

SUBJECT: HUMAN CAPITAL MANAGEMENT ACCOUNTABILITY PROGRAM

1. **PURPOSE.** To establish requirements and identify roles and responsibilities for the Department's Human Capital Management Accountability Program (HCMAP) for human resources programs and personnel and to ensure that DOE's human capital activities are compliant with Federal civil service laws, regulations, and Departmental policies.
2. **CANCELLATION.** None.
3. **APPLICABILITY.**
 - a. **Department of Energy (DOE) Elements.** Except for the exclusions in paragraph 3c, this Order applies to all Departmental elements, including those created after the Order is issued. (Go to www.directives.doe.gov/pdfs/reftools/org-list.pdf for the current listing of Departmental elements.)

The Administrator of the National Nuclear Security Administration (NNSA) will assure that NNSA employees comply with their respective responsibilities under this Order. Nothing in this Order will be construed to interfere with the NNSA Administrator's authorities under sections 3212(d) and 3241 of Public Law (P.L.) 106-65 (the NNSA Act) to establish Administration specific policies, unless disapproved by the Secretary.
 - b. **DOE Contractors.** This Order does not apply to contractors.
 - c. **Exclusions.** None.
4. **REQUIREMENTS.**
 - a. Managers and human resources offices must be accountable for efficient and effective human resources (HR) decision-making that supports the DOE mission in accordance with merit system principles.
 - b. HCMAP reviews must assess levels of compliance, efficiency, and effectiveness for the following areas:
 - (1) talent management,
 - (2) results-oriented performance culture,
 - (3) leadership and knowledge management, and
 - (4) strategic alignment.

- c. HCMAP reviews must include site reports which: evaluate human capital results; identify deficiencies, if any, within particular program areas and the required actions and recommendations to address these deficiencies; and identify best practices, if any, in business processes or corporate products for the benefit of other HR offices.
- d. Human Resources offices must provide written results of quarterly reviews and other independent reviews to the Office of Human Capital Management.
- e. The Office of Human Capital Management prepares and submits the Annual Human Capital Accountability Report to the Office of Personnel Management (OPM).
- f. A Human Capital Best Practices Council will be established with membership consisting of no more than five participants from DOE HR offices and Departmental elements.
- g. The Human Capital Best Practices Council members will have expertise in one or more of the following disciplines:
 - (1) human resources,
 - (2) financial management, and
 - (3) information technology.
- h. The Human Capital Best Practices Council will develop action plans that address implementation strategies and measure the financial impact of Human Capital Management initiatives across HR.

5. RESPONSIBILITIES.

- a. Deputy Secretary or Designee reviews the Annual Human Capital Accountability Report.
- b. Chief Human Capital Officer (CHCO) approves and submits the Annual Human Capital Accountability Report to the Deputy Secretary and OPM.
- c. Deputy CHCO/Director, Office of Human Capital Management, and Associate Administrator for Management and Administration, NNSA.
 - (1) Review findings from HCMAP reviews, site reports, and the Annual Human Capital Accountability Report.
 - (2) Exercise discretion in suspending HR authorities to ensure that Departmental elements including NNSA components, and respective servicing HR offices are accountable for implementing effective programs, and for taking necessary corrective actions.

- (3) Review lessons learned and business proposals brought forth by the Human Capital Best Practices Council.
- (4) Submit the Annual Human Capital Accountability Report to the CHCO.
- d. Office of Human Capital Management, and Office of Human Capital Management Programs, NNSA .
 - (1) Ensure that HCMAP results complement and support the vision of the DOE Human Capital Strategic Plan and the NNSA Administrator's strategic management and Complex Transformation visions.
 - (2) Conduct human capital program reviews.
 - (a) Prepare site reports and communicate findings and share lessons-learned.
 - (b) Design accountability metrics and measurement indicators to evaluate program results and levels of compliance, effectiveness, and efficiency.
 - (3) Approve evaluators to serve on program accountability reviews.
 - (4) Design web-based systems for data collection and assessment.
 - (5) Establish human capital accountability policies, guidance, and procedures.
 - (6) Prepare the Annual Human Capital Accountability Report for submission to the Deputy Secretary, Director, Office of Human Capital Management, the Associate Administrator for Management and Administration, NNSA, Departmental HR managers, and the Human Capital Best Practices Council.
 - (7) Represent the Department on human capital accountability issues during inter-agency forums and reviews.
 - (8) Establish the Human Capital Best Practices Council.
 - (9) Approve business proposals brought forth by the Human Capital Best Practices Council.
- e. Heads of Departmental Elements.
 - (1) Ensure that managers are held accountable for human capital decision-making through performance management standards.

- (2) Adhere to requests under the authority of this Order for accountability report findings and reporting data.

f. Servicing Human Resources Officers, Department-wide.

- (1) Conduct quarterly reviews of personnel actions to ensure that processing practices are consistent with merit system principles, statutory and regulatory requirements, agency policies, and negotiated agreements.
- (2) Report progress of required actions and/or recommendations from site reports respectively to the DOE Office of Human Capital Management, and NNSA Office of Human Capital Management Programs.
- (3) Implement strategies and solutions that address corrective actions in the site reports.
- (4) Comply with data collection requirements set forth by the Office of Human Capital Management.
- (5) Validate reporting data for accuracy.
- (6) Identify accountability liaisons to serve as site office points of contact.
- (7) Utilize HCMAP web-based reporting systems.
- (8) Identify human resources staff to serve as accountability examiners on program assessment teams and on the Human Capital Best Practices Council.
- (9) Provide logistical support to program assessment teams as needed.

g. Human Capital Best Practices Council.

- (1) Develops business-case proposals based upon identified departmental Human Capital best-practices.
- (2) Submits final proposals to DOE's Office of Human Capital Management, and to NNSA's Office of Human Capital Management Programs.

6. REFERENCES.

- a. Executive Order (E.O.) 13197, Government Accountability for Merit System Principles, Workforce Information, dated January 18, 2001, which establishes Civil Service Rule X and gives the U.S. Office of Personnel Management (OPM) authority to require agencies to establish a human capital management (HCM) system.

- b. P.L. 107-296, Chief Human Capital Officers Act of 2002 (CHCO Act) Title XIII [Title 5 United States Code, 1103(c)], which requires Agencies to appoint a chief human capital officer with responsibility for assessing agency management of human capital.
 - c. P.L. 104-201, Section 3174, National Defense Authorization Act for FY 1997, which requires findings before imposing any DOE Orders at a defense nuclear facility.
 - d. P.L. 106-65, Title XXXII, National Security Administration Act, as amended, which established a separately organized agency within the Department of Energy.
 - e. Title 5 Code of Federal Regulations (CFR) Subpart A; Sec. 250.101, Sec. 250.102, Sec. 250.103, which describes authority for taking personnel actions in Agencies.
 - f. The Secretary's May 23, 2006, Memorandum on Functional Accountability.
 - g. The Administrator of NNSA's October 12, 2007, Memorandum on Functional Accountability.
 - h. Redesignation Order No.00-008.01A, To the Director, Office of Human Capital Management.
7. NECESSITY FINDING STATEMENT. In compliance with Sec. 3174 of P.L. 104-201 (50 U.S.C. 2584 note), DOE hereby finds that this Order is necessary for the protection of human health and the environment or safety, fulfillment of current legal requirements, or conduct of critical administrative functions.
8. CONTACT. Questions concerning this directive should be addressed to the Office of Human Capital Management, 202-586-5610.

BY ORDER OF THE SECRETARY OF ENERGY:



JEFFREY F. KUPFER
Acting Deputy Secretary