

HUMAN CAPITAL LINE OF BUSINESS INTEGRATION AND MANAGEMENT

I. Purpose

This Directive is the principal document for leading, governing, integrating, and managing all civilian human capital (HC) and human resources (HR) programs, policies, and practices throughout the Department of Homeland Security (DHS or Department). This Directive reads together with DHS Delegation 03000, Delegation for Human Capital and Human Resources.

II. Scope

- A. This Directive applies to all civilian HR programs, policies, and practices throughout the Department, except those specifically authorized or delegated to Component Heads or other DHS officials by law, regulation, or DHS Delegations.
- B. DHS Management Directive 0006, Human Capital Line of Business Integration and Management, is hereby cancelled.

III. Authorities

- A. Title 5, United States Code (U.S.C.), Chapter 14, "Agency Chief Human Capital Officers"
- B. Title 5, Code of Federal Regulations (CFR), Chapter I, "Office of Personnel Management"
- C. DHS Delegation 00002, "Delegation to the Under Secretary for Management"
- D. DHS Delegation 03000, "Delegation for Human Capital and Human Resources"

IV. Responsibilities

- A. **DHS Chief Human Capital Officer (CHCO):**
 - 1. Oversees and directs the Department's civilian HR program for all civilian HR and HC program management matters.
 - 2. Advises and assists the Secretary and other DHS officials in selecting, developing, training, and managing a high-quality, productive workforce in accordance with Merit System Principles (5 U.S.C. § 2301) and implements applicable laws and regulations governing the civil service.

3. Performs the functions of the Department's CHCO as identified in 5 U.S.C. § 1402.
4. Exercises and fulfills the authorities and responsibilities delegated by the Under Secretary for Management (U/S MGMT) through DHS Delegation 03000.
5. Provides oversight, direction, and guidance to DHS Components regarding the line of business (LOB) functional area of HR; establishes unified policies and business processes to yield greater efficiencies; promotes shared or centralized services and standards; and promotes, supports and facilitates integration of the HR functions through the consolidation of programs, policies, and automated systems across the Department, where appropriate and feasible (e.g., the Department's Enterprise Architecture and Data Management programs).
6. Chairs the Human Capital Leadership Council (HCLC) and promotes information sharing, unification, and consistency of program operations through consultation with the HCLC and various sub-councils.
7. Develops, in consultation with Component HR Directors, the DHS Workforce Strategy ("Human Capital Strategic Plan"), and HR legislative and regulatory initiatives. Provides input on Components' workforce strategy plans and monitors progress of outcomes.
8. Re-delegates, in writing, certain HR authorities to Executive Directors/Directors or other subordinate officials within the DHS Office of the Chief Human Capital Officer (OCHCO), consistent with DHS Delegation 03000.
9. Oversees the OCHCO office responsible for delivering HR operational services to DHS Headquarters offices. Oversees the OCHCO offices responsible for providing guidance and assistance to Components on DHS senior level and executive positions.
10. Takes action, on behalf of the Department, on requests for approval of special hiring, pay, and other HR authorities and benefits, where approval authority resides with the DHS CHCO, U/S MGMT, the Secretary, and/or the U.S. Office of Personnel Management. Components send requests for approval of special HR authorities and benefits to the DHS CHCO.
11. In collaboration with the relevant Component Head, and except as otherwise provided by law, the CHCO retains approval authority over DHS-wide hiring of Component Senior HR Directors and other positions within the HC line of business above GS-15 or equivalent, or as set forth in implementing instructions. The CHCO participates in the hiring and selection processes, and retains approval authority for written performance objectives and annual performance evaluations.
 - a. For hiring and selection activities, Components:

- i. Submit the qualification standards, including knowledge, skills, and abilities or competencies needed for senior positions, to the CHCO for review and approval;
 - ii. Invite the CHCO or their designee to participate in the interview process of the best qualified list of candidates; and
 - iii. Secure CHCO approval prior to extending a job offer.
- b. For performance evaluations, Components:
 - i. Submit for consideration and input proposed performance objectives/standards and performance plans for senior positions prior to finalization with the affected employee;
 - ii. Secure CHCO approval with proposed performance evaluations/appraisals, bonus or award recommendations, pay adjustments, and/or other forms of commendation prior to final issuance; and
 - iii. Confer with the CHCO to resolve any substantive performance issues.

12. In situations where the law does not authorize the DHS CHCO to participate in the hiring, selection, and performance evaluation/appraisal processes for Component senior HR Directors, where permissible, the Component Head requests that the CHCO (or his or her representative) provide recommendations on the qualification standards and knowledge, skills, and abilities or competencies needed for the position; interview process; final selection of individuals; and the performance plans, appraisals, pay adjustments, and bonus or award recommendations for Component senior HR Directors.

13. Exercises discretion to take other personnel actions delegated to Component Heads, consistent with DHS Delegation 03000, as appropriate.

B. Component Heads:

- 1. Oversee and direct their respective Component civilian HR programs and procedures.
- 2. Exercise and fulfill the authorities and responsibilities delegated to them by the U/S MGMT through DHS Delegation 03000.
- 3. Support integration of the DHS HR functions by participation in shared services and cooperation with Departmental efforts to consolidate and unify HR policies, programs and automated systems among the Components.
- 4. Collaborate with the DHS CHCO (or his or her representative) in the hiring, qualifications, and performance evaluation processes for Component senior HR Director positions (above GS-15, or equivalent), consistent with DHS

Delegation 03000 and paragraphs IV.A.11 and IV.A.12.

C. **Executive Director, Headquarters Human Resources Management and Services (HRMS)** assumes the responsibilities listed under the Component Heads section for all support Components with the exception of the National Protection and Programs Directorate (NPPD), Office of Inspector General (OIG), and Federal Law Enforcement Training Center (FLETC). The HRMS Executive Director does not assume responsibilities listed under the Component Heads section for DHS HQ senior executive and senior level positions. This remains with the DHS CHCO.

D. **Heads of NPPD, OIG, and FLETC** assume the responsibilities listed under the Component Heads section for their respective support Component.

E. **Component Senior Human Resources Directors:**

1. Lead and provide delivery of services to their employee populations by implementing and administering HC and HR programs and policies within their Components.
2. Actively participate in the HCLC and various sub-councils established by the DHS CHCO for purposes of developing and administering the Department's Workforce Strategy ("Human Capital Strategic Plan") and HR program initiatives, and develop the Component's Human Capital Strategic Plan to align with the Department's plan, taking into account the unique workforce issues of the Component.
3. Support integration of the DHS HR function through cooperative activity with the DHS CHCO and other Component senior HR Directors by seeking and participating in opportunities to consolidate operations and share resources, where appropriate and feasible.
4. Collaborate with the DHS CHCO (or his or her representative) and the Component Head in the hiring, qualifications, and performance evaluation processes for positions within the HC line of business above GS-15 or equivalent other than their own, consistent with DHS Delegation 03000 and paragraphs IV.A.11 and IV.A.12.

F. **Human Capital Leadership Council (HCLC)** develops HC program management strategies to ensure that DHS attracts, retains, and develops the skilled workforce needed to protect and secure the Nation. The HCLC also establishes and administers the DHS Workforce Strategy ("Strategic Human Capital Plan") and other HC initiatives that link to and support the DHS mission, vision, core values, goals, and objectives. The HCLC and sub-councils consist of Component representatives in particular communities of practice that meet to conduct agency-wide program planning and to exchange professional views and expertise.

V. Policies and Requirements

A. It is the policy of the Department to create and operate civilian HR programs, policies, and processes that support the mission of the agency and its constituent

Components; establish a workforce strategy that facilitates continuous learning and employee development and professional growth, and sound succession planning; continuously assess and improve operational effectiveness; consolidate operations wherever practical and feasible to achieve economy and efficiency; attract, develop, and retain high quality employees; and promote employee satisfaction and engagement.

B. The DHS CHCO reviews the views and interests of Departmental senior officials in his or her role as the Department's principal HC official authorized to oversee, lead, and direct civilian HR functions and to represent the DHS HC community concerning HR policy issues.

C. The DHS CHCO collaborates with Component Heads and Component senior HR Directors on any Component reorganization or restructuring plans that result in HR functional realignments outside of the HC LOB (e.g., increasing fragmentation and duplication of HR functions) and any action that would reduce stature or level within the HC LOB (e.g., bypassing or disregarding the HC/HR function/office). The DHS CHCO must concur with such plans.

VI. Questions

Address any questions or concerns regarding this Directive to the Office of the Chief Human Capital Officer.



Rafael Borrás
Under Secretary for Management

2/6/14

Date