



DEPARTMENT OF THE NAVY
SPACE AND NAVAL WARFARE SYSTEMS COMMAND
4301 PACIFIC HIGHWAY
SAN DIEGO, CA 92110-3127

SPAWARINST 12273.1
SPAWAR 00A-HR
02 May 2002

SPAWAR INSTRUCTION 12273.1

From: Commander, Space and Naval Warfare Systems Command

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

Ref: (a) SECNAVINST 12273.1 of 16 Mar 99
(b) Department of the Navy (DON) Civilian HRM Assessment
and Evaluation Program Reporting Requirements

Encl: (1) Certification Statement by Activity Heads
(2) Command Review and Validation Questions

1. Purpose. To provide Space and Naval Warfare Systems Command (SPAWARSYSCOM) policy and guidance on the assessment and evaluation of programs, results and accountability for civilian HRM.

2. Background. Fulfillment of strategic SPAWAR workforce goals necessarily involves on-going HRM assessment and evaluation. Reference (a) requires organizations to perform self-assessment and evaluation of civilian HRM programs to include assessment of communication, organizational health, equal employment opportunity, accountability/responsibility, and HRM results. Space and Naval Warfare Systems Command Headquarters and Field Activities are required to evaluate HRM programs through a structured self-assessment process, outlined in reference (b). The purpose of civilian HRM assessment and evaluation within the claimancy is to improve civilian HRM. A variety of tools may be used for the purposes of assessment, including but not limited to, surveys available through the Office of Personnel Management and other government and commercial sources, focus groups conducted in support of Command Climate assessments or conducted independently, and other high performance organization feedback mechanisms. Human Resources Service providers should be contacted for advice and assistance on HRM assessment.

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3. Policy

a. Space and Naval Warfare Systems Command Headquarters and field activities shall maintain effective systems for assessing and evaluating their civilian HRM programs, results and accountability. For organizations with 100 or more civilian positions, the assessment criteria set forth in reference (b) must be addressed. Appendix (E) of reference (b) will be used by activities with 100 or fewer civilian personnel positions.

b. As indicated in reference (a), the self-assessment process has three basic steps: self-assessment; an external validation process; and an on-going action plan based upon the internal and external results. Space and Naval Warfare Systems Command Headquarters and field activities are responsible for completing a self-assessment that includes a review of communication, organizational health, equal employment opportunity, accountability/responsibility and HRM. Organizations are also responsible for demonstrating that action has been taken to address assessment results.

c. Although assessments need only be completed every two years, an annual certification statement outlining fiscal year HRM assessment activities will be required from all activities. Initial certification statements provided as enclosure (1) must be submitted to SPAWAR Code 00A-HR by 15 October 2002 and must continue to be submitted on 15 October for each subsequent fiscal year. Enclosure (2) will normally be completed for all Command Climate assessments that involve Inspector General (IG) visits.

d. Documentation resulting from the self-assessment must be maintained by each organization and available for review during SPAWAR Inspector General (IG) assessments.

4. Responsibilities

a. The Commander, Space and Naval Warfare Systems Command, through the Human Resources Program Office, SPAWAR Code 00A-HR, shall:

(1) Ensure and certify that self-assessment of civilian HRM is performed in all activities within the SPAWAR claimancy and that methods used are sufficient;

(2) Report annually on the adequacy of civilian HRM within the claimancy;

(3) Respond to requests for information or action regarding the assessment from the Deputy Assistant Secretary of the Navy for Civilian Personnel and Equal Employment Opportunity [DASN (CP/EEO)] and ensure headquarters and subordinate activities comply with required actions within specified time frames; and;

(4) Use assessment and evaluation information reviewed during IG assessments to improve civilian HRM.

b. Space and Naval Warfare Systems Command Field Activities Commanding Officers/Executive Directors and Program Executive Offices heads shall:

(1) Perform self-assessment and develop action plans addressing the results of self-assessment;

(2) Provide information requested by SPAWAR and the DASN (CP/EEO);

(3) Respond to evaluation findings, recommendations and required actions within required time frames; and

(4) Use self-assessment results to improve civilian HRM.

5. Action. Addressees shall ensure adherence to the program and reporting requirements in references (a) and (b) of this instruction.

/s/
K. D. SLAGHT

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SAMPLE REPORT FORMAT

From:
To: Commander, Space and Naval Warfare Systems Command
Subj: SELF-ASSESSMENT AND EVALUATION OF CIVILIAN HRM PROGRAMS
Ref: (a) SPAWARINST 12273.1

1. Per reference (a), the following certification statement is submitted:

a. I certify that on-going Human Resources Management (HRM) assessment has been performed by this activity for Fiscal Year _____. For this fiscal year, the following actions have been taken in the area of HRM assessment:

b. Based upon the information to date, I certify that program requirements are being met in the following area(s): Communication, Organizational Health, Equal Employment Opportunity, Accountability/Responsibility, Human Resources Management Results.

c. Appropriate corrective action is being taken in the area(s) where improvement is needed. (Omit if not applicable.)

d. A summary of significant program strengths and areas for improvement is included with this report. (Omit if not applicable.)

e. A summary of HRM "best practices" which have potential value to other Department of the Navy (DON) organizations is included with this report. (Omit if not applicable.)

f. A summary of any systemic human resources management problems, resulting from DON, Office of Personnel Management (OPM) or other policies and programs along with any recommendations for program modifications that will reduce or eliminate the problems, is included with this report. (Omit if not applicable.)

g. Documentation to support this certification is available for review during SPAWAR Inspector General assessments.

(Signature)

Enclosure (1)

Command Review and Validation Questions

1	<p>Consider your command's general approach to performance measurement (accomplishment of mission, not employee performance).</p> <ul style="list-style-type: none">a. Is there a systematic and objective measurement process for HRM? By systematic we mean that there is goal setting, comparisons with other organizations, and documentation of results, allowing assessment of trends over time? Please describe the process.b. How are your HRM measures linked to overall measures of command effectiveness?c. What have you done to align HRM self-assessment with your strategic plan? Are there any particular command goals and objectives with strong links to the effective and efficient use of civilian employees?d. How do you determine whether or not personnel management is contributing to mission accomplishment? Are there any specific linkages?
2	<p>Consider the extent to which civilian HRM is a part of the management process at the command and its activities.</p> <ul style="list-style-type: none">a. What have you done to design HRM systems to support the command mission, vision, core values, goals and objectives? Examples might include command policies and procedures relative to compensation, performance management, awards and incentives, approaches to recruiting, and position management systems.b. What have you done to ensure that civilian HRM at your field activities supports the command mission, vision, core values, goals and objectives?

<p>3</p>	<p>Think about your command responsibilities for oversight of HRM within field activities.</p> <ul style="list-style-type: none"> a. What HR policies and programs has the command developed, in addition to DON and higher level policies, that impact its field organizations? b. How have they aligned these policies with the strategy, technology and context of the command mission? c. What flexibility do individual activities and their managers have to adapt claimant HR policy to suit local strategy, technology and context? (An example might be policy on the use of recruitment, retention and relocation bonuses. Assuming it exists, is it aligned with the claimant goals? Does it tie local implementation to local need? Does the same policy apply to all claimant activities?) How do you determine whether or not delegated authorities are being properly carried out? d. How do you determine whether or not the command's field activities are attracting and retaining the best talent available? e. How do you determine whether or not EEO goals and objectives are being achieved? f. How do you determine if command, Department of the Navy and higher level policies and procedures are being followed? g. How do you determine if local activity policies are consistent with command and higher-level policy?
<p>4</p>	<p>Think about your command responsibilities for oversight of HRM self-assessment within field activities.</p> <ul style="list-style-type: none"> a. Have you issued any command level guidance on HRM self-assessment to your field activities? b. What are the goals of your claimant HRM self-assessment strategy? c. How do you know that these goals are being met? d. How are you using the results of this process at the command level? e. How do you ensure that self-assessment is performed on a regular and recurring basis (at least every 1-2 years)? f. How do you ensure that the activity self-assessment programs are consistent with the size and mission of the organization? g. Do you expect your field activities to assess whether or not their HRM service partners are aware of and meeting its needs? h. How do you confirm that activities are using the results of the HRM self-assessment to ensure that HRM policies and programs are supporting mission accomplishment?

5	Think about the HR Service Providers that are a part of your command. a. Have you established any policies, programs, or procedures to ensure that the HR services they provide are efficient, effective, meet technical and legal requirements, and meet the mission requirements of their own organization and those of their customers? b. How do you measure how well they are doing? c. What do you do with the results of this measurement?
6	Think about the HR Service Providers that provide services to you or your field activities, but are not a part of your command. a. Have you established any methods to ensure that the HR services they provide are efficient, effective, meet technical and legal requirements, and meet your mission requirements? b. How do you measure how well they are doing? c. What do you do with the results of this measurement? d. Are there formal or informal processes to provide feedback to those organizations? How are they working? Can you see consistent results?

Assessment of Communication

What strengths or best practices have you found that can be shared across the command?
Could some be shared across the Navy?
What have you done to share these strengths or practices?
What systemic human resources management problems, resulting from DON, OPM or other policies and programs, have you identified where improvement is needed?
What needs to be done to make improvements in this area?

Assessment of Organization Health

What strengths or best practices have you found that can be shared across the command?
Could some be shared across the Navy?
What have you done to share these strengths or practices?
What systemic human resources management problems, resulting from DON, OPM or other policies and programs, have you identified where improvement is needed?
What needs to be done to make improvements in this area?

Assessment of Equal Employment Opportunity

What strengths or best practices have you found that can be shared across the command?
Could some be shared across the Navy?
What have you done to share these strengths or practices?
What systemic human resources management problems, resulting from DON, OPM or other policies and programs, have you identified where improvement is needed?
What needs to be done to make improvements in this area?

Assessment of Accountability – Responsibility

What strengths or best practices have you found that can be shared across the command?
Could some be shared across the Navy?
What have you done to share these strengths or practices?
What systemic human resources management problems, resulting from DON, OPM or other policies and programs, have you identified where improvement is needed?
What needs to be done to make improvements in this area?