



DEPARTMENT OF THE NAVY  
OFFICE OF THE SECRETARY  
1000 NAVY PENTAGON  
WASHINGTON, D.C. 20350-1000

SECNAVINST 12273.1  
ASN(M&RA)/DASN(CP/EEO)  
16 March 1999

SECNAV INSTRUCTION 12273.1

From: Secretary of the Navy

Subj: ASSESSMENT AND EVALUATION OF CIVILIAN HUMAN RESOURCES  
MANAGEMENT (HRM)

Ref: (a) 5 U.S.C. 2301, 2302  
(b) 7 U.S.C. 633, 791  
(c) 42 U.S.C. 2000e-16

Encl: (1) DON Civilian HRM Assessment and Evaluation Program  
and Reporting Requirements  
(2) Report Format

1. Purpose. To provide policy and guidance regarding the assessment and evaluation of programs, results and accountability for civilian HRM, including both personnel and equal employment opportunity, within the Department of the Navy (DON).

2. Cancellation. OCPMINST 12273.1.

3. Background

a. The quality and effectiveness of civilian HRM programs impact directly on the productivity, efficiency, and mission accomplishment of DON activities and commands.

b. References (a), (b), and (c) provide a basic framework for HRM within the Federal government.

c. All Federal agencies are required to evaluate their HRM programs.

d. The purpose of civilian HRM assessment and evaluation within the DON is to improve civilian HRM.

4. Policy. All DON components shall maintain effective systems for assessing and evaluating civilian HRM programs, results and accountability. Accountability includes compliance with law, regulation and policy, as well as ensuring that HRM supports mission accomplishment. Enclosure (1) provides DON program and reporting requirements.

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5. Responsibilities

a. The Assistant Secretary of the Navy (Manpower and Reserve Affairs) has overall program responsibility for assessment and evaluation of civilian HRM programs, results and accountability within the DON.

b. The Deputy Assistant Secretary of the Navy (Civilian Personnel/Equal Employment Opportunity) (DASN(CP/EEO)) is responsible for management and administration of the DON assessment and evaluation program, and shall:

- (1) develop and interpret program policy and procedures;
- (2) assess and evaluate civilian HRM programs, results, and accountability within the DON;
- (3) coordinate DON-wide efforts to meet program reporting requirements;
- (4) direct and ensure compliance with required corrective actions;
- (5) provide guidance and assistance to commands, Navy activities and the Marine Corps on developing and implementing civilian HRM assessment programs; and
- (6) serve as the DON focal point with external organizations for all matters related to the evaluation and assessment of civilian HRM.

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

- (1) ensure and certify that self-assessment of civilian HRM is performed in their respective staff offices and chains of command, and that methods used are sufficient to support assessment and evaluation of civilian HRM within their chain of command;
- (2) report annually on the adequacy of civilian HRM within their staff offices and chain of command, as addressed in enclosures (1) and (2);

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(3) respond to requests for information or action from the DASN(CP/EEO), and ensure that staff offices and subordinate activities comply with required actions within specified timeframes; and

(4) utilize assessment and evaluation information to improve civilian HRM.

d. Activity heads and commanders shall:

(1) perform self-assessment of civilian HRM on a regular basis;

(2) provide information requested by the DASN(CP/EEO);

(3) furnish necessary support to representatives of the DASN(CP/EEO) in support of assessment requirements;

(4) respond to evaluation findings, recommendations, and required actions within required timeframes; and,

(5) utilize self-assessment results to improve civilian HRM.

e. Human Resources Service Providers shall:

(1) provide assistance to serviced activities in developing HRM self-assessment programs that are consistent with activity size, mission requirements and command requirements;

(2) perform self-assessment of the HRM services they perform 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; and,

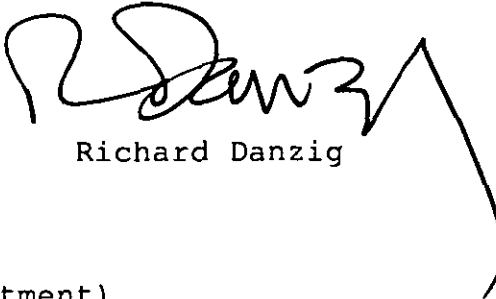
(3) utilize self-assessment results to improve civilian HRM services.

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 enclosures (1) and (2).

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7. Reports. SECNAV 12273-1 is assigned to the reporting requirement contained in enclosures (1) and (2) per SECNAVINST 5214.2B.



Richard Danzig

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DON CIVILIAN HRM ASSESSMENT AND EVALUATION  
PROGRAM AND REPORTING REQUIREMENTS

1. The general guidelines that apply to assessment of command and activity civilian human resources management (HRM), including both personnel and equal employment opportunity (EEO), include the following:

a. Assessment of command and activity civilian HRM is an integral and ongoing element of the management process. Without it, managers are unable to guide their programs with maximum effectiveness. Civilian HRM assessment and evaluation apply to all issues that have an impact on the use of human resources.

b. Assessment of civilian HRM should take into account the strategic plans of the organization, including goals and objectives with strong links to the effective and efficient use of civilian employees.

c. To be considered comprehensive, assessment must address the HRM responsibilities of line management, not just the work of human resources service providers. This includes making determinations such as whether delegated authorities are being properly carried out, whether personnel management is contributing to mission accomplishment, whether the organization is attracting and retaining the best talent available, and whether EEO goals and objectives are being achieved.

d. Characteristics of successful organizations include systematic and objective measurement processes, goal setting, comparisons with other organizations, and documentation of results, allowing assessment of trends over time. The self-assessment process may be simple or complex, consistent with the size and mission of the organization. Self-assessment should be performed on a regular and recurring basis. The time period for an activity's self-assessment cycle should be based on activity size, complexity, and previous findings - normally every 1-2 years.

e. Detailed guidance for performing activity level self-assessment, including information on desired outcomes, examples of implementation methods, examples of assessment methods, and sources of support for implementation of self-assessment processes is provided in ODASN(CP/EEO) Guide 273-01. This guidance may be

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supplemented by command level guidance or, in the case of the Marine Corps, guidance from the Commandant of the Marine Corps.

2. Human resources service providers include Human Resources Offices, Human Resources Service Centers, and other organizations that perform similar functions. The general guidelines that apply to assessment and evaluation of human resources services include the following:

a. Human resources service providers shall ensure that the services they provide are efficient, effective, meet technical and legal requirements, and meet the mission requirements of their own organization and those of their customers.

b. Characteristics of successful self-assessment of services include systematic and objective measurement processes, goal setting, comparisons with other organizations, and documentation of results, allowing assessment of trends over time. Self-assessment should be performed on a regular and recurring basis, normally every 1-2 years.

c. Detailed guidance for self-assessment by HR service providers is provided by ODASN(CP/EEO) Guide 273-02. This guidance may be supplemented by command level guidance or, in the case of the Marine Corps, guidance from the Commandant of the Marine Corps.

3. The DASN(CP/EEO) shall perform reviews sufficient to completely and accurately assess the status of DON civilian HRM, including line management and human resources service provider responsibilities. Such reviews shall include assessment and evaluation of:

- a. implementation of new policies;
- b. strengths and areas for improvement in civilian HRM;
- c. command programs for support and assessment of civilian HRM in their respective staff offices and chains of command;
- d. activity programs for support and self-assessment of civilian HRM; and,

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e. human resources service providers, including strengths and areas for improvement, in efficiency, effectiveness, technical and legal requirements, and ability to meet the mission requirements of their customers.

4. The DASN(CP/EEO) shall coordinate assessment schedules with other oversight organizations, such as inspectors general and the Office of Personnel Management, in order to reduce administrative burden and, where possible, eliminate duplication. Automated data collection shall be used when data is available through established information systems in order to further reduce administrative burden on DON activities.

5. The DASN(CP/EEO) is authorized to issue a certification of action to correct a legal or regulatory violation or classification error. In such an action, the certification is binding on all personnel and payroll actions related to the required action. Such action shall be coordinated with affected organizations to minimize adverse impact on the organizations' employees and mission.

#### 6. Review and Reporting Requirements

a. The Chief of Naval Operations, the Commandant of the Marine Corps, the Assistant for Administration of the Under Secretary of the Navy, and Echelon 2 commands, shall ensure that civilian HRM is assessed in all organizations within their chain of command. This process can be performed through cyclic review, with a review cycle of up to 4 years to review the entire command. Each year, by 31 January, they shall submit, for the previous fiscal year, an annual report to the DASN(CP/EEO). The report shall be in the format outlined in enclosure (2) and include:

(1) a certification that:

(a) Civilian HRM self-assessment is being performed by the staff offices and activities within their chain of command and that the command program is adequate to assess and evaluate HRM programs, results and accountability within the command; and,

Enclosure (1)



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(b) that program requirements are being met in five key areas of civilian HRM:

Communication,  
Organization Health,  
Equal Employment Opportunity,  
Accountability - Responsibility, and  
Human Resources Management Results

or that appropriate corrective action is being taken in all areas where improvement is needed;

(2) a summary assessment of HRM, including any common strengths and areas for improvement;

(3) a summary of any exemplary HRM practices which have potential value to other DON organizations;

(4) a summary of any HRM problems of a systemic nature resulting from DON, Office of Personnel Management or other policies and programs, along with any recommendations for program modifications that will reduce or eliminate the problems; and,

(5) a listing of the activities within the command that have been used as the basis for the certification.

b. Formal reports of self-assessment results at the activity level are not required to be submitted to the DASN(CP/EEO) on a routine basis. Activities and commands are expected to document their HRM self-assessment results for their own use and to make these results available for review by higher level command organizations or by the DASN(CP/EEO) upon request. Documentation of self-assessment results by activities should be retained for at least two self-assessment cycles.

c. Formal reports of self-assessment by HR service providers are not required to be submitted to the DASN(CP/EEO) on a routine basis. HR service providers are expected to document their HRM self-assessment results for their own use and to make these results available for review by higher level command organizations or by the DASN(CP/EEO) upon request. Documentation of self-assessment results by HR service providers should be retained for at least two self-assessment cycles.

Enclosure (1)

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d. Individual assessment and evaluation reports by the DASN(CP/EEO) are tools for use by the DON and its subordinate organizations. In the aggregate, they are used in policy development and overall assessment of HRM within the DON. Reports prepared under this program require appropriate restrictions as to access by other governmental organizations and the public. Evaluators serve as the confidential agents of the Secretary of the Navy, Chief of Naval Operations, Commandant of the Marine Corps, and lower echelon commands for obtaining independent analysis and criticism of internal management, operation and administration of the command. The release of these reports outside the original distribution would inhibit the exchange of full and frank views between the evaluator and those being evaluated and would seriously impair the effectiveness of these reports as a management tool. A caveat, such as the following, shall be used to indicate the sensitive nature of these reports:

"The information contained here is related to internal practices of the DON. This evaluation report is not releasable, nor may it be reproduced in whole or in part, without prior written approval of the Deputy Assistant Secretary of the Navy (Civilian Personnel/Equal Employment Opportunity). Requests for this report, portions thereof, or correspondence related thereto from a source external to the DON shall be promptly referred to the Deputy Assistant Secretary of the Navy (Civilian Personnel/Equal Employment Opportunity). Holders of this report shall strictly observe this caveat."

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REPORT FORMAT

## Certification:

I certify that HRM assessment is being performed by the [command name], the staff offices of the [command name], and by the activities that report to the [command name]. The methods used to perform this assessment are sufficient to allow me to assess and evaluate the efficiency and effectiveness of the HRM programs within the [command name].

Based upon the results of this assessment, I certify that program requirements are being met in the following areas:

Communication,  
Organization Health,  
Equal Employment Opportunity,  
Accountability - Responsibility, and  
Human Resources Management Results.

Appropriate corrective action is being taken in all areas where improvement is needed.

A summary of significant program strengths and areas for improvement is included with this report.

A summary of HRM "best practices" which have potential value to other DON organizations is included with this report. [omit if not applicable]

A summary of any systemic human resources management problems, resulting from DON, OPM or other policies and programs, along with any recommendations for program modifications that will reduce or eliminate the problems, is included with this report. [omit if not applicable]

A list of the activities within the command that have been used as the basis for the certification is included with this report.

[Signature]  
Head of Echelon 1 or 2 reporting  
Organization, or official designee

Enclosure (2)

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Claimant Name  
Reporting Period (Fiscal Year)  
Date of Report

Assessment of Communication:

Strengths: Narrative summary of significant strengths

Areas for improvement: Narrative summary of areas where significant improvement is needed

Assessment of Organization Health:

Strengths: Narrative summary of significant strengths

Areas for improvement: Narrative summary of areas where significant improvement is needed

Assessment of Equal Employment Opportunity:

Strengths: Narrative summary of significant strengths

Areas for improvement: Narrative summary of areas where significant improvement is needed

Assessment of Accountability - Responsibility:

Strengths: Narrative summary of significant strengths

Areas for improvement: Narrative summary of areas where significant improvement is needed

Assessment of Human Resources Management Results:

Strengths: Narrative summary of significant accomplishments

Areas for improvement: Narrative summary of areas where significant improvement is needed

Best Practices: [Narrative summary]

Systemic Problems: [Narrative summary]

Activities within the command that have been used as the basis for this certification and the above findings include: [Listing]