SECNAV INSTRUCTION 12273.1B

From: Secretary of the Navy

Subj: CIVILIAN HUMAN CAPITAL MANAGEMENT ASSESSMENT PROGRAM

Ref: (a) OPM - Human Capital Management (https://www.opm.gov/policy-data-oversight/human-capital-management/)
(b) 31 U.S.C. §1115(a)
(c) 5 CFR 250
(d) 42 U.S.C. §2000e
(e) 5 U.S.C. §305, 552a, 1103
(g) SECNAV M-5214.1

Encl: (1) Responsibilities

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

2. **Cancellation.** SECNAVINST 12273.1A.

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 (e) 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) and (b) 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 (c) through (e) link HCM to performance and budget processes. 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 as identified in Enclosure 1. 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. Department of Defense (DoD) Civilian Personnel Advisory Service (DCPAS) is responsible for facilitating the development, implementation, execution, and evaluation of the DoD Civilian Human Capital Strategic Plan and the Civilian Human Capital Evaluation System. In addition, DCPAS 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 and DoD requirements, to ensure appropriate internal controls, and to monitor and improve civilian HCM.

f. 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, disability, or genetic information. In addition, the DON has affirmative action obligations for the employment of individuals with disabilities. HCM programs and reporting processes will be managed so as to fully support and complement those principles. Guidance and requirement for the DON EEO program assessment and reporting are issued under the Office of the Secretary of the Navy (SECNAV) Instruction governing DON EEO Programs.

4. Applicability. This instruction applies to the Office of the SECNAV, the Chief of Naval Operations, the Commandant of the Marine Corps, and all U.S. Navy, U.S. Marine Corps installations, commands, activities, field offices, and all other organizational entities within the DON.
5. **Policy**

   a. All DON components shall maintain effective systems for internal controls, 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.

   b. Within the DON, 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.

6. **Responsibilities.** See enclosure (1).

7. **Action.** Addressees shall ensure that organizations within their respective staff offices and chains of command adhere to the program and reporting requirements outlined in reference (f).

8. **Records Management**

   a. Records created as a result of this instruction, regardless of format or media, must be maintained and dispositioned according to the records disposition schedules found on the Directives and Records Management Division (DRMD) portal page: [https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/SitePages/Home.aspx](https://portal.secnav.navy.mil/orgs/DUSNM/DONAA/DRM/SitePages/Home.aspx).
b. For questions concerning the management of records related to this instruction or the records disposition schedules, please contact your local Records Manager or the DRMD program office.

9. Reports. Report Control Symbol SECNAV 12273-1 is assigned to the reporting requirement contained in reference (f), per reference (g).

GREGORY J. SLAVONIC  
Assistant Secretary of the Navy  
(Manpower and Reserve Affairs)

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RESPONSIBILITIES

1. 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.

2. 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 Policy and Programs, shall:

   a. Develop and interpret program policy and procedures in accordance with references (a) and (b);

   b. Develop and publish an annual DON OCHR Civilian Human Capital Assessment Focus Guide applicable to the current fiscal year;

   c. Provide access to data and assessment tools, including workforce and HR metrics, benchmarks and standards as available;

   d. Assess and evaluate civilian HCM Assessment Program results within the Department of the Navy;

   e. Coordinate DON-wide efforts to meet the civilian HCM Assessment Program reporting requirements;

   f. Direct and ensure compliance with required corrective actions;

   g. Develop and promulgate standards of adequacy for civilian workforce assessment, and for effectiveness in delivery of civilian HR services;

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

   i. Provide guidance and assistance to commands, Navy activities and the Marine Corps on developing and implementing civilian HCM assessment programs;
j. As required, conduct DON-wide employee surveys of HCM attributes, share results with DON components and recommend actions to improve results;

k. Oversee and compile information from employee surveys by DON commands or components; disseminate and share results, identify trends and recommend action on results; and

l. Serve as the DON focal point with external organizations for all matters related to the accountability, internal controls, assessment and evaluation of civilian HCM.

3. The Department of the Navy Assistant for Administration, the Chief of Naval Operations, the Commandant of the Marine Corps and Echelon 2 commands shall:

   a. Ensure compliance and reporting on civilian HCM Assessment Program requirements within their respective staff offices and chains of command in accordance with reference (f);

   b. 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 reference (f);

   c. Respond to requests for information or action from OCHR and DCPAS, and ensure that staff offices and subordinate activities comply with required actions within specified timeframes; and

   d. Utilize HCM Assessment Program information and internal controls to improve civilian HCM in organizations under their cognizance.

4. Commanders and Activity Heads shall:

   a. Perform civilian HCM Assessment Program requirements in accordance with reference (f);

   b. Provide information requested by OCHR and DCPAS;

   c. Furnish necessary support to representatives of OCHR and DCPAS in support of their assessment and evaluation requirements;
d. Collect, analyze and maintain data and metrics on key indicators of workforce health, HR program effectiveness and accountability;

e. Respond to OCHR and DCPAS evaluation findings, recommendations, and required actions within required timeframes;

f. Utilize civilian HCM Assessment Program results to improve civilian HCM; and

g. As needed, provide HC assessment of adequacy of support from assigned HR service delivery staffs and organizations.

h. In addition to paragraphs 4a through 4g above, where command/activity responsibilities include resource sponsorship of HR service organizations (including oversight of Directors of Civilian Human Resources; HR Offices; and HR Operations Centers), commanders and activity heads shall assess and evaluate the effectiveness of HR service delivery as well as workforce and HR program HCM in accordance with paragraph 5e.

5. **HR Service Providers** shall:

a. Provide assistance to serviced activities in developing civilian HCM assessment programs in accordance with reference (f) that is consistent with activity size, mission requirements and command requirements;

b. Perform civilian HCM Assessment Program requirements, in accordance with reference (f), 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;

c. Provide information requested by OCHR and DCPAS;

d. Furnish necessary support to representatives of OCHR and DCPAS in support of their assessment and evaluation requirements;

e. Respond to OCHR and DCPAS evaluation findings, recommendations, and required actions within required timeframes; and
f. Utilize civilian HCM Assessment Program results to improve civilian HCM services.