

Accountability:

Results@DOT

Linda Moody
U.S. Department
of Transportation



Human Capital
Management
Improvement Program
Alison Davidow
U.S. Department of
Energy

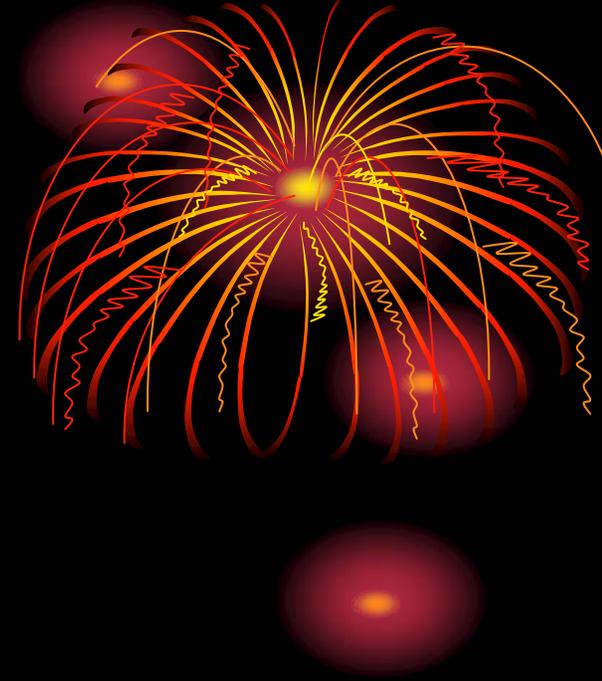




Results@DOT

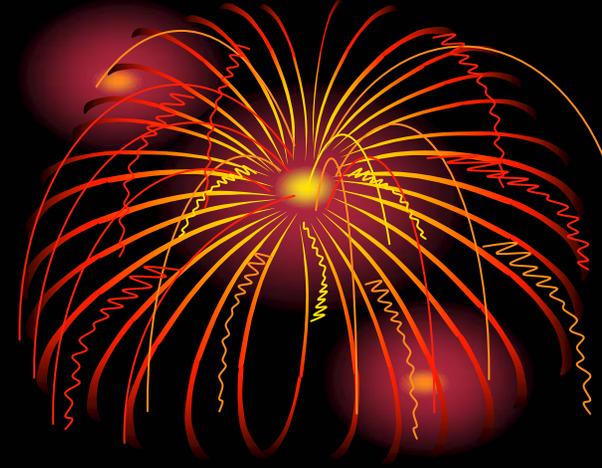
Accountability (OPM's definition)

Agency human capital decisions are guided by a data-driven, results-oriented, planning and accountability system





Results@DOT



- What it means to DOT:
 - Picking initiatives that make a difference
 - Measurement and evaluation built into every initiative



Results@DOT



- What it means to DOT:
(continued)
 - Leadership involvement, monitoring, and ownership
 - Stakeholder participation



Results@DOT



- Picking initiatives that make a difference
 - Heavy emphasis on leadership, mission awareness, outreach
 - Initiatives link with and support each other
 - New information = new or changed initiative



Results@DOT



- Measurement and evaluation built into every initiative
 - *Some examples:*
 - Quarterly reports, for Corporate Recruitment and Diversity, ad hoc reports for others.



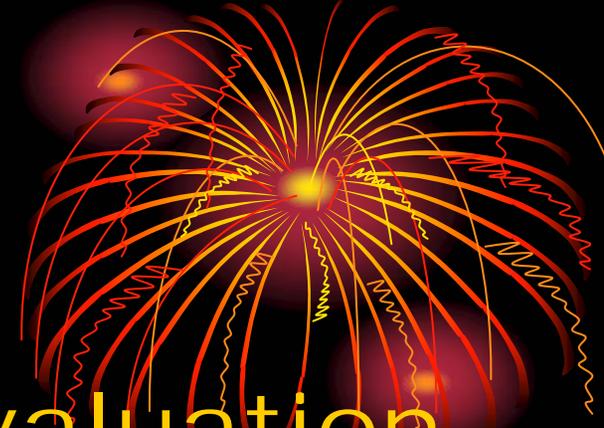
Results@DOT



- Measurement and evaluation
Examples, continued
- Web-based, flexible data system allows constant, real-time demographic monitoring



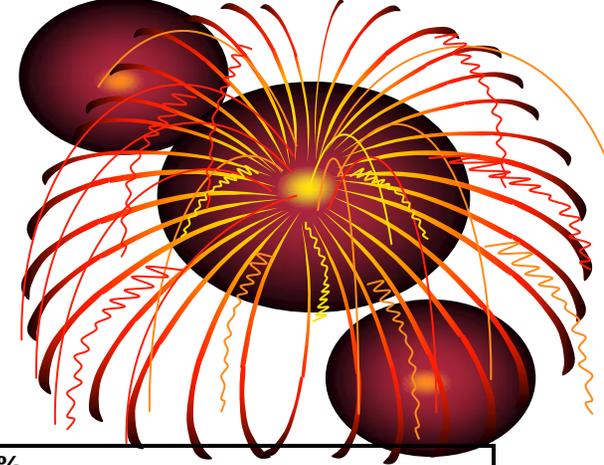
Results@DOT



- Measurement and evaluation
Examples, continued

- HR Balanced Scorecard surveys customers, HR leaders, and HR employees. Best practices shared, trend lines tracked over time.

Balanced Scorecard Sample Report



Analysis of 2002 HR Customer Survey -- Timeliness Category

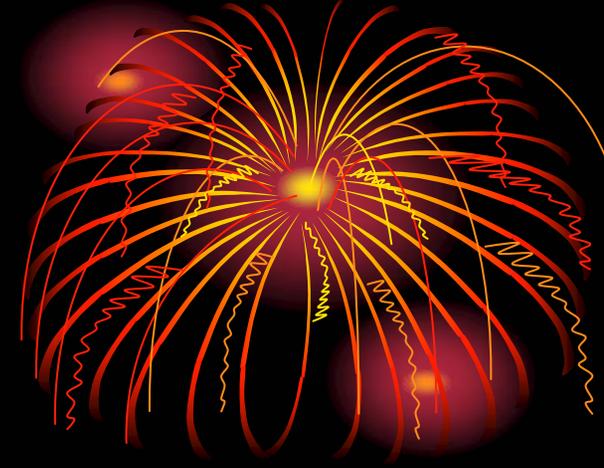
All Customers	General Agreement %													
	I	E	N	P	O	DOT	M	J	K	L	G	F	D	H
5 Timeliness questions														
PRODUCTS AND SERVICES ARE PROVIDED WHEN I NEED THEM.	60%	61%	64%	70%	74%	70%	71%	73%	70%	75%	78%	85%	87%	85%
GENERAL INFORMATION CONCERNING HR ISSUES IS PROVIDED IN A TIMELY MANNER.	68%	65%	57%	73%	72%	74%	74%	76%	71%	85%	85%	88%	91%	92%
MY HR OFFICE RESPONDS TO MY QUESTIONS IN A TIMELY MANNER.	62%	65%	56%	66%	68%	73%	75%	76%	78%	74%	83%	81%	88%	91%
MY HR OFFICE RETURNS MY PHONE CALLS PROMPTLY.	62%	64%	64%	58%	60%	71%	74%	70%	83%	76%	79%	77%	86%	86%
MY HR OFFICE PROVIDES FOLLOWUP/CLOSURE TO AN ISSUE IN A TIMELY MANNER.	52%	53%	73%	55%	53%	63%	66%	70%	62%	69%	75%	73%	82%	84%
Average General Agreement %	61%	62%	63%	64%	66%	70%	72%	72.8%	73.0%	76%	80%	81%	86.9%	87.4%

Supervisors-Only	General Agreement %													
	I	N	K	E	P	DOT	O	M	F	G	L	J	D	H
3 Timeliness questions														
MY HR OFFICE WORKS WITH ME EARLY IN THE PLANNING PROCESS TO DEVELOP STRATEGIES AND OPTIONS ON HR MATTERS.	27%	38%	47%	54%	60%	62%	79%	67%	66%	67%	69%	82%	94%	97%
MY HR OFFICE PROVIDES PRODUCTS AND SERVICES IN A TIMELY MANNER.	31%	47%	30%	55%	62%	65%	75%	73%	78%	71%	84%	73%	80%	85%
MY HR OFFICE KEEPS ME INFORMED ON THE STATUS OF MY PERSONNEL ACTIONS, PROJECTS OR PROGRAMS.	27%	29%	45%	50%	38%	59%	45%	63%	70%	80%	73%	73%	73%	90%
Average General Agreement %	28%	38%	41%	52.9%	53.3%	62%	66%	68%	71%	72%	75%	76%	83%	91%

For the 2002 cycle the following ranges are applicable:	80 and above = green	Green
	60 to 79 = yellow	Yellow
	Below 60 = red	Red



Results@DOT



- Measurement and evaluation

Examples, continued

- Follow up evaluations with new learning and development and knowledge management pilots



Results@DOT

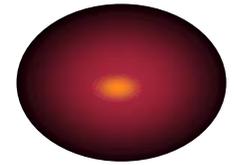
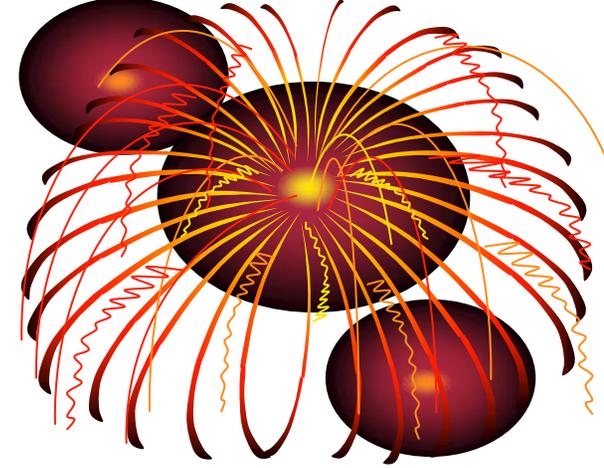


- Leadership involvement, monitoring, and ownership
 - Secretary established internal scorecard
 - Deputy and COS personally monitor progress

U.S. Department of Transportation
President's Management Agenda
Executive Status Report



White House photo by Eric Draper





Results@DOT

- Leadership involvement, monitoring, and ownership
 - Senior DOT Executive named to provide focused oversight and coordination
 - Human Capital in performance plan for *every* DOT leader





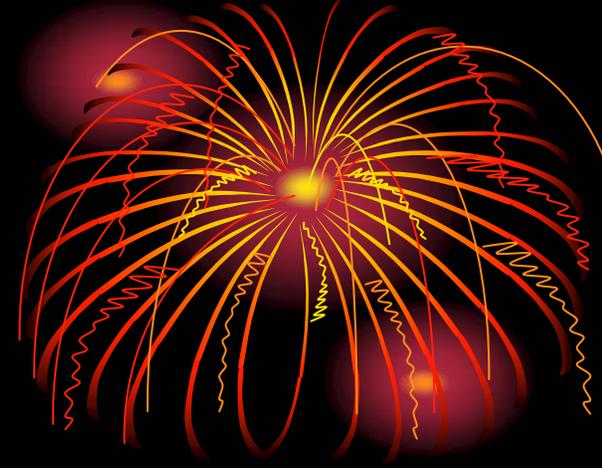
Results@DOT



- Stakeholder participation
 - Operating administration representatives participate in planning and leadership
 - Administration best practices are publicized and marketed



Results@DOT



- Accountability Next Steps
 - Compendium of best practices
 - New initiatives building on existing ones



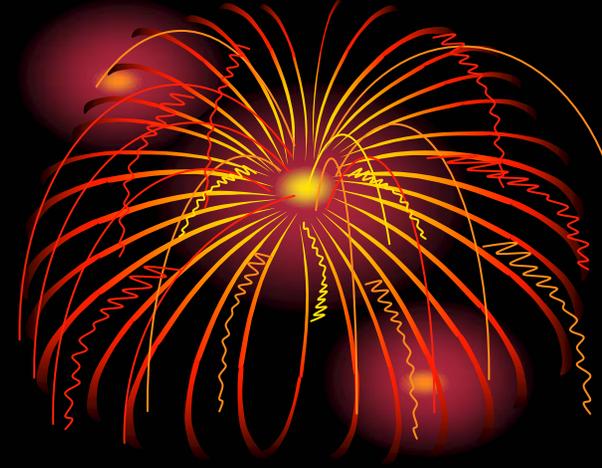
Results@DOT



- **Accountability Next Steps**
 - Document internal systems in each organization
 - More involvement for line managers



Results@DOT

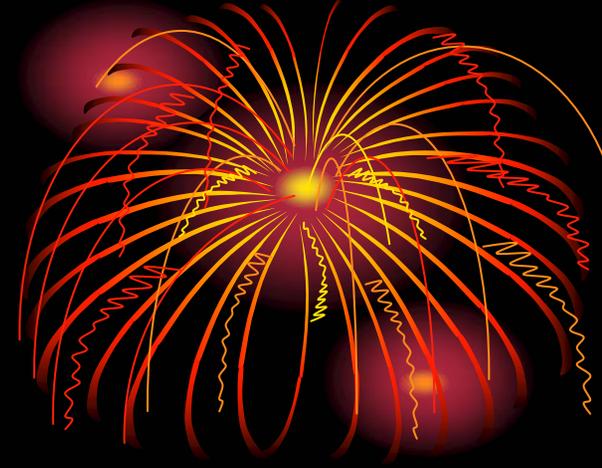


- Accountability Next Steps

- *Keep asking and answering the "so what?" question for ourselves, for our leaders, about everything we do.*



Accountability: *Results@DOT*



DOT 2004 Workforce Plan

[DOT Workforce Plan 2004 \(pdf\)](#)

Succession Planning in DOT

http://dothr.ost.dot.gov/HR_Programs/Workforce_Planning/DOT_Succession_Planning_Model_-_complete_doc.doc

DOT Diversity Action Plan

http://dothr.ost.dot.gov/Diversity_Action_Plan.pdf

DOT *Careers In Motion* Web site

<http://careers.dot.gov/>

DOT Supervisors' Toolkit

<http://dothr.ost.dot.gov/toolkit/toolkit.html>

DEPARTMENT OF ENERGY'S HUMAN CAPITAL MANAGEMENT IMPROVEMENT PROGRAM



Alison Davidow
Human Resources Policy and Programs

8/25/2004

What is HCMIP?

- A tool for measuring the success of Human Capital Management
- A method for collecting and analyzing data on human capital
- A device for recording and reporting on short and long range successes.
- Documentation for getting to green!



Why HCMIP now?

- HCM marks the shift from “Personnel” staff role to line management involvement in human capital decisions
- Management accountability and continual improvement crucial to PMA
- BUT: Merit principles still apply & Federal agencies must oversee them



What "success" does HCMIP measure?



1. Strategic Alignment
2. Workforce Planning and Deployment
3. Leadership and Diversity
4. Knowledge Management
5. Performance Culture
6. Talent

1. Strategic Alignment Success Factors



- Human Capital Vision
- Human Capital Planning System
- Strategic Human Capital Plan
- Management Accountability Measures

2. Workforce Planning and Deployment Success Factors



- Workforce Planning
- Workforce Development
- Aligning Planning and Deployment with President's Management Agenda
- Employee-Management Relations

3. Leadership and Diversity Success Factors

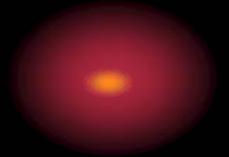


- Leadership Planning and Implementation (SES, managers, supervisors)
- Change Management and Modeling
- Diversity Awareness and Diversity-Based Decisions

4. Knowledge Management Success Factors



- Strategic Knowledge Management
- Continuous Learning and Improvement

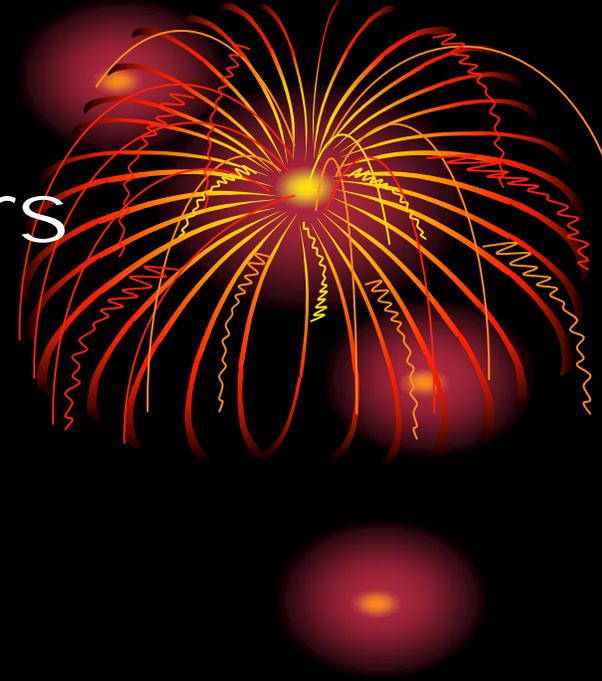


5. Performance Culture Success Factors



- Sharing and Accessibility of Strategic Plan
- Linkage between Performance Expectations and Recognition Systems
- Reward Environment
- Understandable Performance Expectations

6. Talent Success Factors



- Workforce Analysis
- Competition for Talent

Human Capital Management Improvement Program (HCMIP)



Welcome to the Human Capital Management Improvement Program Knowledge Management Portal. This portal was designed to provide Departmental personnel involved in HCMIP a single intranet gateway to the very latest HCMIP related documents, tools, and processes. The portal is organized around the specific *HCMIP Standards For Success* questions to facilitate the sharing of knowledge between the various communities of interest within HCMIP. For each question, users can:

Update the current status of their element's actives or review what other program elements are doing to address a specific question

Access the latest reference documents from OMB, OPM, and DOE HQ

Access the latest tools, processes, and training being employed by DOE program elements to address issues raised in the question, as well as a wide range of government and private sector internet resources

Ask an expert in DOE about the question's subject matter

Once everyone gets the feel for the portal, and we're successfully beyond the June interim report, we'll be adding an on-line collaborative forum where members can post questions and exchange information on best practices with fellow practitioners across the Department. We hope you find that this Portal helps advance your individual HCMIP efforts. **To login and begin your on-line reporting** on the status of your organization's Standards For Success, [click here](#). For instructions & guidance on how to complete the Standards For Success, [click here](#).

[HCMIP Home](#)
[Program Documents](#)

[Standards for
Success](#)

[Collaborative Forums](#)

[Program/Site HCMIP
Leads](#)

[Find an Expert](#)

[Training Resources](#)

[Upcoming Events](#)

[Related Links](#)

[Office of Human
Resources](#)

[Management](#)

[Office of
Management, Budget
and Evaluation](#)

[Energy.gov](#)

Human Capital Management Improvement Program (HCMIP)



25. Is there a direct line between employee performance expectations and recognition systems and the element's mission, and is that line communicated and understood?

Site: Management, Budget and Evaluation

Last Updated: Dec/03/2003 Status: Approved

Narrative: Yes, the Office of Management, Budget and Evaluation has processes in place to ensure a direct line between employee performance expectations/recognition systems and the organization's mission. Performance metrics linked to the organization's mission are included in all SES and non-SES manager's performance plans, and will be included in non-management performance plans in FY 2004, to link individual performance and accomplishments to the organization's mission responsibilities.

Question Specific:

[Guidance](#)

[Program](#)

[Documents](#)

[Tools & Processes](#)

[Training Resources](#)

[Ask An Expert](#)

[Related Links](#)

Print:

[Your Full Response](#)

[Responses of](#)

[HCMIP Program](#)

[Main Page](#)

[Collaborative Forum](#)

[Office of](#)

[Management, Budget](#)

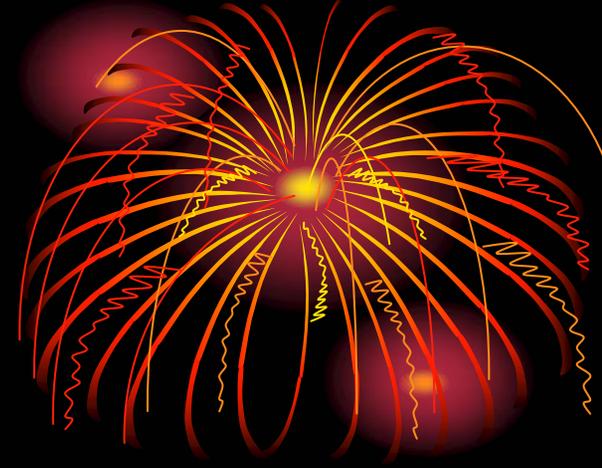
[and Evaluation](#)

Milestones

- November 2002: Deputy Secretary announced program
- January 2003: Standards for Success, supporting data, OPM Survey results, and reporting instructions posted
- October 2003: 1st annual reports
- February 2004: Consolidated statistical report



Milestones (cont.)



- May 2004: submitted "accountability" report to OPM as part of "green" process
- July 2004: DOE at "green" for HCM
- October 2004 and beyond:...

HCMIP Overview/Organizational Adherence to Performance Indicators



1. Does the element's strategic plan establish an element-wide vision that guides human capital planning and activities?

Suggested Performance Indicators

1. The element has designed human capital performance improvement goals that support mission accomplishment.
2. The strategic plan sets human capital progress milestones and identifies those responsible for meeting them.
3. Published and approved human capital planning documents describe human capital goals, objectives, investments, and strategies that are linked to the element strategic plan.
4. Element annual performance plan and budget request includes human capital activities and investments.
5. Annual performance review tracks human capital activities and investments.

Organizations Meeting Indicators

- EH, FE, IG, RW, ED, ME, NE, SC, BPA, SWPA, WAPA, ID, OR, RL, OH, NETL, SPRO, SR, EM, NA, RP, SO, EI
- EH, ME, IN, NE, SC, BPA, SEPA, WAPA, ID, OR, OH, NETL, SR, NA, SO, EI
- EE, IM, IG, ED, ME, NE, SC, BPA, WAPA, ID, OR, RL, OH, NETL, SPRO, SR, EM, NA, SO, EI
- EH, FE, PI, IG, ED, ME, IN, PA, SC, BPA, SEPA, SWPA, WAPA, ID, OR, RL, OH, NETL, SPRO, SR, NA, SO, EI
- EH, FE, IG, ED, ME, IN, PA, SC, BPA, WAPA, ID, OR, RL, OH, NETL, SR, EM, NA, HG, GC, SO, EI

#/%/Po

p

13,031

92%

10,709

76%

12,233

87%

12,342

87%

12,645

90%

HCMIP Overview/Organizational Adherence to Performance Indicators



25. Is there a direct line between employee performance expectations and recognition systems and the element's mission, and is that line communicated and understood?

Suggested Performance Indicators

1. All employee (non-supervisory, supervisors, managers, SES) performance plans are linked to the element strategic plan.
2. Work units have performance goals and standards.
3. Element tracks performance through regular reporting of outcomes and results.
6. Manager and leader training courses include performance management sections and coaching techniques.
7. Review of a sample of performance appraisals shows performance management is a part of supervisors' and managers' appraisal criteria.
8. GWS and/or other employee surveys reflect confidence that awards are based on contribution to mission accomplishment.

Organizations Meeting Indicators

Organizations Meeting Indicators	#/%/Po p
CI, EE, EH, PI, IM, IG, IN, NE, PA, SC, BPA, SEPA, WAPA, OR, RL, OH, NETL, SPRO, SR, EM, NA, GC	11,239 80%
EH, FE, IM, IG, ED, ME, NE, SC, BPA, ID, OR, OH, NETL, SR, NA, RP, SO, EI, HG	10,606 75%
EH, PI, IM, IG, RW, ED, ME, NE, SC, BPA, SWPA, WAPA, ID, OR, RL, OH, NETL, SPRO, SR, NA, SO, EI	11,837 84%
EH, IM, IG, ME, IN, SC, BPA, ID, OR, OH, NETL, SPRO, SR, NA, SO, EI, HG	9,672 69%
CI, EH, FE, IM, IG, ME, IN, NE, PA, SC, SWPA, ID, OR, RL, OH, NETL, SR, EM, SO, EI	6,065 43%
ME, PA, SC, BPA, OR, NETL, SPRO, SR	5,753 41%

Next: Short Term Steps

- Trim the portal tree
- Scrub Standards for Success
 - Allow for "staff" v. "program" responses
 - Allow for "leadership" v. "control"
- Roll-up responses into agency response



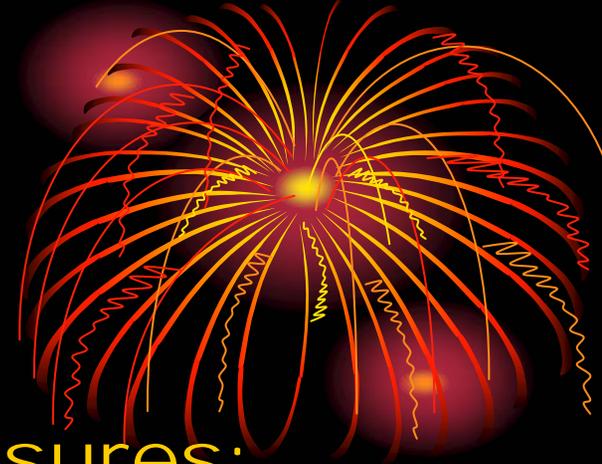
Next: Long Term Steps

1. Link "accountability" across initiatives and across programs:

- Common definition of "accountability"
- Template for measuring accountability.
- Cross-checking reporting on accountability.



Next: Long Term Steps



2. Continue to improve measures:

- Identify most useful measures/metrics.
- Validate content/consistency of measures/metrics.
- Compile/distribute master measure/metric list with users and uses included.

Next: Long Term Steps



3. Involve program managers in HCM:
 - “Plain English” HCMIP questions.
 - Most-used metrics.
 - Responses that illustrate inter-organizational improvement.
 - Linking HCMIP to other “accountability” systems.