting requirements;

(7) Direct and ensure compliance with required corrective actions;

(8) Develop and promulgate standards of adequacy for civilian workforce assessment, and for effectiveness in delivery of civilian HR services;

(9) Determine need for and direct additional reporting, data analysis or provision of information by DON components regarding civilian HC and HR assessment;

(10) Provide guidance and assistance to commands, Navy activities and the Marine Corps on developing and implementing civilian HCM assessment programs;

(11) As required, conduct DON-wide employee surveys of HCM attributes, share results with DON components and recommend actions to improve results;

(12) Oversee and compile information from employee surveys by DON commands or components. Consistent with references (l) through (o) disseminate and share results, identify trends and recommend action on results;

(13) At least annually, report results of HCM assessment activities, to include effectiveness of HC and HR programs, to the Secretary of the Navy (SECNAV) and the responsible officials in subparagraph 5c below; and

(14) Serve as the DON focal point with external organizations for all matters related to the accountability, assessment and evaluation of civilian HCM.

c. The Assistant for Administration of the Under Secretary of the Navy, the Chief of Naval Operations, the Commandant of the Marine Corps and echelon 2 commands shall:

(1) Ensure compliance and reporting on civilian HCM Assessment Program requirements within their respective staff offices and chains of command in accordance with the Guide;

(2) Monitor and ensure annual reporting on the adequacy of the civilian HCM Assessment Program within their staff offices and chain of command, as addressed in the Guide;

(3) Respond to requests for information or action from OCHR and DoD CPMS, and ensure that staff offices and subordinate activities comply with required actions within specified timeframes; and

(4) Utilize HCM Assessment Program information to improve civilian HCM in organizations under their cognizance.

d. Commanders and Activity Heads shall:

(1) Perform civilian HCM Assessment Program requirements on an annual basis in accordance with the Guide;

(2) Provide information requested by OCHR and DoD CPMS;

(3) Furnish necessary support to representatives of the OCHR and DoD CPMS in support of their assessment and evaluation requirements;

(4) Collect, analyze and maintain data and metrics on key indicators of workforce health, HR program effectiveness and accountability;

(5) Respond to OCHR and DoD CPMS evaluation findings, recommendations, and required actions within required timeframes;

(6) Utilize civilian HCM Assessment Program results to improve civilian HCM; and

(7) As part of annual HCM reporting, or as needed, provide HC assessment of adequacy of support from assigned HR service delivery staffs and organizations.

(8) In addition to subparagraphs 5d(1) through 5d(7) above, where command/activity responsibilities include resource sponsorship of HR service organizations (including oversight of directors of civilian personnel programs; HR offices; and HR service centers), commanders and activity heads shall assess and evaluate effectiveness of HR service delivery as well as workforce and HR program HCM in accordance with subparagraph 5e.

e. HR Service Providers shall:

(1) Provide assistance to serviced activities in developing civilian HCM assessment programs in accordance with the Guide that is consistent with activity size, mission requirements and command requirements;

(2) Perform civilian HCM Assessment Program requirements, in accordance with the Guide, for the HRM services they deliver to ensure that the services are efficient, effective, meet technical and legal requirements, and meet the mission requirements of their organization and those of their customers;

(3) Provide information requested by OCHR and DoD CPMS;

(4) Furnish necessary support to representatives of OCHR and DoD CPMS in support of their assessment and evaluation requirements;


(5) Respond to OCHR and DoD CPMS evaluation findings, recommendations, and required actions within required timeframes; and

(6) Utilize civilian HCM Assessment Program results to improve civilian HCM services.

6. Action. Addressees shall ensure that organizations within their respective staff offices and chains of command adhere to the program and reporting requirements outlined in the Guide.

7. Records Management. Records created as a result of this instruction, regardless of media and format, shall be managed in accordance with reference (p).

8. Reports. SECNAV 12273-1 is assigned to the reporting requirement contained in the Guide per reference (q).


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