

GENERAL SERVICES ADMINISTRATION
Washington, DC 20405

HRM 9250.1A
January 30, 2024

GSA ORDER

SUBJECT: GSA Human Capital Evaluation System (HCES)

1. Purpose.

The purpose of this Order is to establish an evaluation system for GSA's human capital policies, programs, practices and activities that:

- a. establishes requirements to ensure human capital activities complies with Federal civil service laws, regulations and agency policies and adhere to merit systems principles;
- b. ensures effective and efficient accomplishment of human capital goals aligns with GSA's Strategic Plan and Human Capital Operations Plan (HCOP);
- c. provides a path to measure performance and outcomes in each of the four human capital framework systems (strategic planning and alignment, talent management, performance culture, and evaluation); and
- d. defines roles and responsibilities for key personnel responsible for human capital accountability in support of GSA's mission accomplishment.

2. Background. Subpart B of Title 5 Code of Federal Regulations Part 250 (5 CFR 250) requires agencies to establish a human capital evaluation system to ensure that human capital programs and practices are effective, efficient and uphold merit system principles. It serves to promote results-driven performance, continuous improvement, and adherence to merit system principles and other personnel laws and regulations aligned with the agency's mission.

3. Scope and Applicability.

a. This policy applies to all GSA organizations and human capital management programs.

b. The Office of Inspector General (OIG) has independent personnel authority. The Inspector General Act of 1978, as amended, 5 U.S.C. App. 3, § 6(a)(7) (Inspector General is authorized to select, appoint, and employ such officers and employees as may be necessary for carrying out the functions, powers, and duties of the Office of the Inspector General); GSA Order, ADM 5450.39D CHGE 1, GSA Delegations of Authority Manual (Delegations Manual), Chapter 2, Part 1 (“the Inspector General has independent authority to formulate policies and make determinations concerning human capital issues within the [OIG];” determinations in the Delegations Manual do not limit that authority). Similarly, the agency recognizes that the Inspector General has independent authority to formulate policies and make determinations concerning training, employee development, and career management.

4. Cancellation. This Order cancels and supersedes HRM 9250.1

5. Revisions. The following revisions were made to this Order:

- a. Updated the Purpose section to add clarity and plain language
- b. Combined Scope and Applicability sections
- c. Updated the review cycle for the Order from two to annually in Chapter 1
- d. Updated the Authorities and References in Chapter 2.
- e. Moved Definitions from Appendix A to Chapter 3
- f. Updated the Roles and Responsibilities in Chapter 4 to remove redundancy and add clarity and plain language
- g. Updated the Evaluation System and Assessment Activities in Chapter 5 to remove redundancy and add clarity and plain language.
- h. Removed Appendix B (GSA Human Capital Evaluation Plan) and Appendix C (Human Capital Communication Plan) from the Order to allow both plans to be easily updated each year. Both plans will be posted on OHRM’s Accountability page on Insite.

6. Labor Organizations. Implementation of this Order as it affects employees represented by a labor organization is contingent upon meeting and completion of labor relations obligations.

7. Signature.

/S/ _____
JEFF LAU
Chief Human Capital Officer (Acting)
Office of Human Resources Management

GSA HUMAN CAPITAL EVALUATION SYSTEM

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CHAPTER 1: INTRODUCTION

1. This Order establishes the GSA Human Capital Evaluation System (HCES) to ensure the overall effectiveness of human resources management. The GSA evaluation system is used to monitor and evaluate outcomes of its human capital management strategies, policies, programs, and activities by (1) ensuring compliance with merit system principles and regulatory requirements and (2) identifying, implementing, and monitoring process improvements. The evaluation system includes:

a. A formal and written policy approved by the Office of Personnel Management (OPM);

b. Agency-wide leadership support, including adequate resources;

c. Communication and collaboration across the agency;

d. The use of data to drive decision making; and

e. Assessment of all [human capital framework](#) systems.

2. The HCES policy and practices are supported by the following guiding documents:

a. [GSA Strategic Plan](#);

b. [GSA Performance Plan and Report](#);

c. [GSA Human Capital Operating Plan \(HCOP\)](#); and

d. [GSA Workforce Action Plan](#).

3. This Order will be reviewed annually, or more often as needed.

CHAPTER 2: AUTHORITY AND REFERENCES

1. Executive Order 13197, Government-wide Accountability for Merit System Principles; Workforce Information;
2. Evidence-Based Policy Making Act of 2018;
3. Title 5 United States Code (U.S.C.) 305, Systematic Agency Review of Operations;
4. Government Performance and Results Modernization Act of 2010;
5. Office of Management and Budget Circular A-11 dated July 2010;
6. Title 5 Code of Federal Regulations (C.F.R.) Part 10.2, Agency Accountability Systems; OPM Authority to Review Personnel Management Programs (Rule X);
7. Title 5 C.F.R. Part 250, Personnel Management in Agencies;
8. The Chief Human Capital Officers (CHCO) Act of 2002 (part of Public Law 107-296, Homeland Security Act of 2002); and
9. The Interagency Delegated Examining Agreement between GSA and OPM.
10. Title 5 U.S.C. 2302, Prohibited Personnel Practices.

CHAPTER 3: DEFINITIONS

1. Data-Driven. Data used to connect human capital management practices to business outcomes and organizational goals to provide baseline information for comparing actual program results with established performance goals.
2. Effectiveness. The level of achievement of program goals and the results intended (as defined in strategic plans and in legislation).
3. Efficiency. The ratio of the outcome or output to the input of any program; the degree to which programs are executed or activities are implemented to achieve results while avoiding wasted resources, effort, time, and/or money.
4. Evaluation. A system that contributes to an agency's performance by monitoring and assessing outcomes of human capital management strategies, policies, programs and activities.
5. Evaluation System. An agency's overarching system for evaluating the results of all human capital planning and implementation of human capital strategies to inform the agency's continuous process improvement efforts. This system is also used for ensuring compliance with all applicable statutes, rules, regulations, and agency policies.
6. Federal Workforce Priorities Report. A strategic human capital report, published by OPM by the first Monday in February of any year in which the term of the President commences. The report communicates key Government-wide human capital priorities and suggested strategies.
7. Human Capital Management. Processes used to cultivate and manage the workforce must be integrated into agency planning and management processes, remain current with research and best practices, allow for proactive responses to anticipated environmental changes, and seek to continuously maximize the efficiency and effectiveness of human resources service delivery.
8. HRStat. A quarterly strategic human capital performance evaluation process that identifies, measures, and analyzes human capital data to inform the impact of an agency's human capital management on organizational results with the intent to improve human capital outcomes.

9. Human Capital Evaluation Framework. Includes three human capital evaluation mechanisms (HRStat, Independent Audit Program (IAP), and Human Capital Review (HCR) to create a central evaluation framework that integrates the outcomes from each to provide OPM and agencies with an understanding of how human capital policies and programs are supporting missions.
10. Human Capital Framework. Provides comprehensive guidance on the principles of strategic human capital management in the Federal Government. The framework provides direction on human capital planning, implementation, and evaluation in the Federal environment. The human capital framework is organized across four open systems: Strategic Planning and Alignment, Talent Management System, Performance Culture System, and Evaluation System.
11. Human Capital Operating Plan (HCOP). An agency's human capital implementation document, which describes how an agency will execute the human capital elements stated within its Agency Strategic Plan and Annual Performance Plan. Program specific workforce investments and strategies (e.g., hiring, closing skill gaps, etc.) should be incorporated into the Annual Performance Plans, as appropriate. The Human Capital Operating Plan should clearly execute each of the four systems of the human capital framework. The HCOP should align with the Government Performance and Results Modernization Act of 2010, Annual Performance Plans and timelines.
12. Human Capital Review (HCR). OPM's annual, evidence-based review of the agency's design and implementation of its HCOP, IAP, and HRStat programs to support mission accomplishment and human capital outcomes.
13. Independent Audit Program (IAP). A component of an agency's evaluation system designed to review all human capital management systems and select human resources transactions to ensure efficiency, effectiveness, and legal and regulatory compliance.

CHAPTER 4: ROLES AND RESPONSIBILITIES

All GSA employees play a role in ensuring the effective and efficient management of human capital in the best interest of the agency, the Federal Government, and the taxpayer. Effective implementation of GSA's HCES requires commitment from all levels of management. Outlined below are the roles and responsibilities of key personnel and organizations in the oversight, planning, conducting, reporting, and assessment of GSA's evaluation activities.

1. The Office of the Administrator.

- a. Approves [GSA's Annual Strategic Plan](#) and accompanying human capital strategies;
- b. Provides leadership and direction to implement the agency's goals and provides overall direction for transformational activities relating to human capital management;
- c. Ensures GSA incorporates applicable priorities identified in the [Federal Workforce Priorities Report](#) (FWPR);
- d. Establishes and communicates GSA's commitment to merit system principles and the HCES; and
- e. Holds senior leadership, managers, supervisors, and OHRM accountable for implementing a rigorous human capital accountability system demonstrating data-driven results, adherence to merit system principles and laws, and continuous improvement.

2. Chief Human Capital Officer (CHCO).

- a. Provides leadership and overall human capital guidance to ensure goals, strategies, performance indicators and priorities are aligned with the GSA Strategic Plan, HCOP, OPM's Human Capital Framework and merit systems principles.
- b. Ensures that executive leaders are knowledgeable of all elements of the system and communicates evaluation system results to senior leadership;
- c. Communicates evaluation findings from evaluation reviews with senior leadership, including recommendations to strengthen and improve human capital activities;

- d. Implements the HRStat maturity guidelines specified by OPM;
 - e. Maintains an Independent Audit Program (IAP) that is adequately resourced (people, time, funds, materials) to review all human capital management systems and human resources transactions to ensure legal and regulatory compliance; and
 - f. Communicates key human capital priorities and strategies described in the FWPR to management officials and aligns priorities identified in the HCOP.
3. Performance Improvement Officer (PIO).
- a. Participates in HCES activities and assesses GSA's progress towards meeting its strategic and performance goals; and
 - b. Conducts quarterly performance reviews to assess progress towards meeting the organizational goals and working across GSA to identify and manage enterprise risks.
4. Heads of Service and Staff Offices (HSSOs). Managers and Supervisors.
- a. Manages human capital activities within respective organizations and ensures alignment with the agency's strategic plans;
 - b. Collaborates with OHRM on human capital activities and ensures alignment with the agency's strategic plans, human resources policies, procedures, and practices.
 - c. Communicates the agency's commitment to the merit system principles and prevents prohibited personnel practices.
5. OHRM Accountability Director.
- a. Provides leadership, oversight guidance, coordination, and technical expertise in all HCES activities as identified in 5 CFR 250 Subpart B (Strategic Human Capital Management);
 - b. Evaluates, monitors and reports on the alignment, effectiveness, efficiency, and compliance of human capital management within GSA;

- c. Plans and coordinates periodic formal evaluations and program assessments of human capital activities, policies, practices, and procedures; and ensures evaluation documents, evaluation findings and corrective actions are completed timely;
- d. Shares lessons learned, best practices, and emerging approaches across GSA;
- e. Oversees the systematic review of human capital data to assess consistency of actions and determines the impact of OHRM policies;
- f. Ensures the three human capital evaluation mechanisms (HRStat, IAP and HCRs) are integrated throughout GSA;
- g. Coordinates, develops, and implements the annual schedule of evaluation activities with applicable parties;
- h. Monitors required and recommended actions identified through evaluations and program assessments to ensure continuous improvement; and
- i. Prepares reports for the CHCO, Administrator, executive leaders, and OPM on evaluation activities, findings, and corrective actions taken.

6. The Office of Human Capital Strategy Director.

- a. Ensures human capital strategies and priorities are aligned with the agency's Strategic Plan and programs are adequately resourced.
- b. Coordinates with the Accountability Director to determine the targeted areas of evaluation each fiscal year;
- c. Conducts quarterly HRStat reviews to identify, measure, and analyze agency human capital data information in support of GSA's mission and performance goals;
- d. Submits all program review reports to include responses and closeout documentation to the Accountability Director for agency submission to OPM.

7. Analytics and Strategy Division Director.

- a. Leads the development, management and reporting of the agency annual Human Capital Operating Plan (HCOP) and OHRM strategic roadmap;

b. Provides human capital analytics and reporting to inform agency human capital decision making;

c. Provides strategic communications in support of a GSA mission ready workforce; and supports development and implementation of the OHRM workforce action plan.

8. OHRM Program Managers.

a. Conducts independent, data-driven evaluations of assigned programs;

b. Ensures programs are in compliance with merit system principles, laws, rules, regulations, and policies to improve program effectiveness and efficiencies related to the agency's mission and goals;

c. Ensures assigned policy and program information is promulgated across GSA to ensure a full understanding of program and policy requirements; and

d. Monitors and follows up on activities required to correct any violations and provides official closeout once all corrective actions are taken.

9. Human Resources Services Director.

a. Supports the implementation of strategic human capital management programs GSA-wide, in accordance with merit system principles, laws, rules, regulations, and policies;

b. Establishes appropriate internal control measures to ensure programs comply with relevant guidance; and

c. Ensures corrective action is promptly taken to correct deficiencies identified through internal assessments as well as those conducted by the Human Capital Accountability Division, program managers, OPM, or other oversight entities.

10. Human Resources Center Directors.

a. Advises and provides support to GSA leadership in implementing human capital management programs in accordance with merit system principles, laws, rules, regulations, and policies;

b. Supports accountability programs and activities by assigning staff to lead and/or participate in accountability reviews and addressing and resolving audit findings.

c. Conducts recurring internal self-assessments for human resources functional areas (i.e. personnel processing, records management, disciplinary actions, performance appraisals, awards, classification, onboarding, offboarding, retirement, benefits, etc.)

11. Human Resources Specialists.

a. Supports strategic human capital goals by informing, advising, and assisting managers in attracting, hiring, developing, engaging, and retaining the workforce with the competencies necessary to achieve organizational goals and objectives with an eye toward the future, considering factors such as agency priorities, workforce characteristics, and labor market trends; and

b. Upholds merit system principles, laws, rules, regulations, and policies; facilitates human capital initiatives and seeks continuous improvement in human capital programs.

c. Supports human capital accountability activities, including participating on review teams and focus groups, and providing documentation and reports.

CHAPTER 4: EVALUATION SYSTEM AND ASSESSMENT ACTIVITIES

The GSA Human Capital Evaluation System consists of three parts - Independent Audit Program (IAP), HRStat, and the Human Capital Review (HCR). Each part is described below:

1. [GSA's Human Capital Evaluation Plan](#) documents the approach in evaluating and assessing the agency's human capital programs. The plan describes how GSA will ensure the overall effectiveness of strategic human capital management for the agency through program monitoring, evaluation, and continuous improvement, consistent with the human capital framework and OPM's prescribed Evaluation System Standards.
2. [HRStat](#). HRStat is designed to identify and improve human capital outcomes using the following data driven reviews:
 - a. [The OHRM Strategic Assessment](#). The Strategic Assessment findings will be shared with OHRM leadership each year at the strategy development session. The findings will be used to develop GSA's Human Capital Operating Plan (HCOP) for the upcoming fiscal year. The HCOP is directly aligned with GSA's Strategic Plan and identifies strategies, metrics, and targets to address enterprise-wide human capital needs and challenges. The metrics will be tracked and reported through HRStat quarterly reviews. The HCOP is reviewed, approved, and shared throughout GSA annually and updated as needed.
 - b. [The OHRM Quarterly Human Resources Performance Review \(Human Resources Quarterly\)](#). The Deputy CHCO will hold quarterly human resources meetings to address human capital maturity progress and mitigate human capital risks. Each HR Division will provide a quarterly update of division-level key performance indicators, activities, and milestones that support the GSA HCOP, the OHRM strategy, and CHCO Performance Plan priorities. HR leaders will use this meeting to monitor the progress of established goals and review quantitative and qualitative performance results to develop mitigation strategies for potential risks.
 - c. [GSA Quarterly Performance Reviews](#). The Deputy Administrator, PIO, HSSOs and SSO will meet quarterly to review and monitor strategic goals, performance strategies and results (including HCOP metrics). In addition, this meeting will be used to address and resolve performance barriers.

d. OHRM Risk Register. Includes risk statements, likelihood and impact scores, and recommended mitigation strategies. Risks are identified through resource and portfolio management activities and also include other enterprise risks identified by OHRM leadership or through other high-visibility projects.

3. Human Capital Review (HCR). HCRs assess how well agencies are using data from the HCOP, HRStat, and IAP to support mission accomplishment and achieve human capital outcomes. Meetings are held annually between GSA officials and OPM. Results of the meeting will be used within GSA to provide input to the FWPR. The system improves strategic human capital management by using performance goals, indicators, and business analytics and ensures strategies are planned and implemented. These components will:

a. Measure and assess human capital management systems for mission alignment, effectiveness, efficiency, organizational performance, and compliance with merit system principles, laws, rules, and regulations;

b. Provide an independent audit process that reviews human resources transactions to ensure legal and regulatory compliance;

c. Monitor human capital program strengths, weaknesses, and corrective action plans.

CHAPTER 5: COMMUNICATIONS PLAN

Each fiscal year, in partnership with the Office of Strategic Communication, OHRM will develop a communications strategy using the Human Capital Communication that aligns to its annual strategic goals and priorities. This plan will target key GSA stakeholder groups to ensure GSA employees understand the agency's evaluation system and supporting activities.

OHRM will lead a robust strategic planning cycle that informs the development of the annual HCOP, monitors and tracks performance, and reports quarterly performance results to GSA Leadership.

Throughout each fiscal year, OHRM will leverage numerous feedback mechanisms, including surveys and customer meetings, to collect customer feedback and make improvements.