Human Capital Framework
Evaluation Handbook

Department of War Human Capital Framework Evaluation Handbook

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SECTION 1: GENERAL HANDBOOK INFORMATION

1.1 Introductory Memorandum

The Department of War's (DoW) civilian workforce enables us to consistently address the evolving requirements and complexities of today while actively preparing to meet the future needs of the United States. A collective, effective, and efficient human capital (HC) evaluation program is paramount to maintaining our competitive advantage and achieving our specific HC goals and objectives. The DoW has multi-dimensional mission requirements which require innovative multi-talented people. We are committed to three over-arching objectives: bolstering the DoW's ability to acquire and shape a robust and highly skilled ready talented workforce; increase the DoW's ability to cultivate, manage and retain top talent; and advance the DoW's HC Management Program.

The HC Evaluation System described in this handbook serves as our mechanism to monitor and improve the performance of various human resources (HR) programs and processes within the HC Framework (HCF) and our alignment to the strategic initiatives outlined in the DoW HC Operating Plan (HCOP). The HC Evaluation System is the Office of Personnel Management's (OPM) mechanism to determine and assess the Department's effectiveness in implementing the updates to Part 250 of Title 5, Code of Federal Regulations (CFR). The OPM Evaluation System Assessment (ESA) is comprised of an assessment of four HC programs and process elements: The HCOP, Human Resources Statistics (HRStat), the Independent Audit Program (IAP), and annual HC reviews. Together, each element outlines a comprehensive mechanism to provide direction and a process to assess the effectiveness, efficiency, and compliance of HR programs.

The Defense Civilian Personnel Advisory Service (DCPAS) is the delegated authority to ensure HCF activities within the DoW adhere to statutory requirements, DoW issuances, Merit System Principles (MSP), and this guidance. DCPAS is also responsible for the oversight of the HCF System and Delegated Examining (DE) operations, as authorized by the Interagency DE Agreement, DoW-1, between the OPM and DoW. The DCPAS will monitor component compliance by conducting annual DCPAS-led, component-led HCF and component-led DE self-assessments.

DCPAS will ensure the resolution of compliance issues resulting from assessments and observations. Incorporate a formal feedback mechanism to inform, educate, and improve the HC program. This information will flow to all levels of the DoW and component leadership and key stakeholders. The results of these evaluations will be used to improve our HC program and ensure DoW's adherence to applicable Federal laws, directives, and merit and excepted-service system requirements, and assist with leadership HC management (HCM) strategic decisions.

Address questions regarding this handbook to the DCPAS Planning & Accountability Directorate: DoWhra.mc-alex.dcpas.mbx.accountability-team@mail.mil.

Michael A. Cogar
Deputy Assistant Secretary of War
Civilian Personnel Policy

1.2 Background

On February 8, 2016, the OPM published the Personnel Management in Agencies proposed rule in the Federal Register (81 FR 6469) that would amend Part 250, Subpart B of Title 5, CFR, Strategic Human Capital Management, and Part 250, Subpart C of Title 5, CFR, Employee Surveys. The purpose of this rule is to better assist agencies with developing robust HC practices for achieving agency goals and objectives, and to further empower the HC community to collectively identify and address cross-cutting challenges. The updates led to the need to reinforce HC integration into DoW's planning and performance monitoring processes.

The amended Subpart B of Part 250 of Title 5, CFR, reduces and clarifies the strategic HC reporting procedures agencies are required to follow; establishes the requirement for a data driven review process; describes HC planning methods and established the HCF. The HCF is organized across four systems (Strategic Planning and Alignment, Performance Culture, Talent Management, and Evaluation). Through agency IAP the HCF systems are assessed to ensure the planning, implementation, and monitoring of HC strategies and programs are effective, efficient, and compliant.

The HCM guidance used government-wide to improve HC program performance is established in Sections 1401 and 1402 of Chapter 14, Title 5, United States Code (U.S.C.), Public Law 107-296, the CHCO Act of 2002, and Part 250, Subpart B of Title 5, CFR. Additional guidance is found in DoW Directive 5124.02, "Under Secretary of Defense for Personnel and Readiness (USD(P&R));" Section 1122 of Public Law 109-163, and Section 5303 of the National Defense Authorization Act (NDAA) for Fiscal Year (FY) 2006 and 2023, "Strategic Human Capital Plan for Civilian Employees of the Department of War" and "Performance Enhancement."

1.3 Purpose

The purpose of this handbook is to establish the methodology and procedures for conducting DoW HC policy and program evaluations. This handbook is intended to assist with developing robust HC best practices for achieving agency goals and objectives. Agencies that incorporate evaluations into their HC programs can assess program efficiencies and effectiveness and the accomplishment of HCOP strategic goals and objectives. The HCF should be used to plan, implement, monitor, and conduct program evaluations, through agency and component IAPs. Evaluation results drive HC strategies and measure program effectiveness, efficiency, and compliance.

This handbook is intended to address policy, procedures, and responsibilities to ensure DoW HC Program compliance, alignment with mission goals and accomplishments, and program adherence to MSP and applicable laws and regulations. Where applicable, this handbook will follow OPM and DoW HC evaluation system guidance of the OPM HCF; Subpart B of Part 250 of Title 5, CFR; Volume 450 of DoW Instruction 1400.25; and other DoW governance documents.

1.4 Scope

This handbook is applicable to the evaluation of all DoW civilian HC policies and programs. A comprehensive independent evaluation program contributes to the DoW HC performance outcomes. Leadership decisions are determined by monitoring and evaluating the results of HC

policies, programs, and activities; analyzing compliance with MSP; implementing DoW's strategic goals; identifying and assessing necessary program improvements and impacts to maximize program efficiencies. Key stakeholders, DoW agencies, components, and organizations' roles and responsibilities should be identified. The HCF methodology is further described within this handbook. While the handbook covers most OPM and Federal HCF and DoW HC evaluation requirements, it does not address all Federal civilian laws, regulations, policies, or procedures. If a situation arises where applicable laws and regulations are in question within the guidance of this handbook, the mandated laws and regulations will take precedence over this handbook.

SECTION 2: ROLES AND RESPONSIBILITIES

DoW Key Stakeholders Roles and Responsibilities

Deputy Assistant Secretary of War for Civilian Personnel Policy (DASW(CPP))/CHCO:

- Develop plans, policies, and programs to manage the Department's civilian workforce effectively, efficiently, and strategically. The CHCO designs, implements, and monitors agency HC policies and programs that will implement the rules and regulations of the President, OPM, and laws governing the civil service within the agency.

- Ensures HC activities support MSP.

- Maintains an evaluation system to assess the Department's HC performance outcomes.

- Maintains an IAP to monitor compliance and establishes a formal process to determine how the agency uses HCF principles to address strategic HC priorities and goals.

- Improves strategic HCM by adjusting strategies and practices.

Civilian Personnel Policy Council (CPPC):

- Collaborates, informs, and coordinates the HC activities of an agency on such matters as the modernization of HR systems and practices, improved quality of HR information, and legislation affecting HR management operations and organizations.

- Identifies and shares successful practices with component and agency CHCOs and other officials with similar responsibilities in fulfilling their individual responsibilities to:

  o Promote a culture of continuous HC learning and high performance.

  o Embrace strategies, policies, and processes to develop and support a modernized Federal workforce and workplace.

  o Support consistency in the implementation of the law governing the Federal civil service.

  o Support agency leaders in carrying out their responsibilities for selecting, developing, training, and managing a high-quality, productive workforce in accordance with MSP.

Chief Financial Officers, Chief Information Officers, Chief Management Officers, Process Improvement Officers, and Other Key Stakeholders:

- Collaborate, inform, and coordinate the HC activities of an agency on such matters as the modernization of HR systems and practices, improved quality of HR information, and legislation affecting HR management operations and organizations.

- Identify and share promising practices with component and agency CHCOs and other officials with similar responsibilities in fulfilling their individual responsibilities to:

    o Promote a culture of continuous HC learning and high performance.

    o Embrace strategies, policies, and processes to develop and support a modernized Federal workforce and workplace.

    o Support consistency in the implementation of the law governing the Federal civil service.

- Support agency leaders in carrying out their responsibilities for selecting, developing, training, and managing a high-quality, productive workforce by aligning to MSP, implementing strategic HCOP initiatives, and ensuring the widest dissemination and communication of HC activities and decisions of the agency.

DoW Accountability Program Manager (APM):

- Develop plans, policies, and programs to manage the Department's IAP effectively, efficiently, and strategically.

- Designs, implements, and monitors agency HC policies and programs to carry out the rules and regulations of the OPM, DoW, and laws governing the civil service within the agency.

- Collaborates with DoW Component and agency APMs to determine evaluation systems areas of emphasis during each evaluation review cycle.

- Ensures the DoW evaluation system adheres to OPM evaluation standards and upholds the integrity of the DoW HC Evaluation Program.

- Reviews HC data to assess consistency of operations and determines the impact and results of HC policy. Conducts data analysis and prepares objective measurable standards which align to the DoW HCOP.

- Informs the DoW CHCO, CPPC, senior executives, agency leaders, APMs, and agency leaders of HC evaluation initiatives, best practices, areas of concern, and performance outcomes to enhance the effectiveness of the DoW HC Evaluation Program.

- Ensures the evaluation and response reports adhere to established timelines.

- Ensures a mechanism of reporting the evidence of corrective actions are taken, because of required or recommended actions as determined by the DCPAS or OPM.

- Ensures the completion of an annual comprehensive independent audit report/evaluation HC review of the DoW to the CHCO and CPPC.

- Maintains oversight and partnership with DoW Components in support of the DoW HC Evaluation Program.

DCPAS Planning and Accountability Directorate:

- Manages the Department's IAP to ensure adherence to MSP.

- Ensures recurring communication with component senior leaders, APMs, DE Program Managers, HC evaluation auditors, and designated representatives as necessary to resolve HC compliance issues.

- Establishes and maintains an HC evaluation repository, evaluation tools, templates, and information technology resources to effectively manage agency annual HR compliance requirements.

- Monitors and provides oversight of agency HC evaluation policy, procedures, performance outcomes, and alignment with DoW Strategic Management Plan and HCOP goals and objectives.

- Coordinates with agency components to identify HC evaluation management best practices and challenges to determine HCF systems and evaluation focus areas.

- Manages DCPAS-led and oversees component-led evaluations of at least two HCF systems annually to ensure enterprise continuity and program effectiveness.

- Leads HC evaluations or participates in an observatory role during component and agency self-audits, noting findings, reported findings and handling of sensitive issues. Observations may include a random selection of case files to assess compliance with laws, regulations, and procedures, as well as assessing the sufficient quantity and quality of candidates and to gauge selecting officials' satisfaction.

- Reviews annual reports on personnel appointing activity, to include assessments and audits conducted in accordance with Subpart B of Part 250, Title 5, CFR, and required annual reports prepared by agencies/components, field offices, and activities. This requirement also includes required annual self-audits and all third-party audit reports.

- Provides analysis and program management recommendations on completed component self-audits submitted to the DCPAS.

- Provides recurring communication with components and agencies to identify best practices and assist with resolving problems or inappropriate actions.

- Coordinates with all components annually to identify a minimum of two HR staff members per component, if available, to participate in the DoW matrix team.

- Monitors and tracks agencies scheduled for review by the DCPAS and OPM as outlined by the annual DoW evaluation calendar and in accordance with the OPM DE Operations Handbook.

- Coordinates with components for cross-agency tutorials and training needs for HR talent supporting DoW HC evaluation management activities.

- Provides accountability program oversight to ensure DoW DE and HCF activities are conducted in accordance with applicable law, MSP, and standards established under Section 1104(b)(1) of Title 5, U.S.C., Subpart B of Part 250, Title 5, CFR, and this handbook.

- Provides a recurring overarching executive summary and performance report to DoW senior leaders, key stakeholders, the OPM, and components based on completed DE and HCF self-audits each FY.

Component APM and DE Program Manager:

- Ensure all HCM activity is conducted consistently with adherence to policy, procedures, goals, values, and requirements outlined in statutory, DoW, and agency policies. Ensure efficient and effective HC evaluation management in support of DoW's mission in accordance with MSP and as outlined in Section 1402 of Title 5, U.S.C.

- Demonstrate and execute ESA and HCOP strategies in support of the (DASW(CPP)) and other DoW stakeholders' goals by developing an annual audit plan.

- Ensure only individuals who are not involved in the DE activities of the office conduct the organizations' self-assessment.

- Coordinate with DCPAS and align required self-audits with the DoW annual evaluation calendar.

- Forward, in support of the DoW Annual HCM Evaluation (HCME) Calendar, an evaluation/audit schedule and plan to review a minimum of two HCF Systems or special studies, plus any applicable DE Units (DEUs) within their area of responsibility to the DCPAS by June 30 of each FY.

- Annually establish an impartial evaluation team using DoW matrix teams based on the scope of the assessment or when feasible:

  o Conduct annual HCME which includes HCF and DE self- audits under Section 1104 of Title 5, U.S.C., and Subpart B of Part 250, Title 5, CFR, to ensure program effectiveness.

- o Conduct both HCF and DE evaluation activities each FY aligning to the OPM Evaluation System Standards and DoW policy and guidance.

- o Ensure each component's servicing HR organization or office conducts recurring assessments on each of the four HCF systems within a 6-year cycle.

- Provide DE self-audit results and analysis of component-led evaluations using a designated reporting platform or system (i.e., Investigations and Resolutions Case Management System) to the DCPAS 60 days prior to the components designated DE authority expiration date.

- Provide HCME HCF self-audit results and analysis of component-led evaluations to the DCPAS within 90 days of completing an HCME HCF; or submit annual self-audit reports to the DCPAS 60 days prior to September 30 of each FY, whichever occurs first.

HCF Evaluation Matrix Team Members:

- Complete OPM HCF training in addition to any agency HCF training activity.

- Maintain evaluation program policies, procedures, processes, and applicable certifications.

- Participate in one cross-agency (matrixed across organizations, components, and agencies) HCME (HCF or DE) assessment annually in support of the DoW HC Evaluation Program.

- Actively participate in all phases of the HCF evaluation lifecycle.

- Document and summarize required and recommended findings and fundamental issues clearly and concisely as determined by the agency or component lead evaluator.

SECTION 3: ASSESSMENT PROCESS

3.1. Assessment Procedures

DoW Components will conduct one or more HCF evaluations each FY to ensure each of the four systems are addressed within a 6-year cycle. Senior leadership will utilize the results to drive targeted business processes and assessments (systems) as required. The DoW approach to conducting an assessment is consultative versus investigative; this methodology will advance the DoW's understanding of how best to assess and improve HC evaluation management results using a transparent and collaborative approach. The consultative process means the DoW will:

- Involve key HC leadership at all agency levels.

- Identify opportunities to improve the effectiveness and efficiency of regulatory compliance and HC evaluation programs.

- Show links to DoW HC goals and objectives.

- Use assessment results for potential policy development or program modernization.

- Provide continuous support; share information or best practices.

- Facilitate sustainable positive change.

To maintain the DoW's competitive advantage, the Accountability community will remain flexible by routinely adapting and integrating a feedback mechanism with all stakeholders to address our complex ever-changing environment.

3.2 Human Capital Framework Structure

The HCF incorporates outcomes from strategic HCM, organizational development, and behaviors to provide guidance and insights on how to effectively align an agency's mission, goals, and program objectives. The HCF is organized across four systems:

- Planning and Alignment System

- Talent Management System

- Performance Culture System

- Evaluation System

Figure 1. HCF Structure

Components should manage assessments of the four systems by conducting a:

- HCME: A review that consists of at least one of the four systems. Components need to address all four systems within a 6-year cycle.

- HCME DE Plus: A review that consists of at least one of the four systems, in addition to the required annual DE evaluation.

- DE Review: The required annual DE evaluation, without including any other HCF system.

Within each of these systems, a series of focus areas have been defined. The focus areas assist with providing key elements and outcomes to consider when planning, implementing, identifying, and closing gaps within each of the HCF systems. *Figure 1* illustrates the structure involved in completing an HCF evaluation.
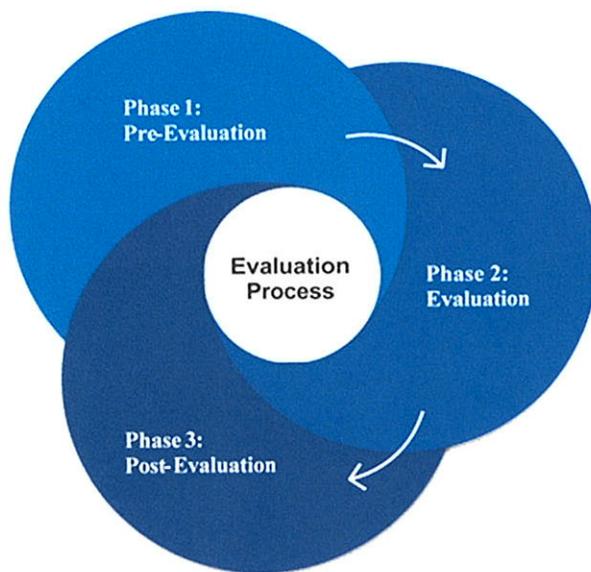
Figure 2. Evaluation Phases

3.3 Conducting the Evaluation in Phases

Phase 1: Pre-evaluation

The pre-evaluation phase is the first of three phases and represents approximately 60 percent of the evaluation time. In this phase, the strategy to develop the evaluation approach and plan is the key to a successful evaluation. The first step in this phase is to identify the coverage and scope. The evaluation team reviews HC and evaluation plan/policy measures and associated activities to determine the direction of the evaluation.

Review Coverage

Evaluation review coverage may target one or more HCF systems, part of a single system (e.g., DE), or aspects of an HR program or focus area within a system (e.g., training program evaluation). Determination of the coverage will further dictate the base evaluation time, generally 5 to 10 business days, and the determination of location (on-site, offsite (virtual), or hybrid (partially) on-site). These determinations are key when identifying required matrix team resources.

HCME (HCF and DE) Evaluation Team Composition

DCPAS and component-led HCME (HCF and DE) evaluation teams will be comprised of impartial team members along with matrix team participants from the various DoW Components and potentially OPM (based on the type of evaluation being conducted). Evaluators will determine their evaluation matrix team composition based on the agency or component evaluation scope and size. Components may create a matrix team within their respective agencies with identified matrix team members based on the evaluation type and size when feasible. The DCPAS will develop and maintain a repository

comprised of identified component HCF matrix team members for lead evaluators to reference. To maintain a current repository, components will identify and update matrix team member(s) information each FY, to include names, agency or organization, and email contact information when submitting their annual evaluation schedule. Information is due to the DCPAS on June 30 each FY. Matrix team members will participate on a minimum of one cross-agency HCME (HCF or DE) evaluation each FY. Throughout the evaluation process, lead evaluators will prepare matrix team members for the planned evaluation.

The lead evaluator or evaluation team designee will work with identified points of contact (POCs) who will maintain responsibility for leading program areas identified for evaluation (e.g., Employee/Leadership Development, Performance Management, or other designees as determined by the scope).

When conducting an assessment, agency or component lead evaluator will identify program and system leads needed who will support the lead evaluator throughout all phases of the evaluation.

Sources of Information

There are many sources of information that are necessary to conduct a thorough evaluation. The evaluator will collect as much background data as possible from available sources to minimize requests for information. For example, background data and activities may consist of reviewing and analyzing the component's prior evaluation report of findings; the latest Federal Employee Viewpoint Survey (or other agency employee survey) results; Strategic HCM Plan or any implementation initiative plans; results of other assessments; applicable collective bargaining agreements, and data from the Defense Civilian Personnel Data System (DCPDS) or other civilian personnel data systems available. After the background assessment is completed, the evaluator, in consultation with the identified system leads, will determine the need for additional information from the component. Based on the availability of background information and the level of analysis necessary to prepare for the evaluation, the evaluator will identify the applicable period of review and contact the component regarding those timelines.

Evaluation Notification and Timeframe

The DoW APM or third-party agency, such as the Government Accountability Office, or OPM, will issue a notification of evaluation through an advanced information request to the responsible senior leadership and management officials for the office to be evaluated at least 90 calendar days prior to the evaluation, detailing the type of evaluation, date, scope, and coverage. The identified POC will return the requested information 60 calendar days prior to the evaluation.

The lead evaluator and system leads will determine the appropriate sample size of selected cases and provide a listing to the POC. When conducting an HCF assessment (including DE), the DoW sample size should represent a population that is proportional to the total population set. The case file reviews of a DE assessment should include

records that did not result in a selection within the assessment base period, as well as cancelled Job Opportunity Announcements (JOAs). The sample size standard is a minimum of 10 cases or a maximum of 10 percent of the total population set. Records reviewed should cover a reasonable timeframe of HR activity, typically for the last 12 months, and should provide information that is not available from statistical reports, interviews, or analysis of survey responses.

Setting up the Interviews

Where applicable, the lead evaluator or system leads assess the advance information documentation, establish a questionnaire, and identify interview and focus group participants. The lead evaluator or designee will send interview and focus group notifications, distribute participant questionnaires, and plan interview and focus group questions or conversations with the agency or component POC. The lead evaluator will coordinate a schedule with the agency/component POC at least 3 to 4 weeks before the review. The schedule sets the time and duration of the entrance briefing prior to the review process. Individual and focus group interviews (usually 1.5 to 2 hours in length), daily team briefings or meetings, recurring POC briefings or check- ins, case files or records reviews, and recurring technical briefings should occur throughout the assessment process, followed by an exit briefing on or around the last day of the review process. Using the current employee listing, the lead evaluator and system leads will identify which supervisors, managers, and employees to interview or invite to participate in focus groups.

Phase 2: Evaluation

Conducting the evaluation represents approximately 20 percent of the evaluation time. Ongoing collaboration among the team evaluators, OPM, agency or component POCs, and other participating staff is typically expected throughout the evaluation period. Formal interaction includes entrance and exit briefings with key participants and management officials. Interviews and focus groups are formal in nature. Individual interviews and focus group sessions provide information to support or amplify findings derived from other data and documents.

Interviews and focus group sessions provide information regarding the impact of HC programs and practices on the serviced population.

Interviews, Focus Groups, and Questionnaires

While conducting virtual or on-site interviews or focus group sessions, team participants (usually interviewer and note taker(s) will briefly describe the purpose of the assessment. The team will inform interviewees that group interviews are being used to obtain perceptions and opinions of employees, supervisors, and managers about the agency or component's HCM practices. The interviewer should assure the interviewees that their comments and the information they provide will not be attributed to any one individual and will ask the interviewee(s) not to disclose topics or information discussed and not to discuss questions or responses with other focus-group participants.

Generally, but not exclusively, interviews are conducted with the following individuals and groups:

- One or two groups of non-supervisory employees (size dependent on the size of the organization)

- One group of first-level supervisors (size dependent on the size of the organization)

- One group of second-level managers (size dependent on the size of the organization)

- HR Specialists
  - HR Assistants
  - HR program managers for the functional area being evaluated (Training Program Manager, Workforce Planning Manager, Performance Program Manager, etc.)
  - DE staff and selecting officials.
  - DE Program Manager
  - HC and Resources Officer
  - Senior Leaders and Executive Management Officials
  - Union Leaders

Records Review

The HC Framework Handbook Repository (https://www.dcpas.osd.mil/policy/accountability) includes checklists, templates, and references to assist agencies/components with their annual HCF and DE self-assessments/evaluation activities. Each checklist line item directly corresponds to critical success factors and key elements within each HCF system. The checklists will assist organizations with determining whether their programs meet the effectiveness and compliance indicators as determined for each HCF system.

Agencies and components should retain completed checklists with their organization's final overall annual self-assessments and:

- Provide a narrative response to the comments where explanation may be necessary,

- Be prepared to provide documentation to support findings of DCPAS and applicable agency/component senior leadership and key stakeholders.

The team will analyze various relevant data such as personnel action trends, previous HC evaluation report findings, and related Federal Employee Viewpoint Survey results. Examples of records to review for individual actions may include:

- Hiring records and associated case files (job analyses, position descriptions, JOAs, assessment questionnaires, rating determinations, applications/resumes, etc.)

- Standard Form (SF)-50s and SF-52s in electronic Official Personnel Folders

- Employee performance files (e.g., performance appraisals, awards, justifications, approvals) and training records

- Disciplinary and performance-based action case files

- Labor and management relations files (e.g., certificates of representative, collective bargaining agreements, taxpayer-funded union time records)

- Workforce-shaping files (e.g., Priority Placement Program, Voluntary Separation Incentive Payment, Reduction-in-Force)

- Incentive justifications, approvals, written documentation, and service agreements

The evaluation team will compare processes and activities against applicable laws, regulations, policies, standard operating procedures, etc. If the evaluation team has questions related to processes or activities, or needs additional information, they will submit a written inquiry to the agency/component. All written inquiries (formal or informal) will be reviewed and tracked by the evaluation lead or co-lead prior to submission to the agency or component POC for response. The agency/component will usually have 24 hours (1 business day) from the time of issuance to respond to the inquiry. This will provide the agency/component with time to review the inquiry and formulate a response. If deficient actions are found the HR Officer (HRO), or agency or component's HR POC, will be given the opportunity to correct them during the evaluation. Individual deficiencies that are corrected during the evaluation will not be identified in the formal report unless they are significant or part of a fundamental issue.

Team meetings and briefings

Most of the work accomplished by the evaluation team during the evaluation week(s) includes assessment of programs and cases, communication with HR supervisors, and frequent team discussions and meetings of a professional but informal nature. Team meetings are to discuss evaluation progress, and to compare advance information and evaluation notes, common findings, or concerns. The evaluation lead will facilitate daily or weekly meetings with the agency or component's POC to discuss findings, status of outstanding written inquiries, and any major concerns that arise during that day's review activities. This process ensures continuous communication and clarity of findings throughout the evaluation.

The evaluation lead, co-lead, or delegate will conduct a technical finding briefing with the agency or component's HC or HR management. The purpose of this separate briefing is to provide specific case information (e.g., announcement numbers, applicant names) on the tentative findings prior to the general exit briefing. The exit briefing provides a preview of tentative findings and identifies potential corrective actions that may be required. Exit brief attendees should include component and Department key HC stakeholders such as the agency Senior Executive Leadership, HROs, Process Improvement POCs, and the DCPAS APM.

Phase 3: Post-evaluation

Post-evaluation activities represent approximately 20 percent of the evaluation time. These activities include research, data mining, report writing and follow-up with the agency or component to close out the evaluation. At the close of an evaluation, the lead evaluator and system leads will review, assess, compile, and consolidate data and information obtained from advance information requests, interactions with HR staff, and written observations made by evaluation team members. Each evaluation team member will analyze and review the data and information in relation to specific measures and expected outcomes. This process further identifies and establishes the findings and solutions that may improve the component's HC evaluation management. This is also the opportunity to identify, collect, and document the best notable practices for Departmental sharing and evaluation system standard advancement.

Evaluation Reporting

The reporting agency or component will provide a HCME (HCF and DE) evaluation report with the evaluation teams results of required and recommended actions to the agency or component's senior leadership, HCOP, accountability and DE program managers, and the DCPAS no later than:

- 60 calendar days after completion of a DE evaluation; or

- 90 calendar days after completing an evaluation of two HCF systems or

- 120 calendar days or less after completion of a full HCF evaluation (four HCF systems) or study.

Evaluation findings are grouped into one of the following categories:

- Moderate Findings – Errors that have no harmful impact or to a limited extent, have an adverse impact on the HCM process or could adversely impact public confidence in the HCM system or may have significant documentation deficiencies that preclude reconstruction of case files.

- Critical Findings – Identified evaluation results of a deficiency, or a series of deficiencies, which has affected, or leads to a significant risk of affecting the quality of HR programs or processes, regulatory compliance or violate standards as defined by policies.

Evaluation reports will be distributed to the DCPAS and the agency or component senior leadership, the DCPAS Accountability Division, agency/component Accountability and DE program managers and their respective Inspector General POCs. HCME (HCF and DE) evaluations and supporting documentation may contain potentially sensitive information and may vary in scope. The information contained within the evaluation reports and all supporting documentation is protected from mandatory disclosure under the Freedom of Information Act. Evaluations reports, including any attachments, are for the sole use of the intended recipient(s) and should not be released to unauthorized

persons. Further distribution of evaluation reports should remain limited and at the discretion of the DCPAS and agency/component senior leadership or delegate.

The agency or component will have 90 calendar days from issuance of the report of findings to respond with an outline of the actual or planned steps to address the required and recommended actions identified in the report. Supporting documentation and action plans with timelines, deadlines, and responsible officials must be included in the response to the DCPAS and reporting agency/component.

Final Steps in the Evaluation Process

The DCPAS will forward a copy of the final report to the OPM. The component's response and plans will be assessed by the DCPAS, OPM lead evaluator, and HCF system lead for accuracy and completeness and will be used to document and track identified actions. The DCPAS will follow up with the component, as necessary, ensuring the completion of corrective actions. All findings resulting from the evaluation must be resolved with supporting documentation or action plans within 90 calendar days from the issuance of the evaluation report. The DCPAS will evaluate component finding resolutions, supporting documentation and action plan(s) to formally close out the evaluation in accordance with OPM guidelines. A closed-out evaluation will result in a formal memo to the component and OPM. If needed, the DCPAS will follow up with components on a case-by-case basis (policy revisions, variation requests, etc.) after formally closing an evaluation. The component must retain all records associated with the evaluation in accordance with established records distribution guidelines.

The DCPAS Director, DoW APM, or delegate will ensure compliance by working with the HRO or with the component-level official, as appropriate. Issuance of the close-out notification will occur in the same manner as previous evaluation activities upon validation and verification that adequate corrective or improvement actions have been met. Evaluation activities, results, and performance outcomes will report and inform using HRStat to strengthen the evaluation system. The CPPC, HC Strategic Advisory Group, and DoW Accountability Community of Practice will receive periodic briefings regarding evaluation activities, trends, and notable/promising best practices.

Evaluation results will be used to ensure DoW's adherence to applicable Federal laws, directives, merit, and excepted-service system requirements, and assist with identifying emerging trends and promising long-term successful practices. The DoW civilian HCME systems will continue to evolve and enable our commitment to support the Department and its components by providing guidance, methodologies, and procedures for conducting evaluations.

Contact

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Human Capital Framework

HC Framework (HCF)

The HCF provides directions on HC planning, implementation, and evaluation in the Federal environment. The HCF guides agencies to effectively manage an organization's talent by promoting the use of sound talent management practices. It provides talent management strategies that support and shape an organization's current workforce, while preparing for the future. Additionally, HCF provides guidance on evaluation techniques that measure progress and outcomes for program and policy effectiveness and prepares organizations for change by providing a foundation for organizational agility.

These **four** systems are:

Strategic Planning & Alignment (Plan)

Strategic Planning
& Alignment System

Definition: A system that ensures agency HC programs are aligned with agency mission, goals, and objectives through analysis, planning, investment, and measurement.

Talent Management (Implement)

Talent Management
System

Definition: A system that promotes a high-performing workforce identifies and closes skill gaps; implements and maintains programs to attract, acquire, develop, and promote quality talent.

Performance Culture (Implement)

Performance Culture
System

Definition: A system that engages, develops, and inspires a high-performing workforce by creating, implementing, and maintaining effective performance management strategies, practices, and activities that support mission objectives and drive outcomes.

Evaluation (Evaluate)

Evaluation
System

Definition: A system that contributes to agency performance by monitoring and evaluating outcomes of its HCM strategies, policies, programs, and activities.

HCF Systems Focus Areas:

Strategic Planning and Alignment

- Agency Strategic Planning
- Annual Performance Planning
- Strategic HC Planning
- HC Best Practices and Knowledge Sharing
- HR as a Strategic Partner
- Organizational Development
- Change Management

Performance Culture

- Engaged Employees
- Continuous Learning
- Performance Management
- Labor and Management Partnership
- Work Life

Talent Management

- Workforce Planning
- Recruitment and Outreach
- Employee Development
- Leadership Development
- Retention
- Knowledge Management

Evaluation System.
- Business Analytics
- Data Driven Decision-Making

*Focus Areas listed are not simultaneously required.

Glossary

Accountability Program Manager (APM). The DCPAS subject matter expert for HC Assessment and Evaluation. Partners with the OPM and component oversight counterparts to evaluate compliance of HC programs. Provides policy and procedural guidance to components.

Agency. Executive departments, government corporations, and independent establishments excluding the Central Intelligence Agency, Government Accountability Office, United States Postal Service, and Postal Regulatory Commission. For purposes of the HCF evaluation program, the DoW is considered the "agency."

Audit. An audit is a process used to determine whether something was done correctly, such as checking personnel records to verify their accuracy or personnel action processing to ensure prescribed steps were followed. Audits deal with facts that are not open to dispute and address process violations through corrective action.

Best Practice. A reliable method or technique that has been generally accepted as superior to any alternatives because it produces results that are superior to those achieved by other means or because it has become a standard way of doing things.

Chief Human Capital Officer (CHCO). The agency's senior leader whose primary duties are to: (1) Advise and assist the head of the agency and other agency officials in carrying out the agency's responsibilities for selecting, developing, training, and managing a high-quality productive workforce in accordance with MSP; and (2) Implement the rules and regulations of the President, OPM, and laws governing the civil service within the agency.

Chief Human Capital Officer (CHCO) Act. The CHCO Act of 2002 or, Title 13 of the Homeland Security Act, establishes CHCOs in agencies. The CHCO Council, led by the OPM Director, leads the development of strategic HCM systems, the relationship of strategic HCM to agency performance plans and reports, and HR flexibility. It clarifies management accountability for managing HR.

Code of Federal Regulations (CFR). Codified general and permanent rules published in the Federal Register by the Executive departments and agencies of the Federal Government.

Communication. The agency processes for sharing information and ideas about the organization with all employees. This vital process includes eliciting employee feedback and involvement for all employees to play an appropriate role in planning and executing the mission.

Compliance. Being in accordance with laws, rules, regulations, standards, or requirements. For example, in conducting a records review of personnel actions, an

evaluator would determine if each action examined conformed to the appropriate requirements. At the program level, compliance addresses agency adherence to MSP and any required processes.

Component. For the purposes of the HCF evaluation program, the components refer to the Military Departments, as well as the collection of Defense Agencies and DoW Field Activities and other organizations usually referred to as the "Fourth Estate" or "Defense-Wide Programs."

Continuous Learning. Providing opportunities for continuous development and encouraging employees to participate. Leaders invest in education, training, and other developmental opportunities to help themselves and their employees build competencies.

Corrective Action. Any steps or measures required by the OPM to rectify violations of law, rule, Executive order, or regulation. This term is generally used interchangeably with required action.

Deputy Assistant Secretary of War for Civilian Personnel Policy (DASW(CPP)). DoW's HR policy office. The DASW(CPP) formulates plans, policies, and programs to manage the civilian workforce effectively and humanely and supports DoW with personnel policy leadership and with support from the DCPAS. The DASW(CPP) also manages the non-appropriated fund personnel system and provides guidance for the foreign national employment program within DoW.

Defense Civilian Personnel Data System (DCPDS). DoW's enterprise-wide automated HR information and transaction processing system for DoW civilian employees. This system includes classification, staffing, training, employee benefits, Equal Employment Opportunity complaints tracking, and data retrieval information on DoW civilian employees. Each DoW HR Regional Service Center uses DCPDS to process its civilian HR actions. Data from DCPDS flows to Customer Support Unit databases at each Regional HR office, as well as to the Corporate Management Information System. These databases are read-only and query-only. In addition, personnel data also flows to a variety of external interfaces, some of which are bi- directional. (Note: This system may be replaced in the future due to ongoing streamlining of Personnel Systems).

Defense Civilian Personnel Data System-Corporate Management Information System (DCPDS-CMIS). Data warehouse system is comprised of current and historical data on all DoW civilian employees serviced by DCPDS. Tools for extracting data include the business objects query tool, the web intelligence query tool, direct structured query language queries, and manager dashboards. Users may obtain reporting data through standard corporate reports, ad hoc queries, or standard dashboard metrics.

Delegated Examining (DE). Authority delegated by the OPM to an executive agency to conduct DE, i.e., examine applicants for competitive service positions that are open to all U.S. citizens including current Federal employees. DE is synonymous with competitive examining (5 U.S.C. §1104).

Delegated Examining Unit (DEU). A DEU is an agency or installation that carries out examining operations that have been specifically delegated to the organization by the OPM by means of a signed delegation agreement under the provisions of Title 5, U.S.C., Chapter 11, and Section 1104. DEUs are reviewed periodically by OPM evaluators to assure compliance with governing regulations and MSPs.

DoW Matrix Team Framework. An ongoing/annual planned sharing of agency and component resources to upskill/reskill employees while ensuring continuity with the exchange of HR compliance knowledge and skills across the DoW aligned to OPM and DoW HC policies, procedures, and processes.

Effectiveness. The level of achievement of program goals and the results intended (as defined in strategic plans and in legislation). Examples include the percentage of trainees employed 1 year after completing job training, the rate of compliance in filing tax returns, and the percentage of customers/employees satisfied in relation to relevant indices.

Efficiency. The degree to which programs are executed, or activities are implemented to achieve results while avoiding wasted resources, effort, time, or money.

Evaluation System Assessment (ESA). Provides the OPM with a mechanism to assess four components of an agency's HC system and identify government-wide strengths and areas for improvement within each assessment area. The four components are the HCOP, HRStat Program, IAP, and HC Reviews.

Evaluation. Individual studies to assess how well an entire program or some specific strategy or an aspect of a program works to achieve intended results or outcomes. Evaluations may address questions related to the overall performance of the program, the implementation of the program, the effectiveness of program strategies, or factors that relate to variability in effectiveness of the program or strategies. Evaluations can also examine questions related to measurement of progress, such as the reliability of performance data, identifying appropriate goals or targets for performance, and understanding the contextual factors surrounding a program.

Electronic Official Personnel Folder (eOPF). Web-enabled system used by the OPM to maintain employment records on civilian Federal employees. Content is organized and stored in accordance with the Guide to Personnel Recordkeeping and

other pertinent legal and regulatory guidance. Evaluators may leverage this technology to virtually assess employment records of a geographically dispersed workforce.

Evaluation System. A system that contributes to agency performance using a data-driven process to monitor and evaluate the outcomes of its HC management strategies, policies, programs, and activities.

Federal Employee Viewpoint Survey (FEVS). Administered annually by the OPM and has Office of Management and Budget visibility. The survey focuses on employee perceptions regarding how effectively agencies manage their workforce. Questions focus on critical areas such as employee work life, job satisfaction, commitment, and engagement. HCF indices data are computed and used to produce government-wide rankings. Results within the DoW are segregated by component, agency, and activity. Results are utilized to inform HC evaluation efforts and meet legislatively mandated reporting requirements.

Government Performance and Results Act (GPRA) Modernization Act (GPRAMA) of 2010. The law that requires agencies to set strategic goals, measure performance, and report on the degree to which goals are met. GPRAMA requires agencies to set long-term goals and objectives as well as specific, near-term performance goals.

HRStat. A strategic HC performance evaluation process that identifies, measures, and analyzes HC data to inform the impact of agency HC on organizational results and to improve HC outcomes. HRStat is a component of an agency's evaluation system that is a part of the HCF.

Human Capital Evaluation Framework (HCF). Formed by three HC evaluation mechanisms (HRStat, Audits, and HC Strategic Reviews) to create a central evaluation framework that integrates the outcomes from each to provide the OPM and agencies with an understanding of how HC policies and programs are supporting missions.

Human Capital Framework (HCF). Provides comprehensive guidance on the principles of strategic HCM in the Federal Government. The framework provides direction on HC planning, implementation, and evaluation in the Federal environment.

Human Capital Management Evaluation (HCME). A review or assessment of an agency's efficiency and effectiveness of strategic and alignment, performance culture, talent management, and evaluation programs, compliance with related law, regulations, and internal policies, including adherence to MSP.

Human Capital Operating Plan (HCOP). The overarching document that establishes the long-term direction and outcomes of HC programs. The HCOP is a companion document to the Department and Component Strategic Plans, and outlines in greater detail the workforce related strategies that enable mission accomplishment. The HCOP also outlines the success criteria associated with the long-term HC strategies.

Human Capital Planning. The agency designs a coherent framework of HC policies, programs, and practices to achieve HC requirements to directly support the agency's strategic plan.

Human Capital Reviews. An annual process led by the OPM, to review DoW's progress in accomplishing (HCOP, HRSTAT, IAP) goals and objectives and to document areas of success, identify opportunities to provide support, and to establish a government-wide view of HC effectiveness and impact.

Human Capital Strategic Review. The OPM's review of an agency's design and implementation of its HCOP, independent audit, and HRStat programs to support mission accomplishment and HC outcomes.

Human Resources (HR). The population of employees who make up the workforce, business sector, or economy. HR may also refer to the organization that is authorized to perform HR functions such as staffing, compensation, workforce planning and policy, labor, and employee relations, and more.

Independent Audit Program (IAP). A mechanism used by each agency with personnel appointing authority to assess the effectiveness, efficiency, and legal, regulatory, and policy compliance of DE and Merit Promotion (MP) HR operations through comprehensive program evaluation. An agency IAP program must include annual reviews of a minimum of two of their HCF systems (Strategic Planning & Alignment, Performance Culture, Talent Management, and Evaluation) in addition to the required annual DE and MP self-audit which falls under the Talent Management system.

Investigations & Resolutions Case Management System. A DCPAS-owned and operated database management system designed to augment existing available automation and to standardize processes and procedures related to evaluating and reporting on work performed by DEUs. The DE module of the Investigations and Resolutions Case Management System has been designed to coincide with USA Staffing workflow, eOPF structure, and OPM-endorsed program and action checklists. Data entry, storage, retrieval, and manipulation will be standardized. Reporting and trend analysis capabilities will be available for individual DEU, combined component, and total Department levels. Automatically generated report capability will expedite the feedback communication process with DEU supervisors and component managers.

Leadership Defined:

- First Level Supervisor: A position requiring the exercise of supervisory responsibility that meets, at least, the minimum requirements for application of the General Schedule Supervisory Guide, the Federal Wage System Job Grading Standard for Supervisors, or similar standards of minimum supervisory responsibility specified by position classification standards or other directives of the applicable pay system.

- Mid-level Supervisor: A position that meets the criteria defined under first level supervisor above and, in addition, directs work through at least two or more subordinate supervisors who meet the definition of first level supervisor. Mid-level supervisors do not exercise managerial authority as defined under "Manager" below.

- Manager: In addition to meeting the criteria defined under mid-level supervisor above and minimum requirements for coverage of the General Schedule Supervisory Guide. The manager position assumes the authority vested in some positions under the General Schedule. The manager directs the work of an organizational unit and is held accountable for the success of specific line or staff functions, monitor, and evaluate the progress of the organization. As described in Section 5104 of Title 5, U.S.C., such positions may serve as head or assistant head of a major organization within a bureau; or direct a specialized program of marked difficulty, responsibility, and national significance.

Matrix Team. Agency and component HR subject matter experts that will leverage HR and HC experience and knowledge by participating in an annually scheduled HCF/HCME audit to support the DoW HCF assessment requirements.

Merit System Principles (MSPs). Nine MSPs governing Federal personnel management, in accordance with Section 2301 of Title 5, U.S.C.

Metrics. Measurements that provide valuable insights into workforce trends, help optimize processes and inform strategic decision making for talent management and decision outcomes.

Milestones. A scheduled event signifying the completion of a major deliverable or a phase of work.

National Defense Authorization Act (NDAA). The annual appropriations authority for military activities of the DoW, military construction, and for defense activities of the Department of Energy.

Office of Management and Budget. Serves the President of the United States in

overseeing the implementation of his policy, budget, management, and regulatory objectives and to fulfill the agency's statutory responsibilities.

Office of Personnel Management (OPM). Provides HR leadership and support to Federal agencies to include policy and oversight for all policy created to support Federal HR departments, from classification and qualifications systems to hiring authorities, and from performance management to pay, leave, and benefits.

Program Evaluation. Individual studies to assess how well a program is working to achieve intended results or outcomes. Program evaluations are often conducted by experts external to the program either inside or outside an agency.

Prohibited Personnel Practices. Section 2302 of Title 5, U.S.C. defines 14 personnel practices that are prohibited by law. These practices describe results or outcomes of poor management practices and should never occur. Managers are held accountable for making HR decisions free of prohibited personnel practices.

Recommended Action. A recommendation is a solution that eliminates the true cause of a problem identified during an evaluation of an organization's HRM program. Recommended actions are distinguished from required actions that must be taken to prevent, correct, or regularize violations of laws or regulations, including MSP/prohibited personnel practices as provided in Sections 2301 and 2302 of Title 5, U.S.C.

Recruitment. The workforce plan drives the aggressive and strategic recruitment of qualified candidates for the agency's workforce.

Regularize. To bring a personnel action which violated law, rule, or regulation into conformity with the requirements of law, rule, or regulation. The action(s) taken to correct such a violation will depend on the nature of the violation and other pertinent circumstances.

Retention. Leaders, managers, and supervisors create and sustain effective working relationships with employees. The workplace is characterized by a motivated and skilled workforce; attractive and flexible working arrangements; and compensation packages and other programs used to hire and retain employees who possess mission-critical skills, knowledge, and competencies.

Required Action. A solution for correcting personnel actions or programs that are not in compliance with either legal and regulatory requirements or MSP's or both. It is also referred to as corrective action.

Skills Gap. A variance between the current and projected workforce size and skills needed to ensure an agency has a cadre of talent available to meet its mission and make progress towards its goals and objectives.

Solution. A solution is the action(s) that need to be taken to eliminate the true cause of the problem. Solutions are presented as recommendations if they do not involve legal or regulatory violations and as required actions if they do.

Standard. A consistent practice within HCM in which agencies strive towards each of the four HCF systems. Standards ensure that an agency's HCM strategies, plans, and practices ensure that Federal HCM practices that strive towards achieving a high level of (measurable) quality that ensures the attainment of organizational goals.

Strategic Plan. A formal description of how an agency will carry out its mission over a period. The strategic plan must include the agency's mission, its strategic goals, the strategies to be used to achieve the goals (including workforce adjustments, staff skills, and HR programs), a description of the relationship between annual program performance goals and the agency's strategic framework, key factors that could affect achievement of strategic goals, and a description of program evaluations used in preparing the strategic plan. GPRA requires agencies to develop and maintain strategic plans covering a 5-year period, which is updated every 3 years.

Title 5. The codification of Federal regulations based on the law and govern civilian HR. The laws under this title are referenced as Title 5, U.S.C. Implementing regulations and rules for this title are referenced as Title 5, CFR.

USA Staffing. The OPM's hiring software solution for Federal agencies and is compliant with Federal hiring regulations and meets Federal Information Technology security requirements. The software equips users to develop and post JOAs; create web-based assessment tools determined by job analysis data; store and reuse assessment and announcement templates; review applications, resumes, and other documents online; rate and rank applicants using single or multiple assessments; electronically refer candidates to hiring officials for review and selection; notify applicants of their status throughout the hiring process; audit certificates of eligible candidates online; electronically onboard selected applicants; document the recruitment process in compliance with rules and regulations; and achieve the up to 80-day hiring timeline standards.

Violation. This is an action which is contrary to law, rule, Executive order, or regulation.

Workforce Planning. The organization identifies the HC required to meet organizational goals; conducts analyses to identify competency gaps; develops strategies to address HC needs and close competency gaps; and ensures the organization is appropriately structured.

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