

**DEPARTMENT OF THE NAVY  
HUMAN RESOURCES  
IMPLEMENTATION GUIDANCE**

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**GUIDE NO.** 273-01 Civilian Human Resources Management,  
A Self-Assessment Guide for Line Managers  
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**SUBJECT:** Guidance for implementing civilian human resources  
management self-assessment programs at Department  
of the Navy field activities

**REFERENCE:** SECNAVINST 12273.1, Assessment and Evaluation of  
Civilian Human Resources Management (HRM)

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**FEATURES OF THIS GUIDE:**

1. Provides procedures for establishing and implementing a human  
resources management self-assessment program for Department  
of the Navy field activities.
  2. Provides a summary of personnel program responsibilities of  
managers and supervisors for adherence to Merit System  
principles.
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## INTRODUCTION

Human resources management responsibility has been deregulated in recent years, resulting in greater delegation of authority to activity heads and line managers. At the same time, human resources management support staffs are being downsized and restructured. These changes add new challenges to the task of ensuring mission accomplishment while maintaining human resources management effectiveness consistent with the basic principles of a merit-based civil service.

This guide outlines goals and accountability for effective use of human resources within the values and requirements of the Merit System Principles, the Government Performance Results Act, the strategic plans of the Department of the Navy and its major components, and legal and regulatory constraints.

The focus of this guide is broader than regulatory compliance. Accountability involves more than legal compliance. Activities must make effective and efficient use of their internal human resources management processes to ensure that those processes support mission accomplishment. These processes include communication, organization health, and establishing partnerships with human resources offices and human resources service centers to obtain services and support.

This guide creates a framework to support the establishment of a viable internal human resources management program. It gives practical examples of tools and techniques that can be used to accomplish human resources management goals, and describes self-assessment methods for ensuring human resources management effectiveness.

The framework for assessment of human resources management within the Department of the Navy is set forth in SECNAV Instruction 12273.1. This instruction details the roles and responsibilities of Echelon 2 and higher level organizations for support and validation of activity self-assessment. Separate guidance (GUIDE NO. 273-02) addresses assessment of support provided by human resources service providers.

*Department of the Navy  
Civilian Human Resources Management*

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*A Self-assessment Guide*

*for*

*Line Management*



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### *Purpose*

This guide gives activity leaders a framework and guidelines for conducting self-assessment of human resources management (HRM) programs and results. Equal employment opportunity programs and their results are considered a part of HRM. The functions covered by this guide are line management responsibilities that are delegated to the organization through the chain of command. In most cases these responsibilities cannot be redelegated to a human resources service organization.

### *Areas for assessment*

This guide focuses on five key areas for assessing an activity's HRM programs and program results:

- 1. Communication**
- 2. Organization Health**
- 3. Equal Employment Opportunity**
- 4. Accountability and Responsibility**
- 5. Human Resources Management Results**

Within these five areas, the guidance focuses on:

- **a description of desired outcomes,**
- **examples of implementation methods,**
- **examples of assessment methods, and**
- **sources of support for implementation and self-assessment.**

Appendices to this guide provide additional background information as well as templates to assist with self-assessment of activity human resources management. Although this guide describes some specific administrative and compliance requirements, meeting these requirements is only a first step toward a strong HRM program. Successful implementation of the concepts in this guide will help to establish and maintain a high performance workplace which is essential for meeting the goals and objectives of most strategic plans.

## ***Assessment criteria and implementation plan***

Assessment should show progress over time. One way to do this is to use criteria established for the Malcolm Baldrige and President's Quality Awards, as outlined in Appendix A, on page 33. Other approaches may also be used, such as one for smaller organizations outlined in Appendix E, on page 47. The assessment process has three basic steps:

1. The activity conducts a self-assessment.
2. An external review process validates the activity self-assessment.
3. Line managers and activity heads take action based upon the results of both the self-assessment and the external validation.

Activity self-assessment does not have to be linked directly to external validation; the activity may perform an annual assessment, while validation may occur every 2 to 4 years. Repeating this process and assessing progress based on action taken in response to the previous assessment is the key to making the assessment process a valuable management tool.

## ***Links to other programs and assessment methods***

The structure of this guide is intended to complement common assessment methods, such as the Malcolm Baldrige and President's Quality Award assessment methodologies.

## ***The role of the HRM service provider***

The nature of the self-assessment program will vary according to activity size, mission, and demographic and other factors. The Human Resources Office (HRO) that services the activity can and should serve as a partner and a resource for developing and implementing an activity self-assessment program. The Human Resources Service Center (HRSC) that supports the HRO and the activity can also provide valuable information to help the activity implement a self-assessment program.

## ***Relationship to labor-management agreements***

This guide is not intended in any way to contradict the provisions of established labor-management agreements. Partnership between management and labor organizations to address HRM issues, and to develop and implement program improvements, is encouraged.

## ***Keeping this document up-to-date***

This guide will be updated periodically to incorporate new material, and to change references (such as new or changed web sites) as needed. A current version will be maintained at the DON HRM web site, <http://www.dasnhroc.navy.mil>.

### *Overview*

*Communication* has to do with the flow of HRM information to all levels of an organization, between an organization and its HRM service providers, and between an organization and labor organizations that represent its employees. The following assessment elements provide a framework for developing and assessing HRM communication systems.

### *Assessment Elements*

- 1. Access to HRM policies, procedures and information;**
- 2. Access to information that affects employee positions and careers;**
- 3. Employees access to supervisors and managers;**
- 4. Communication of leadership and management direction and priorities; and**
- 5. Partnership with key HRM service providers and labor organizations.**

<b>Communication</b>	
<b>1</b>	<b>Access to HRM policies, procedures and information</b>
<b>Description and desired outcomes:</b>	This assessment element addresses the extent to which HRM information is made available to managers, supervisors and employees in serviced organizations. Managers, supervisors and employees should be able to find and access information on such issues as time and attendance, hours of duty, retirement benefits, pay setting, the status of requests for personnel action, and workforce information needed for management decisions.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Issue employee handbooks.</li> <li>• Post information on bulletin boards.</li> <li>• Provide electronic access to information through electronic bulletin board systems, intranet systems and similar methods.</li> <li>• Establish a process to keep information up-to-date.</li> <li>• Provide access to expert systems that contain information on human resources management rules, regulations and best practices.</li> </ul>
<b>Examples of assessment methods:</b>	<ul style="list-style-type: none"> <li>• Establish and implement procedures to check periodically on postings and other guidance to assess the extent to which guidance is current and accurate.</li> <li>• Conduct periodic employee surveys to assess the extent to which guidance is available to employees.</li> <li>• Hold discussions with staff periodically to assess how well information needs are being met.</li> <li>• Conduct periodic supervisor surveys to assess how well supervisors know who to contact for HRM information and advice that is not contained in available handbooks, etc.</li> </ul>
<b>Available support:</b>	Examples of employee handbooks and surveys are available from the Office of the DASN(CP/EEO). Additional information is also available on the DON HRM web site, at <a href="http://www.dasnhroc.navy.mil">http://www.dasnhroc.navy.mil</a> .

<b>Communication</b>	
<b>2</b>	<b>Access to information that affects employee positions and careers</b>
<b>Description and desired outcomes:</b>	<p>This assessment element addresses the extent to which managers, supervisors and employees have access to information affecting their current position(s), their career opportunities, and their employment benefits. Employees should be able to see job openings and training opportunities while there is still time to take action. They need to see information on benefits changes, such as health insurance and Thrift Savings Plan open seasons, in time to make informed choices. Management should be able to confirm that this type of information is reaching employees, and should have systems in place to identify and address other career issues, such as potential base closures and contracting out of functions.</p>
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Establish standard posting locations and minimum time frames for posting job announcements, training courses and similar opportunities.</li> <li>• Develop and implement systems that make information available to employees at their desktop computer workstation(s), in the shops where they work, in the union halls, or in other locations where employees have access to computers.</li> <li>• Send memos to all employees announcing events which apply to everyone, such as open season information.</li> </ul>
<b>Examples of assessment methods:</b>	<ul style="list-style-type: none"> <li>• Survey employees periodically to assess the extent to which this information is available and meets their needs.</li> <li>• Hold discussions with staff regularly to assess the extent to which information needs are being met.</li> </ul>
<b>Available support:</b>	<p>HRM service providers can provide advice and support in meeting these requirements. Additional information is available on the DON HRM web site, at <a href="http://www.dasnhroc.navy.mil">http://www.dasnhroc.navy.mil</a>.</p>

<b>Communication</b>	
<b>3</b>	<b>Employees access to supervisors and managers</b>
<b>Description and desired outcomes:</b>	This assessment element addresses the extent to which employees can provide feedback to managers on the progress of work assignments, concerns or suggestions about working conditions, and similar issues.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Establish formal and informal dialogue methods and opportunities that are systematic and not viewed as adversarial.</li> <li>• Regularly discuss progress on work projects and accomplishment of performance plan goals and objectives.</li> <li>• Establish a suggestion program that results in action.</li> </ul>
<b>Examples of assessment methods:</b>	<ul style="list-style-type: none"> <li>• Survey employees periodically to assess the extent to which they have access to their supervisors to exchange information.</li> <li>• Survey employees periodically to assess the extent to which they can access a grievance system, or a similar system for identifying problems, without fear of reprisal.</li> <li>• Establish goals for the employee suggestion program and a way to measure progress toward achieving those goals.</li> </ul>
<b>Available support:</b>	HRM service providers can provide advice and support in meeting these requirements.

<b>Communication</b>	
<b>4</b>	<b>Communication of leadership and management direction and priorities</b>
<b>Description and desired outcomes:</b>	This assessment element addresses the extent to which supervisors and employees receive clear direction from their superiors, allowing them to prioritize their work efforts effectively. This begins with senior leadership communicating and reinforcing values, directions, expectations, customer focus, and their commitment to learning throughout the workforce. Communications should include performance objectives and measures that help focus and align the efforts of organizational units and work processes. Senior leadership should give employees and managers at all levels feedback regarding successes and regarding areas for improvement.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Develop and distribute an organization strategic plan.</li> <li>• Develop business plans for major organization components. Make sure that they are aligned with the organization’s strategic plan.</li> <li>• Develop employee performance plans that are aligned with business and strategic plans, and use them regularly to discuss and assess employee performance.</li> <li>• Clearly establish top management expectations that business information should flow to all organizational levels.</li> <li>• Provide regular feedback from supervisors to employees, through staff meetings and other methods, to keep employees informed of current directions, the organization’s accomplishments, and areas where improvement emphasis will be focused.</li> </ul>
<b>Examples of assessment methods:</b>	<ul style="list-style-type: none"> <li>• Conduct a formal review to assess the alignment of business plans, strategic plans, and individual performance plans.</li> <li>• Survey employees periodically to assess the extent to which this type of information is available to employees.</li> </ul>
<b>Available support:</b>	HRM service providers can provide advice and support in meeting these requirements.

<b>Communication</b>	
<b>5</b>	<b>Partnership with key HRM service providers and labor organizations</b>
<b>Description and desired outcomes:</b>	This assessment element addresses the extent to which HRM service providers are strategic partners in helping the organization achieve its HRM goals. This includes establishing clear organization and service provider roles and responsibilities, identifying points of contact, and involving service providers in decision-making processes. This element also covers establishing labor-management partnerships that contribute to resolving employee issues and problems at the lowest possible level. Strength in this area contributes to the effectiveness and efficiency of the support being provided to the activity.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Establish a comprehensive servicing agreement to clearly set forth roles and responsibilities, service level expectations, and accountability, and to ensure that service meets program requirements.</li> <li>• Have HRM service provider representatives participate in the HRM decision process, such as by attending and providing advice at key meetings.</li> <li>• Have HRM service providers explain the options available to management, so managers can make informed decisions.</li> <li>• Form a partnership with labor organizations to identify and address issues of mutual concern.</li> </ul>
<b>Examples of assessment methods:</b>	<ul style="list-style-type: none"> <li>• Review the servicing agreement periodically to assess the extent to which it meets the requirements of all parties.</li> <li>• Survey managers, supervisors and employees periodically to assess satisfaction with support from HRM service providers.</li> <li>• Meet with key officials of labor organizations periodically to identify and address areas of mutual concern.</li> </ul>
<b>Available support:</b>	Examples of servicing agreements and surveys are available from the Office of the DASN(CP/EEO). Activities should contact their HRO for advice on establishing labor-management partnerships with labor organizations.

### *Overview*

*Organization Health* deals with the ability and motivation of the workforce to perform the organization's mission, and the environment in which work is performed. The following assessment elements provide a framework for developing and assessing organization health.

### *Assessment Elements*

- 1. The organization skill mix;**
- 2. Availability and use of training;**
- 3. Availability and use of tools and support systems;**
- 4. Position structure and work processes;**
- 5. Support for employee safety, occupational and environmental health;**
- 6. Support for employee well-being, satisfaction and motivation; and**
- 7. Compensation and recognition programs.**

<b>Organization Health</b>	
<b>1</b>	<b>The organization skill mix</b>
<b>Description and desired outcomes:</b>	A skill mix that has adequate breadth, depth and diversity enhances both short-term and long-term success. Long-term success for large organizations, with highly technical missions requires strong leadership from top management, supervisors and senior employees. A healthy work force typically includes expert workers, fully-skilled workers, and trainees who are in the process of developing their skills. Supervisors and managers need people skills to fulfill their line management responsibilities. Organizations with a highly integrated military and civilian staff will need to consider the impact of military rotation on the organization skill mix.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Implement a competency requirements review process to establish and document the technical, managerial, clerical and other skills, abilities and knowledge needed to perform the work of the organization.</li> <li>• Implement a competency review process to identify and document the strengths and weaknesses of the organization's current skill mix and develop plans to correct deficiencies.</li> <li>• Establish goals to correct competency gaps and set up procedures to measure, track and report on progress toward eliminating competency gaps within the organization.</li> <li>• Review organization demographic and trend information to identify potential problems (such as the impact of potential retirements on the ability of the organization to meet its mission) and action alternatives that support continuity of operations.</li> </ul>
<b>Examples of assessment methods:</b>	<ul style="list-style-type: none"> <li>• Review the organization's competency requirements documentation to periodically assess both currency and relevance.</li> <li>• Review the organization's actual competency levels periodically to assess the currency of documentation used to identify areas for improvement.</li> <li>• Review the process that tracks progress toward eliminating competency gaps to determine if actions taken in areas such as hiring and training are making desired improvements in the competency base.</li> <li>• Review supervisory and leadership competencies periodically to determine the extent to which employees in leadership positions possess up-to-date supervisory and leadership skills.</li> </ul>
<b>Available support:</b>	HRM service providers can assist by identifying competency requirements and providing approaches to correcting deficiencies. General demographic information is also available on the DON HRM web site, at <a href="http://www.dasnhroc.navy.mil">http://www.dasnhroc.navy.mil</a> .

<b>Organization Health</b>	
<b>2</b>	<b>Availability and use of training</b>
<b>Description and desired outcomes:</b>	Training is an investment in the ability of the workforce to perform its mission. Training broadens the skill base of the workforce so that it can perform a wider variety of functions and add depth to the skill base to ensure that mission-critical functions do not depend upon one or a few individuals. Training also expands individual competencies, enabling employees to obtain skills needed to advance to higher-level positions.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Establish a systematic review process to identify and document required employee competencies and to identify individual training requirements and options for employees. This should be developed with realistic expectations and should be consistent with overall mission requirements and funding.</li> <li>• Establish procedures to provide managers and supervisors the management and leadership skills needed to direct the work of the organization.</li> <li>• Ensure that managers and supervisors receive both basic supervisory training and regular updates to keep their skills and knowledge up-to-date.</li> <li>• Establish organization training as an investment plan.</li> <li>• Create training plans to help employees acquire the skills and abilities needed to advance to higher level positions within the organization.</li> </ul>
<b>Examples of assessment methods:</b>	<p>Periodic review of the following:</p> <ul style="list-style-type: none"> <li>• organization training plans, to assess the level of implementation and relevance to mission accomplishment;</li> <li>• organization skill mix, to assess progress in correcting any current or potential deficiencies; and</li> <li>• skills of the organization's supervisors and other employees in leadership positions, to assess the extent to which they possess appropriate supervisory and leadership skills.</li> </ul>
<b>Available support:</b>	HRM service providers can assist with employee development and training efforts.

<b>Organization Health</b>	
<b>3</b>	<b>Availability and use of tools and support systems</b>
<b>Description and desired outcomes:</b>	Supervisors and employees need the right tools to work effectively. In an office environment these typically include communication systems, such as telephones; office equipment, such as copiers; computer hardware and software; and business information such as equipment inventory levels, office correspondence procedures, and technical libraries. In other work environments critical tools may include diagnostic equipment and information, along with equipment and implements, such as machine tools, calibration devices, and x-ray machines, needed to perform the work of the unit. Failure to provide the tools needed to do the job results in inefficient use of human resources.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Identify the tools required for efficient work performance.</li> <li>• Make sure that support systems are functioning properly and information systems are up-to-date.</li> <li>• Make sure that employees have a procedure for identifying problems and recommending improvements.</li> </ul>
<b>Examples of assessment methods:</b>	<ul style="list-style-type: none"> <li>• Periodically review the organization support system plans to assess their relevance and use.</li> <li>• Establish and track progress relative to metrics for support systems and information systems.</li> <li>• Periodically review identified problems to ensure that corrective actions are being taken.</li> </ul>
<b>Available support:</b>	Senior, experienced employees can readily identify some of the tools, support systems and information systems needed to perform work. In other cases specialists in support systems, such as telephone systems or computer systems, may be able to identify efficient and effective ways to help people work more efficiently and effectively. Supervisors should have access to software that supports human resources processes and processing.

<b>Organization Health</b>	
<b>4</b>	<b>Position structure and work processes</b>
<b>Description and desired outcomes:</b>	Job design, organization design, and management systems should focus on achieving high performance from employees at all levels. Ample opportunities should exist for individual initiative and self-directed responsibility in designing, managing and improving the organization's work processes. System design should address current and changing work requirements. Work processes should support the sharing of knowledge and skills across work functions, units and locations. The organizational design should support teamwork within the organization.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Implement a position management plan that results in an organization design that supports mission accomplishment and teamwork.</li> <li>• Create an organizational structure that allows for the rapid establishment of various work teams, problem-solving teams, functional units, and cross-functional teams that can be self-managed or managed by supervisors.</li> <li>• Design individual jobs in such a way as to encourage individual initiative and self-directed responsibility.</li> <li>• Implement an organizational design that minimizes "dead-end" positions and allows employees to acquire the skills and abilities needed to advance to higher level positions within the organization.</li> <li>• Accurately document work requirements in position descriptions, performance standards and related documents.</li> <li>• Create an organizational design that supports rapid response to changes in the requirements of the organization mission.</li> <li>• Periodically review position management plans to ensure their continued relevance to mission accomplishment.</li> </ul>
<b>Examples of assessment methods:</b>	<ul style="list-style-type: none"> <li>• Periodically review the organization's structure to assess its support for teamwork and accomplishment of the work of the organization.</li> <li>• Establish and track metrics for responsiveness to work requirements and identification of cases where response problems were due to organization structure or internal communication.</li> <li>• Periodically assess the organization's speed and effectiveness in identifying organizational problems and taking corrective action.</li> </ul>
<b>Available support:</b>	HRM service providers can assist with position management and analysis of demographic and trend data. General demographic information is also available on the DON HRM web site, at <a href="http://www.dashroc.navy.mil">http://www.dashroc.navy.mil</a> .

<b>Organization Health</b>	
<b>5</b>	<b>Support for employee safety, occupational and environmental health</b>
<b>Description and desired outcomes:</b>	The organization has an obligation to provide and maintain a safe and healthful work environment. Employee well-being factors such as health, safety, and ergonomics should be considered when workplace changes are made. Services, facilities, activities and opportunities that support the well-being, satisfaction and motivation of employees contribute to high performance. Regular assessment of employee well-being and satisfaction is essential for success in this area. Unsafe, unhealthy work environments result in poor productivity, low morale and considerable workers compensation and other expenses.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Establish a systematic review process to ensure that safety, environmental health, and ergonomic requirements are met.</li> <li>• Make sure managers and supervisors understand the safety and environmental health requirements of their work environment.</li> <li>• Create systems that allow all workers to report unsafe working conditions without fear of reprisal.</li> </ul>
<b>Examples of assessment methods:</b>	<ul style="list-style-type: none"> <li>• Have an external review periodically to assess how well safety, occupational health and environmental health requirements are met.</li> <li>• Establish and track metrics for absenteeism, grievances, workers compensation, and other relevant measures.</li> <li>• Periodically review identified problems to assess the extent to which corrective actions are being taken.</li> <li>• Survey employees periodically to assess their perceptions regarding the inability to identify problems without fear of reprisal.</li> </ul>
<b>Available support:</b>	HRM service providers, particularly employee relations specialists, can assist with these efforts. Specific rules and regulations governing safety and occupational health should be available from the organization safety office, and outlined in command policy issuance. Occupational health and safety specialists within the chain of command should be able to provide additional support.

<b>Organization Health</b>	
<b>6</b>	<b>Support for employee well-being, satisfaction and motivation</b>
<b>Description and desired outcomes:</b>	Ethical responsibilities include the core values of honor, courage and commitment, and extend to treating employees with trust, courtesy, dignity and respect. <b>These basic responsibilities cannot be delegated.</b> Implementation of processes that will help to ensure adherence to these requirements may be delegated to HRM or other service providers. This element also includes support for employees when personal and family problems impact employees and when adverse employment issues, such as reduction in force, affect employees either directly or indirectly.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Make sure that managers, supervisors and employees understand the Department of the Navy core values, and how those values relate to their organization and their work.</li> <li>• Establish a complaint system that is viewed as a tool for constructive change and that can be used without fear of retribution.</li> <li>• Establish an active employee suggestion program.</li> <li>• Make sure employees are aware of and have access to the Civilian Employee Assistance Program.</li> <li>• Identify desired employee services, facilities, and activities. Take action to address the issues considered most important.</li> <li>• Regularly assess employee satisfaction with working conditions.</li> <li>• Establish special programs to support employees when reduction in force, major reorganizations or other similar workplace stresses exist.</li> </ul>
<b>Examples of assessment methods:</b>	<ul style="list-style-type: none"> <li>• Periodically review and assess how well core values are understood and demonstrated by managers and employees.</li> <li>• Periodically review identified problems to assess the extent to which corrective actions are being taken.</li> <li>• Conduct periodic surveys to assess employee perceptions regarding their ability or inability to identify problems and whether or not they can use the Civilian Employee Assistance Program without fear of reprisal.</li> </ul>
<b>Available support:</b>	HRM service providers, particularly employee relations and labor relations specialists, can assist with these efforts. Specific rules and regulations governing safety and occupational health should be available from the organization safety office or from policy issuance from organizations in the chain-of-command.

<b>Organization Health</b>	
<b>7</b>	<b>Compensation and recognition programs</b>
<b>Description and desired outcomes:</b>	Compensation, awards and recognition systems for individuals and groups, including managers and supervisors at all levels, should reinforce the overall work systems, performance and learning objectives of the organization. Compensation and recognition refer to all aspects of pay and reward, including promotions and awards. This includes monetary and non-monetary, formal and informal, and individual and group compensation and recognition.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Establish guidelines that help managers and supervisors understand the flexibilities available to them in pay-setting and recognition alternatives.</li> <li>• Establish monetary recognition systems that link the size of the award with the value of the contribution.</li> <li>• Employ various non-monetary recognition approaches, such as time-off awards and honorary recognition, which complement monetary recognition.</li> <li>• Consider employee performance accomplishment and recognition in the promotion process.</li> </ul>
<b>Examples of assessment methods:</b>	<ul style="list-style-type: none"> <li>• Periodically review awards and recognition systems to ensure that the overall program links recognition with achievements.</li> <li>• Conduct employee focus groups or surveys periodically, to find out if awards provided to employees are meaningful and have motivational value.</li> <li>• Establish and track metrics for monetary awards, non-monetary awards, and other relevant measures.</li> <li>• Periodically review identified problems to ensure that corrective actions are being taken.</li> </ul>
<b>Available support:</b>	HRM service providers can help identify program requirements and flexibility.

## **Area 3 – Equal Employment Opportunity**

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### *Overview*

*Equal Employment Opportunity* (EEO) addresses the creation of a work environment that is free from discrimination on the basis of race, sex, and other factors. It also deals with freedom from sexual harassment. The following assessment elements provide a framework for developing and assessing equal employment opportunity programs.

### *Assessment Elements*

- 1. Freedom from barriers to equal employment opportunity;**
- 2. Freedom from sexual harassment; and**
- 3. Effectiveness of the EEO complaint process.**

<b>Equal Employment Opportunity</b>	
<b>1</b>	<b>Freedom from barriers to equal employment opportunity</b>
<b>Description and desired outcomes:</b>	Efforts to identify and eliminate internal barriers to equal employment opportunity should be ongoing and effective. Activity recruitment, selection and training efforts should be consistent with the Affirmative Employment Plan (AEP).
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Make sure employees at all levels are aware of the organization's affirmative employment goals and objectives.</li> <li>• Make clear to supervisors and managers how affirmative employment goals relate to individual staffing, training or other decisions.</li> <li>• Make sure a process exists to meet the applicable requirements of the Americans with Disabilities Act (ADA). This should include identifying and eliminating physical barriers for employees with disabilities.</li> </ul>
<b>Examples of assessment methods:</b>	<ul style="list-style-type: none"> <li>• Survey employees to determine how well the work environment achieves EEO program goals.</li> <li>• Review plans periodically to ensure consistency with workforce and community demographics.</li> <li>• Track goals for meeting the applicable requirements of the ADA.</li> </ul>
<b>Available support:</b>	HRM service providers, particularly the HRO, can help develop and implement EEO programs. General information on the ADA is also available on the Department of Justice web site, at <a href="http://www.usdoj.gov/crt/ada/adahom1.htm">http://www.usdoj.gov/crt/ada/adahom1.htm</a> . Another good web site is at <a href="http://knox-www.army.mil/center/eoo/index.htm">http://knox-www.army.mil/center/eoo/index.htm</a> .

<b>Equal Employment Opportunity</b>	
<b>2</b>	<b>Freedom from sexual harassment</b>
<b>Description and desired outcomes:</b>	Employees at all levels should be able to work in an environment free from sexual harassment. Employees need to feel that they can identify problems without fear of reprisal and that problems will be dealt with promptly and fairly.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Post and distribute to employees the official policy on prevention of sexual harassment.</li> <li>• Make sure that managers understand and carry out responsibilities in their departments.</li> <li>• Make available to all employees a clear process for quick and effective identification and resolution of EEO problems.</li> </ul>
<b>Examples of assessment methods:</b>	<p>Conduct surveys periodically to assess:</p> <ul style="list-style-type: none"> <li>• progress toward creating a work environment free from sexual harassment;</li> <li>• how well official policy on prevention of sexual harassment is known to all employees; and</li> <li>• employee perceptions regarding their ability to identify problems without fear of reprisal.</li> </ul>
<b>Available support:</b>	<p>HRM service providers, particularly the HRO, can provide advice and guidance in this area. A particularly good web site for information on this topic is at:</p> <p><a href="http://knox-www.army.mil/center/eoo/prevention.htm">http://knox-www.army.mil/center/eoo/prevention.htm</a></p>

<b>Equal Employment Opportunity</b>	
<b>3</b>	<b>Effectiveness of the EEO complaint process</b>
<b>Description and desired outcomes:</b>	Employees at all levels should be able to work in an environment free from discrimination. Employees need to feel that they can identify problems without fear of reprisal and that problems will be dealt with promptly and fairly. Activity management should clearly support the constructive use of the complaints process.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Post and distribute to employees the official policy on equal employment opportunity.</li> <li>• Make sure managers are aware of and carry out their responsibilities with respect to the complaint process.</li> <li>• Make available to all employees a clear process for identifying and resolving problems quickly and effectively.</li> </ul>
<b>Examples of assessment methods:</b>	<p>Conduct surveys periodically to assess:</p> <ul style="list-style-type: none"> <li>• progress toward creating a work environment which supports equal employment opportunity;</li> <li>• how well official policy on equal employment opportunity is known to all employees; and</li> <li>• employee perceptions regarding the ability to identify problems without fear of reprisal.</li> </ul>
<b>Available support:</b>	<p>HRM service providers, particularly the HRO, can provide advice and guidance in this area. A particularly good web site for information on this topic is at:</p> <p><a href="http://knox-www.army.mil/center/eo/complaints.htm">http://knox-www.army.mil/center/eo/complaints.htm</a></p>

## **Area 4 - Accountability and Responsibility**

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### ***Overview***

This section addresses how the organization deals with issues of ***Accountability and Responsibility***, including how the organization makes public policy, ethical requirements and risk factors a part of its management responsibility. Topics include adhering to the Merit System Principles (see Appendix C on page 45 of this guide for more background), preventing Prohibited Personnel Practices (see Appendix D on page 46 of this guide for more background), and ensuring compliance with public law, regulation, and human resources management policies of higher level organizations. The following assessment elements provide a framework for developing and assessing systems for accountability and responsibility.

### ***Assessment Elements***

- 1. Knowledge of the Merit System Principles;**
- 2. Legal and regulatory compliance systems;**
- 3. Delineation of work responsibility and authority; and**
- 4. Systems that document results and measure success.**

<b>Accountability and Responsibility</b>	
<b>1</b>	<b>Knowledge of the Merit System Principles</b>
<b>Description and desired outcomes:</b>	Line management is responsible for ensuring adherence to the Merit System Principles. <b>This basic responsibility cannot be delegated.</b> This assessment element addresses the extent to which managers and supervisors are aware of the Merit System Principles, their basis in law, and how they apply to HRM. Managers and supervisors should also be aware of the Prohibited Personnel Practices. Employees should have a basic understanding of the safeguards provided to them by the Merit System Principles and through the prevention of Prohibited Personnel Practices. Appendix C on page 45 of this guide provides more background on the Merit System Principles. Appendix D on page 46 provides more background on the Prohibited Personnel Practices.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Discuss the Merit System Principles and the Prohibited Personnel Practices in new employee orientation programs and in “new supervisor” training programs.</li> <li>• Disseminate information about Merit System Principles and Prohibited Personnel Practices to employees through electronic bulletin board systems, intranet systems and similar methods.</li> <li>• Include information about Merit System Principles and Prohibited Personnel Practices as part of ethics training.</li> </ul>
<b>Examples of assessment methods:</b>	<ul style="list-style-type: none"> <li>• Periodically review the method by which employees are informed about Merit System Principles to ensure that they have appropriate access and that information is reaching them.</li> <li>• Survey managers, supervisors and employees to assess their awareness of the Merit System Principles.</li> <li>• Periodically review identified problems to ensure that corrective actions are being taken.</li> <li>• Survey employees periodically to assess perceptions regarding their ability to identify problems without fear of reprisal.</li> </ul>
<b>Available support:</b>	HRM service providers can provide advice and support in meeting these requirements.

<b>Accountability and Responsibility</b>	
<b>2</b>	<b>Legal and regulatory compliance systems</b>
<b>Description and desired outcomes:</b>	Line management is responsible for ensuring adherence to the laws, regulations, and policies applicable to HRM. This includes Merit System Principles and various other laws, regulations and policies. Implementation of processes that will help to ensure adherence to these requirements can, in some cases, be delegated to HRM service providers.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• The activity head should issue a policy statement that articulates clear support for the Merit System Principles.</li> <li>• Ensure that efforts to support equal employment opportunity and achieve workplace diversity are aligned with the requirements of applicable laws, regulations and agency policies.</li> <li>• Implement HRM processes that will result in actions that comply with legal, regulatory and policy requirements.</li> <li>• Implement programs that effectively and efficiently support both employee rights and cost management within the Federal Employees Compensation Act (FECA) Program.</li> <li>• Develop and implement metrics to assess how well the legal, regulatory and agency policy requirements are being followed.</li> <li>• Provide employees with access to a process such as an Inspector General review that allows them to identify problems associated with legal, regulatory and policy requirements without fear of reprisal.</li> </ul>
<b>Examples of assessment methods:</b>	<ul style="list-style-type: none"> <li>• Have external reviews periodically to assess the effectiveness of metrics and processes that support self-assessment of adherence to the Merit System Principles.</li> <li>• Survey the organization’s employees periodically to identify areas of strength and areas for improvement associated with Merit System Principles.</li> <li>• Review FECA program activity and cost trends periodically.</li> <li>• Review identified problems and program results periodically to ensure that corrective actions are being taken.</li> <li>• Conduct periodic surveys to assess employee perceptions regarding their ability to identify problems without fear of reprisal.</li> </ul>
<b>Available support:</b>	HRM service providers can provide advice and support in meeting these requirements. HRM service providers should be expected to establish and implement “quality assurance” practices for any delegated processes that are closely tied to the Merit System Principles. Appendix B provides a minimum set of requirements for review.

<b>Accountability and Responsibility</b>	
<b>3</b>	<b>Delineation of work responsibility and authority</b>
<b>Description and desired outcomes:</b>	Line management is responsible for ensuring that managers, supervisors and employees clearly understand who is responsible for performing work and who has the authority to direct its accomplishment. This includes such responsibilities as ensuring that pay problems are resolved promptly and that overtime and leave administration are administered fairly.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Issue instructions that clearly articulate employee and supervisory roles and responsibilities associated with pay, hours of duty, overtime and leave administration.</li> <li>• Establish procedures for quick and accurate resolution of pay problems.</li> <li>• Establish and implement procedures for fair administration of attendance and compensation program requirements.</li> <li>• Establish and implement plans to monitor compliance with the requirements for these functions.</li> <li>• Establish and maintain position descriptions that completely and accurately reflect responsibilities and authority for work accomplishment.</li> <li>• Give employees access to a process for identifying potential violations of requirements without fear of reprisal. This could be an Inspector General review or some other process.</li> </ul>
<b>Examples of assessment methods:</b>	<ul style="list-style-type: none"> <li>• Identify and assess key metrics associated with the most significant requirements of work assignment and pay and leave administration.</li> <li>• Have periodic external reviews of metrics and self-assessment processes to ensure their appropriateness and effectiveness.</li> <li>• Periodically review identified problems to ensure that corrective actions are being taken.</li> </ul>
<b>Available support:</b>	HRM and other service providers can provide advice and support for meeting these requirements.

<b>Accountability and Responsibility</b>	
<b>4</b>	<b>Systems that document results and measure success</b>
<b>Description and desired outcomes:</b>	Systematic measurement, assessment and documentation of results provide clear evidence of the level of adherence to Merit System Principles and compliance with applicable laws, regulations and policies. This includes documentation that an external review organization can use to validate the results of an organization’s self-assessment.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Issue local instructions that clearly articulate roles and responsibilities associated with taking and documenting HRM actions.</li> <li>• Establish and implement plans to monitor compliance with the requirements for these functions.</li> </ul>
<b>Examples of assessment methods:</b>	<ul style="list-style-type: none"> <li>• Identify and assess key metrics associated with the most significant requirements for measurement and documentation.</li> <li>• Conduct periodic external reviews of metrics and self-assessment processes to ensure their appropriateness and effectiveness</li> <li>• Periodically review problems identified to ensure that corrective actions are being taken.</li> </ul>
<b>Available support:</b>	HRM and other service providers can provide advice and support for meeting these requirements. Service providers should be expected to establish and implement “quality assurance” practices and perform required documentation for any delegated functions. Appendix B includes documentation requirements for the HRM compliance issues that it addresses. Additional assessment guidance is contained in the criteria for the Malcolm Baldrige Award/President’s Quality Award (PQA). A web site for the PQA is at <a href="http://www.opm.gov/quality/index.htm">http://www.opm.gov/quality/index.htm</a> .

## **Area 5 – Human Resources Management Results**

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### *Overview*

*Human Resources Management Results* addresses the extent to which the organization has been successful in achieving HRM goals and objectives. The following assessment elements provide a framework for assessing HRM results.

### *Assessment Elements*

- 1. Organization health results;**
- 2. Equal Employment Opportunity results;**
- 3. Adherence to the Merit System Principles and other legal, regulatory and policy requirements; and**
- 4. Supplier and partner results**

<b>Human Resources Management Results</b>	
<b>1</b>	<b>Organization health results</b>
<b>Description and desired outcomes:</b>	This assessment element addresses the organization's results relating to organization health, including employee well being, satisfaction, development, work system performance and effectiveness. Results may include generic factors, such as safety, absenteeism, turnover, and employee satisfaction. Results also may include measures created by the organization to track progress. The main emphasis should be on measures of effectiveness, but input data, such as the extent of training, might be included. This element calls for comparative data so that results can be evaluated meaningfully against the performance of other similar organizations or against other relevant external measures of performance.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Identify and document current levels and trends in key measures and/or indicators of organization health over time.</li> <li>• Identify and document current levels and trends in key measures and/or indicators of organization health relative to other similar organizations or relative to other external comparisons.</li> <li>• Identify and document progress in achieving system improvements in areas that affect organization health.</li> </ul>
<b>Examples of assessment methods:</b>	<p>Assess the following:</p> <ul style="list-style-type: none"> <li>• current performance;</li> <li>• performance trends over time;</li> <li>• performance relative to external comparisons; and</li> <li>• relevance of results measured.</li> </ul>
<b>Available support:</b>	<p>HRM and other service providers can provide advice and support in meeting these requirements. Additional assessment guidance is contained in the criteria for the Malcolm Baldrige Award/President's Quality Award (PQA). A web site for the PQA is at:</p> <p><a href="http://www.opm.gov/quality/index.htm">http://www.opm.gov/quality/index.htm</a>.</p>

<b>Human Resources Management Results</b>	
<b>2</b>	<b>Equal Employment Opportunity results</b>
<b>Description and desired outcomes:</b>	This assessment element addresses the organization’s results relating to equal employment opportunity, including freedom from prohibited discrimination, freedom from sexual harassment in the workplace, achievement of affirmative employment goals, and achievement of complaint process goals. Results also may include measures created by the organization to track progress. The main emphasis should be on measures of effectiveness. This element calls for comparative data so that results can be evaluated meaningfully against the performance of other similar organizations, or other relevant external measures of performance.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Identify and document current levels and trends in key measures and/or indicators of equal employment opportunity over time.</li> <li>• Identify and document current levels and trends in key measures and/or indicators of equal employment opportunity relative to other similar organizations or relative to other external comparisons.</li> <li>• Identify and document progress in achieving system improvements in areas that affect equal employment opportunity.</li> </ul>
<b>Examples of assessment methods:</b>	<p>Assess the following:</p> <ul style="list-style-type: none"> <li>• current performance;</li> <li>• performance trends over time;</li> <li>• performance relative to external comparisons; and</li> <li>• relevance of results measured.</li> </ul>
<b>Available support:</b>	HRM and other service providers can provide advice and support in meeting these requirements.

<b>Human Resources Management Results</b>	
<b>3</b>	<b>Adherence to the Merit System Principles and other legal, regulatory and policy requirements</b>
<b>Description and desired outcomes:</b>	This assessment element addresses the organization’s results relating to support of Merit System Principles and other legal and regulatory goals. The main emphasis should be on measures of effectiveness. This includes organization results relating to meeting goals associated with the FECA program. Results might include input data, but the main emphasis should be on measures of effectiveness. This element calls for comparative data so that results can be evaluated meaningfully against the performance of other similar organizations, or against other relevant external measures of performance.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Identify and document current levels and trends in key measures and/or indicators of success in compliance with legal and regulatory requirements, measured over time.</li> <li>• Identify and document current levels and trends in key measures and/or indicators of adherence to the Merit System Principles, and other legal and regulatory requirements, relative to other similar organizations or relative to other external comparisons.</li> <li>• Identify and document progress in achieving system improvements in areas that affect adherence to legal and regulatory requirements.</li> </ul>
<b>Examples of assessment methods:</b>	<p>Assess the following:</p> <ul style="list-style-type: none"> <li>• current performance;</li> <li>• performance trends over time;</li> <li>• performance relative to external comparisons; and</li> <li>• relevance of results measured.</li> </ul>
<b>Available support:</b>	HRM service providers can provide advice and support in documenting these results. HRM service providers should be expected to establish and implement “quality assurance” practices for any delegated processes that are closely tied to the Merit System Principles. Appendix B provides a minimum set of requirements for review.

<b>Human Resources Management Results</b>	
<b>4</b>	<b>Supplier and partner results</b>
<b>Description and desired outcomes:</b>	This assessment element addresses organization results relating to supplier and partner relationships, including partnership with HRM service providers and labor organizations. Results may include adequacy of products and services, costs and/or performance improvements attributed to supplier and partner performance, as appropriate. The main emphasis should be on measures of effectiveness. This element calls for comparative data so that results can be evaluated meaningfully against the performance of other similar organizations or against other relevant external measures of performance.
<b>Examples of implementation methods:</b>	<ul style="list-style-type: none"> <li>• Identify and document current levels and trends in key measures and/or indicators of supplier and partner results over time.</li> <li>• Identify and document current levels and trends in key measures and/or indicators of supplier and partner results relative to other similar organizations, or relative to other external comparisons.</li> <li>• Identify and document progress in achieving system improvements in areas that affect supplier and partner results.</li> </ul>
<b>Examples of assessment methods:</b>	<p>Assess the following:</p> <ul style="list-style-type: none"> <li>• current performance;</li> <li>• performance trends over time;</li> <li>• performance relative to external comparisons; and</li> <li>• relevance of results measured.</li> </ul>
<b>Available support:</b>	HRM and other service providers can provide advice and support in meeting these requirements. Service providers should be expected to establish and implement “quality assurance” practices for any delegated functions.

## Appendix A – Assessment Criteria

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### Overview

The assessment process has three basic steps:

1. The activity conducts a self-assessment.
2. An external review process validates the activity self-assessment.
3. Line managers and activity heads take action based upon the results of both the self-assessment and the external validation.

This appendix provides a method for conducting either an activity self-assessment or an external review and validation of an activity self-assessment. This method is based upon application of the evaluation criteria used by the Malcolm Baldrige and President's Quality Award programs to:

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

The first four areas are assessed using the criteria for Assessing Approach and Deployment on page 34. The criteria provided for Assessing Human Resources Management Results, on page 35, are used to assess the fifth area.

**Approach** refers to the methods used to achieve the HRM objectives associated with each assessment area. **Deployment** refers to the *extent* to which the approach is applied. To evaluate areas that focus on approach and deployment, consider:

- The appropriateness and effectiveness of the methods used
- The degree to which the approach:
  - is systematic, integrated and consistently applied
  - embodies evaluation/improvement/learning cycles
  - is based on reliable data and information
- Evidence of innovation and/or significant and effective adaptation of approaches used in other areas of operation
- The use of the approach in fully addressing the area for assessment
- The use of the approach by all appropriate work units in the business unit

**Results** are *outcomes* that achieve the purpose(s) identified for each area for assessment. The factors used to evaluate results include:

- current performance;
- performance relative to appropriate comparisons and/or benchmarks;
- rate, breadth, and importance of performance improvements; and
- demonstration of sustained improvement and/or sustained high-level performance.

## ***Assessing approach and deployment***

The following table can be used to assign a rating to each of the first four areas for assessment:

- Communication
- Equal Employment Opportunity
- Organization Health
- Accountability - Responsibility

<b>SCORE</b>	<b>APPROACH/DEPLOYMENT</b>
0%	<ul style="list-style-type: none"> <li>• No systematic approach evident; anecdotal information</li> </ul>
10% to 30%	<ul style="list-style-type: none"> <li>• Beginning of a systematic approach to the primary purposes of the item</li> <li>• Early stages of a transition from reacting to problems to a general improvement orientation</li> <li>• Major gaps exist in deployment that would inhibit progress in achieving the primary purposes of the item</li> </ul>
40% to 60%	<ul style="list-style-type: none"> <li>• A sound, systematic approach, responsive to the primary purposes of the item</li> <li>• A fact-based improvement process in place in key areas; more emphasis is placed on improvement than on reaction to problems</li> <li>• No major gaps in deployment, though some areas or work units may be in very early stages of deployment</li> </ul>
70% to 90%	<ul style="list-style-type: none"> <li>• A sound, systematic approach, responsive to the overall purposes of the item</li> <li>• A fact-based improvement process is a key management tool; clear evidence of refinement and improved integration as a result of improvement cycles and analysis</li> <li>• Approach is well deployed, with no major gaps; deployment may vary in some areas or work units</li> </ul>
100%	<ul style="list-style-type: none"> <li>• A sound, systematic approach, fully responsive to all the requirements of the item</li> <li>• A very strong, fact-based improvement process is a key management tool; strong refinement and integration backed by excellent analysis</li> <li>• Approach is fully deployed, without any significant weaknesses or gaps in any areas or work units</li> </ul>

## *Assessing human resources management results*

The following table can be used to rate human resources management results:

<b>SCORE</b>	<b>RESULTS</b>
0%	<ul style="list-style-type: none"> <li>No results or poor results in areas reported</li> </ul>
10% to 30%	<ul style="list-style-type: none"> <li>Early stages of developing trends; some improvements and/or early good performance levels in a few areas</li> <li>Results not reported for many to most areas of importance to key performance requirements</li> </ul>
40% to 60%	<ul style="list-style-type: none"> <li>Improvement trends and/or good performance levels reported for many to most areas of importance to the key performance requirements</li> <li>No pattern of adverse trends and/or poor performance levels in areas of importance to the key performance requirements</li> <li>Some trends and/or current performance levels evaluated against relevant comparisons and/or benchmarks show areas of strength and/or good to very good relative performance levels</li> </ul>
70% to 90%	<ul style="list-style-type: none"> <li>Current performance is good to excellent in most areas of importance to the key performance requirements</li> <li>Most improvement trends and/or performance levels are sustained</li> <li>Many to most trends and/or current performance levels evaluated against relevant comparisons and/or benchmarks show areas of leadership and very good relative performance levels</li> </ul>
100%	<ul style="list-style-type: none"> <li>Current performance is excellent in most areas of importance to the key performance requirements</li> <li>Excellent improvement trends and/or sustained excellent performance levels in most areas</li> <li>Strong evidence of industry and benchmark leadership demonstrated in many areas</li> </ul>

### *Assessment worksheet*

The worksheet on the next page can be used or adapted to document assessment results. Additional comments can be attached on plain paper if the space provided is not adequate. **Best practices** are those which should be considered for broader deployment. **Systemic problems** are external policy or program requirements that are causing problems in the management of human resources.

Activity Name:	Date:
Area 1 – Communication	<b>Rating:</b>
Strengths:  Areas for improvement:	
Area 2 – Organization Health	<b>Rating:</b>
Strengths:  Areas for improvement:	
Area 3 – Equal Employment Opportunity	<b>Rating:</b>
Strengths:  Areas for improvement:	
Area 4 – Accountability – Responsibility	<b>Rating:</b>
Strengths:  Areas for improvement:	
Area 5 – Human Resources Management Results	<b>Rating:</b>
Strengths:  Areas for improvement:	
Best Practices:	
Systemic Problems:	

## **Appendix B - Personnel Program Review Areas**

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### *Overview*

The legal and regulatory compliance areas listed in this appendix are the minimum requirements for compliance assessment. Included are requirements and entitlements, along with examples of practices and procedures that demonstrate support of these requirements. The requirements outlined in this Appendix apply to assessment of several areas. They are particularly applicable to Equal Employment Opportunity, Accountability - Responsibility, and the sections of Human Resources Management Results that apply to those areas.

### *Program Areas*

- 1. Compensation;**
- 2. Employee Relations;**
- 3. Equal Employment Opportunity;**
- 4. Labor Relations;**
- 5. Position Classification;**
- 6. Staffing; and**
- 7. Training and Employee Development**

<b>Personnel Program Review Area</b>	
<b>1</b>	<b>Compensation</b>
<b>Key Merit Principle:</b>	Provide equal pay for equal work and reward excellent performance.
<b>Requirements and Entitlements</b>	<b>Results of Good Practice and Procedure</b>
1. Pay is set in accordance with legal requirements, taking into consideration available options. REF: 5 USC 5331, etc.; 5 USC 5341, etc.; CPI 531.2; CPI 536	Employees are paid correctly. Managers and supervisors are aware of the alternatives available to them, and ensure that their decisions are implemented.
2. Premium pay is paid in accordance with legal requirements. REF: 5 USC 5541, etc.; 5 USC 5341, etc.; CFR 551, Etc.; CPI 550	Managers and supervisors ensure that their decisions are implemented. They know how the overtime pay requirements of the Fair Labor Standards Act differ from the requirements for overtime pay under Title 5 USC.
3. Recruitment, retention and relocation pay are documented when they are used. REF: 5 USC 5753; 5 USC 5754; CFR 575.104	Management achieves recruitment and retention goals. Documentation provides an audit trail that reflects the decision process. Decisions are fair and equitable.
4. Policies regarding the approval of overtime, and authorization of other forms of premium pay, must be established and available to managers, supervisors and employees. REF: CFR 550.111; CPI 550	Premium pay is paid correctly and costs are minimized. Decisions are fair and equitable.
5. Policies are established for Federal Employees Compensation Management (FECA) administration case management to support appropriate employee coverage and minimize program costs. REF: 20 CFR, Part 10	Employees receive benefits that they are entitled to receive. Program costs are minimized. Managers and supervisors know employee entitlements. Programs are coordinated with safety and occupational health programs. Systems are in place to identify and eliminate program abuses.

<b>Personnel Program Review Area</b>	
<b>2</b>	<b>Employee Relations</b>
<b>Key Merit Principles:</b>	<ul style="list-style-type: none"> <li>• Maintain high standards of integrity, conduct, and concern for the public interest.</li> <li>• Manage employees efficiently and effectively.</li> <li>• Retain or separate employees on the basis of their performance.</li> <li>• Provide equal pay for equal work and reward excellent performance.</li> </ul>
<b>Requirements and Entitlements</b>	<b>Results of Good Practice and Procedure</b>
1. Every employee must receive an annual performance appraisal. REF: 5 USC 4302; 5 CFR 430.206; SECNAVINST 12430.4	Employees receive frequent, informal feedback about performance expectations and how well they are being met.
2. Awards are in compliance with monetary and documentation requirements. REF: 5 CFR 451.103; 5 USC 4502; SECNAVINST 12451.3	Award amounts are in proportion to the value of the accomplishment or contribution. Documentation provides an audit trail.
3. Disciplinary and adverse actions are in compliance with established guidelines and requirements. Actions are documented. REF: 5 USC 7502, 7512; 5 CFR 752; CPI 752	Disciplinary action is reasonable and consistent. Documentation provides an audit trail.
4. Benefits programs, such as health insurance, life insurance, and the Civilian Employee Assistance Program are administered in accordance with program requirements. REF: 5 CFR 870, 890, 792; OCPMINST 12870.1A; OCPMINST 12890.1A; CPI 792	Employees are informed of opportunities to change insurance coverage, and know how to use the Civilian Employee Assistance Program. Employees pay the proper amount for the insurance coverage they select.
5. Retirement actions must be processed in a timely manner. Employee eligibility for retirement must be confirmed prior to processing a retirement action. REF: 5 USC 8333, 8411; 5 CFR 831, 841, 842; CPI 831	Prior to retirement employees receive information and counseling on entitlements (such as the amount of their pension) as well as issues associated with the transition to retirement.

<b>Personnel Program Review Area</b>	
<b>3</b>	<b>Equal Employment Opportunity</b>
<b>Key Merit Principle:</b>	Treat employees and applicants fairly and equitably, without regard to political affiliation, race, color, religion, national origin, sex, sexual orientation, marital status, age, or handicapping condition.
<b>Requirements and Entitlements</b>	<b>Results of Good Practice and Procedure</b>
1. Managers and supervisors have EEO critical elements in their performance plans. REF: DOD 1400.25M, Subchapter 430	Performance expectations take into account the size of the work unit and the affirmative employment goals of the organization.
2. All employees receive sexual harassment training annually. REF: SECNAV 5600.26C	A system is in place to emphasize individual accountability and to incorporate a reprisal-free environment for the prompt resolution of complaints and provision of feedback to the parties involved.
3. Recruitment, training, discipline and selection efforts are free from illegal discrimination. REF: 29 CFR 1614.101	Systems are in place to monitor policies and procedures that have an adverse impact on protected classes and to monitor trends.
4. Procedures for timely resolution of EEO complaints, including sexual harassment, have been established. REF: 29 CFR 1614.104	Procedures are posted. Employees are aware of procedures for resolution of disputes. Surveys indicate that employees believe the complaint process is fair.
5. Policies and practices that have become institutional barriers to equal employment opportunity have been eliminated. REF: SECNAVINST 12720.5	Affirmative employment plans are in place to address areas of under-representation and employment and structural barriers.
6. Supervisors and managers have annual training in EEO. REF: CPI 720.1	Training addresses barriers, results of employee surveys, and best practices for full integration and utilization of minorities, women, and persons with disabilities.

<b>Personnel Program Review Area</b>	
<b>4</b>	<b>Labor Relations</b>
<b>Key Merit Principles:</b>	<ul style="list-style-type: none"> <li>• Maintain high standards of integrity, conduct, and concern for the public interest.</li> <li>• Manage employees efficiently and effectively.</li> </ul>
<b>Requirements and Entitlements</b>	<b>Results of Good Practice and Procedure</b>
<b>1.</b> Official time used by union representatives must be recorded. REF: CPI 711	Use of time is analyzed on a regular basis.
<b>2.</b> Activities with collective bargaining agreements must train supervisors on the provisions of the collective bargaining agreements. REF: CPI 711	When appropriate, training for union and management officials is conducted jointly. New supervisors are trained in the provisions of the union contract. All supervisors understand the requirements of the contract.
<b>3.</b> Activities with unions must develop a local job action contingency plan. REF: SECNAVINST 12711.1	The plan is reviewed periodically and updated when needed.
<b>4.</b> Activities with collective bargaining agreements must inform employees annually of their Weingarten Rights (rights to union representation in certain situations). REF: 5 USC 7114(a)(3)	All employees receive prompt notification. Methods used are appropriate to the work environment.

<b>Personnel Program Review Area</b>	
<b>5</b>	<b>Position Classification</b>
<b>Key Merit Principle:</b>	Provide equal pay for equal work and reward excellent performance.
<b>Requirements and Entitlements</b>	<b>Results of Good Practice and Procedure</b>
1. Every employee has an accurate position description. REF: OPM Classifiers Handbook, 12/97; Introduction to the Position Classification Standards, OPM, 12/97	Procedures are established to ensure that position descriptions are accurate and are updated promptly when significant changes occur in work assignments.
2. Supervisors annually verify the currency and accuracy of position descriptions. REF: SECNAVINST 12510.9, 8/86; OCPMINST 12511.1, CH4, 6/88	Annual certification is accomplished and documented as a part of the performance appraisal process.
3. Positions are classified in accordance with published classification standards. REF: 5 USC 5107	Employees who classify positions are trained how to apply classification standards. A process is in place for reviewing position classification periodically to maintain accuracy. Classification decisions are documented when the classification is not obvious from the position description.
4. Each employee is entitled to a copy of his or her position description. REF: FOIA	Procedures are implemented to provide employees with a copy of their position description when they begin a new job and whenever changes are made.
5. Employees have the right to grieve the accuracy of their position description and to appeal the classification of their positions. REF: CFR 511.606; CFR 511.603; OCPMINST 12511, CH4, 6/88	Grievance and appeal procedures are made available to employees. Advice and assistance are available to employees regarding the basis for the current classification determination and the process they need to follow if they wish to grieve or appeal.

<b>Personnel Program Review Area</b>	
<b>6</b>	<b>Staffing</b>
<b>Key Merit Principle:</b>	Recruit qualified individuals from all segments of society and select and advance employees on the basis of merit after fair and open competition.
<b>Requirements and Entitlements</b>	<b>Results of Good Practice and Procedure</b>
1. Recruitment and promotion processes are based on merit after fair and open competition. REF: 5 USC 2301, 2302,3362,4302; 5 CFR 300.101-4, 300.201; CPI 335	Published policies support merit based hiring and promotion. Published procedures provide employees with a reasonable opportunity to find out about and apply for job opportunities. Noncompetitive actions are exceptions to established competitive procedures.
2. Veterans Preference is used in accordance with legal requirements. REF: 5 USC 1302, 3309-3318; 5 CFR 211; PL 104-201,Section 1615	Procedures are established to ensure that veterans receive appropriate preference in staffing actions. Selecting officials are informed of their obligations with respect to the hiring of veterans.
3. Priority Placement Program requirements are followed and management actions demonstrate program support. REF: DOD Priority Placement Program Operations Manual	Employees who are facing separation are registered as quickly as possible. Ongoing support is provided to ensure that registration is consistent with changing circumstances. Management supports use of the program to fill positions.
4. Appointing authorities are correct. REF: OPM Operating Manual, The Guide to Processing Personnel Actions	Procedures should be established in the unit that performs appointment processing to ensure that this is done correctly. This is more than a mundane technicality because errors can have a long term effect on employee benefits.
5. Reduction-in-Force (RIF) actions comply with legal and regulatory requirements, and are properly documented. REF: 5 USC 1302, 3502, 3503; 5 CFR 351, SECNAVINST 12351.5E; CPI 351.S	Efforts are made to minimize the need for RIF and the impact of RIF. RIF actions, including establishment of competitive levels, are well documented.

<b>Personnel Program Review Area</b>	
<b>7</b>	<b>Training and Employee Development</b>
<b>Key Merit Principle:</b>	Educate and train employees when it will result in better organizational or individual performance.
<b>Requirements and Entitlements</b>	<b>Results of Good Practice and Procedure</b>
1. Training is related to the work of the organization. REF: 5 USC 41; 5 CFR 410, PL 103-62 (1993) GPRA; CPI 410	The Activity Training Plan is tied to the organization's strategic plan and business plan.
2. There is a periodic training needs assessment. REF: 5 USC 4103; Executive Order 11348.303; CPI 410	A systematic training needs assessment process is in place.
3. Training plans are established where required. REF: 5 CFR 410.203; CPI 410; 5 CFR 412	Individual Development Plans and similar documents are prepared and used as training planning tools.
4. Mandatory training requirements, such as training for new supervisors, are met. REF: 5 CFR 930.301-305; 5 CFR 2638.703(b), 5 CFR 412	All required training is provided.

## **Appendix C - Merit System Principles**

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**The Merit System Principles listed below are adapted from the statutory language that appears in Section 2301 of Title 5, United States Code.**

- Recruit qualified individuals from all segments of society and select and advance employees on the basis of merit after fair and open competition.
- Treat employees and applicants fairly and equitably, without regard to political affiliation, race, color, religion, national origin, sex, sexual orientation, marital status, age, or handicapping condition.
- Provide equal pay for equal work and reward excellent performance.
- Maintain high standards of integrity, conduct, and concern for the public interest.
- Manage employees efficiently and effectively.
- Retain or separate employees on the basis of their performance.
- Educate and train employees when it will result in better organizational or individual performance.
- Protect employees from improper political influence.
- Protect employees against reprisal for the lawful disclosure of information in "whistleblower" situations (i.e., protecting people who report things like illegal and/or wasteful activities).

## **Appendix D - Prohibited Personnel Practices**

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**The prohibited personnel practices listed below are adapted from the statutory language that appears in Section 2302 of Title 5, United States Code. Any employee who has authority to take, direct others to take, recommend, or approve any personnel action, shall not, with respect to such authority:**

- Discriminate on the basis of race, color, religion, sex, national origin, age, handicapping condition, marital status, or political affiliation.
- Solicit or consider any personnel recommendation or statement not based on personal knowledge or records of performance, ability, aptitude, general qualifications, character, loyalty, or suitability.
- Coerce an employee's political activity.
- Deceive or obstruct any person with respect to such person's right to compete for employment.
- Influence a person to withdraw from competition.
- Grant any preference or advantage not authorized by law, regulation, or rule.
- Employ or promote a relative.
- Retaliate against employees or applicants who exercise their appeal rights, testify or cooperate with an inspector general or the Special Counsel, or refuse to break a law.
- Discriminate based on actions not adversely affecting performance, or
- Violate any law, rule, or regulation implementing or directly concerning the merit principles.

## **Appendix E – A Simplified Approach to Assessment**

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### ***Overview***

The comprehensive assessment system detailed in this guide is a useful tool for large activities, but it is overly complex for the many Department of the Navy activities with smaller numbers of civilian employees. About 950 of the 1,200 activities with civilian employees have fewer than 100 civilians.

The assessment tool provided in this appendix is designed for small activities. It also can be used as a diagnostic tool for organizations within large activities. It provides a user-friendly method for identifying areas of strength and areas where improvement is needed.

### ***Methodology***

The five pages at the end of this Appendix are the Department of the Navy self-assessment tool for assessing human resources management in small organizations. Page numbers have been omitted to make it easier to copy and use the document as a stand-alone tool.

The first page provides an overview for the organization using the tool. The second page identifies 20 areas for assessment of human resources management, including both personnel and equal employment opportunity. Copies of this page can be used to gather data from employees and to aggregate the results of the data collection. The third and fourth pages provide tables to summarize the results and identify key action items. The fifth page provides a summary of the Merit System Principles and the Prohibited Personnel Practices to help employees answer questions associated with them.

### ***Implementation***

The following steps are recommendations that can be adapted as needed in organizations that use the second page of the guide as a questionnaire.

1. Send out a notice that you will be gathering data. An example, on the next page of this guide, highlights key points for this step of the process.
2. Copy the questionnaire page on colored paper to make it easy to identify. Copy the page with the Merit System Principles on the back of the questionnaire page.
3. Provide a very short time frame for response (typically 2 to 3 days).
4. Send out a note thanking respondents, and let them know you appreciate their input.
5. Establish a team to review the data and identify areas of strength and areas where improvement is needed.
6. Develop goals and implement an action plan to address the results.
7. Repeat this process periodically to measure progress.

### *Sample implementation letter*

The following sample can be adapted to meet local needs. Items in [brackets] require local adaptation. Gathering results can be done through methods other than a collection box, as long as confidentiality can be assured. Sharing aggregate results and taking action to improve in areas where improvement is needed are important steps in this process.

From: Commanding Officer

To: All employees

Subj: Assessing Human Resources Management

A few days from now I will be distributing a simple questionnaire to each employee in [this activity]. The purpose of this questionnaire is to gather information about where our own human resources management is strong and where we need to make efforts to improve. Please take a moment to fill out the questionnaire and place it in the box marked "Personnel Self-Assessment Surveys" located [location of box] no later than [a date in the near future].

My commitment to you with respect to this process is:

- ◆ All questionnaires will remain confidential. No individual will be identified.
- ◆ The aggregate results of your responses will be made available to all employees.
- ◆ Our [management team/assessment team] will use the results to identify areas where we are strong and areas where we need to improve.
- ◆ Steps will be taken to gain a better understanding of the issues associated with areas where improvement is needed and appropriate action will be taken in those areas.

Thank you for taking the time to support this effort.

## **1** What's this all about?

This assessment tool provides a simple to use method for identifying areas of strength and areas where improvement is needed. The detailed assessment guide available from the Department's human resources management web site can be used for guidance when areas for improvement are identified.

## **2** What do I need to do?

The following page targets 20 areas for assessment. Each is assessed using a simple, 5-point scale. Depending on the size of the activity, the questions may be used as a questionnaire or serve as focus group discussion points. The next 2 pages provide tables to summarize the results and identify key action items. In some activities the comparison of employee, supervisor and manager opinions may be useful.

## **3** How do we know how well we're doing?

There is no "passing score" for this assessment process. The best way to use this information is to take action on areas for improvement, gather data at a later date, and assess progress over time. Retaining the results of this process provides documentation of HRM self-assessment for validation of self-assessment efforts by higher level organizations.

## **Where do I go for assistance?**

Human Resources service providers, including your Human Resources Office and your Human Resources Service Center, can help with self-assessment and improving human resources management. The Strategic Planning and Assessment Office of the Deputy Assistant Secretary of the Navy (Civilian Personnel/Equal Employment Opportunity) is responsible for overseeing the Department's Human Resources Management assessment program. If you have a question about the program, or see a way we can make it better, please get in touch with us. You can reach us at DSN 426-6819 or by commercial telephone at 703-696-6819. Our mailing address is:

ODASN(CP/EEO), DPOB  
800 N. Quincy Street  
Arlington, VA 22203-1998

## An assessment of our human resources management practices

1	2	3	4	5
Never	Sometimes			Always

The scale shown above is used for all of the assessment areas. The tables on this page can be used by employees to provide information and by management to pull together the results. A copy of the last page, which summarizes the Merit System Principles, should be available to employees and managers to help them respond.

✓ Rating:

<b>Communication</b>	1	2	3	4	5
I get timely information about vacancies and other career information					
I understand the organization's direction and priorities					
I get timely benefits (retirement/pay/insurance/TSP) information					
I know who to call for civilian personnel and EEO assistance					
I feel free to discuss issues with my supervisor					
The organization gets good service from its personnel office					

✓ Rating:

<b>Organization Health</b>	1	2	3	4	5
I get the training I need to do my job and enhance my abilities					
I have the tools and support systems I need to do my work					
I am recognized for good work and get constructive help as needed					
I work in a safe and healthy work environment					
Employees have the skills and ability to perform their work					
This organization implements family friendly work practices					

✓ Rating:

<b>EEO</b>	1	2	3	4	5
I am aware of the EEO complaint process					
I can use the EEO complaint process without fear of retaliation					
I have received the required sexual harassment training					
The workplace is free from discrimination and sexual harassment					

✓ Rating:

<b>Accountability and Responsibility</b>	1	2	3	4	5
Management adheres to Merit System Principles and other civil service rules					
Management knows and implements appropriate workplace diversity measures					
My job description is accurate and my work assignments are clear					
My supervisor takes appropriate action to correct personnel and EEO problems					

Comments:

Organization:

Date:

<b>Communication</b>
How did the assessment results compare with our goals, expectations, and previous results?
What are the most important areas for improvement?
What actions do we need to take to improve our results in this area?

<b>Organization Health</b>
How did the assessment results compare with our goals, expectations, and previous results?
What are the most important areas for improvement?
What actions do we need to take to improve our results in this area?

# Results and Action Plan

Organization:

Date:

<b>EEO</b>
How did the assessment results compare with our goals, expectations, and previous results?
What are the most important areas for improvement?
What actions do we need to take to improve our results in this area?

<b>Accountability and Responsibility</b>
How did the assessment results compare with our goals, expectations, and previous results?
What are the most important areas for improvement?
What actions do we need to take to improve our results in this area?

## Background Information

**Merit System Principles:** Most of the areas assessed do not need explanation. One question addresses the Merit System Principles. These principles are:

- Recruit qualified individuals from all segments of society and select and advance employees on the basis of merit after fair and open competition.
- Treat employees and applicants fairly and equitably, without regard to political affiliation, race, color, religion, national origin, sex, sexual orientation, marital status, age, or handicapping condition.
- Provide equal pay for equal work and reward excellent performance.
- Maintain high standards of integrity, conduct, and concern for the public interest.
- Manage employees efficiently and effectively.
- Retain or separate employees on the basis of their performance.
- Educate and train employees when it will result in better organizational or individual performance.
- Protect employees from improper political influence.
- Protect employees against reprisal for the lawful disclosure of information in "whistleblower" situations (i.e., protecting people who report things like illegal and/or wasteful activities).

**Prohibited Personnel Practices:** There are a number of prohibited personnel practices that also need to be considered in assessing how well an organization adheres to the concepts set forth in the Merit System Principles. Any employee who has authority to take, direct others to take, recommend, or approve any personnel action, shall not, with respect to such authority:

- Discriminate on the basis of race, color, religion, sex, national origin, age, handicapping condition, marital status, or political affiliation.
- Solicit or consider any personnel recommendation or statement not based on personal knowledge or records of performance, ability, aptitude, general qualifications, character, loyalty, or suitability.
- Coerce an employee's political activity.
- Deceive or obstruct any person with respect to such person's right to compete for employment.
- Influence a person to withdraw from competition.
- Grant any preference or advantage not authorized by law, regulation, or rule.
- Employ or promote a relative.
- Retaliate against employees or applicants who exercise their appeal rights, testify or cooperate with an inspector general or the Special Counsel, or refuse to break a law.
- Discriminate based on actions not adversely affecting performance, or
- Violate any law, rule, or regulation implementing or directly concerning the merit principles.