USAID
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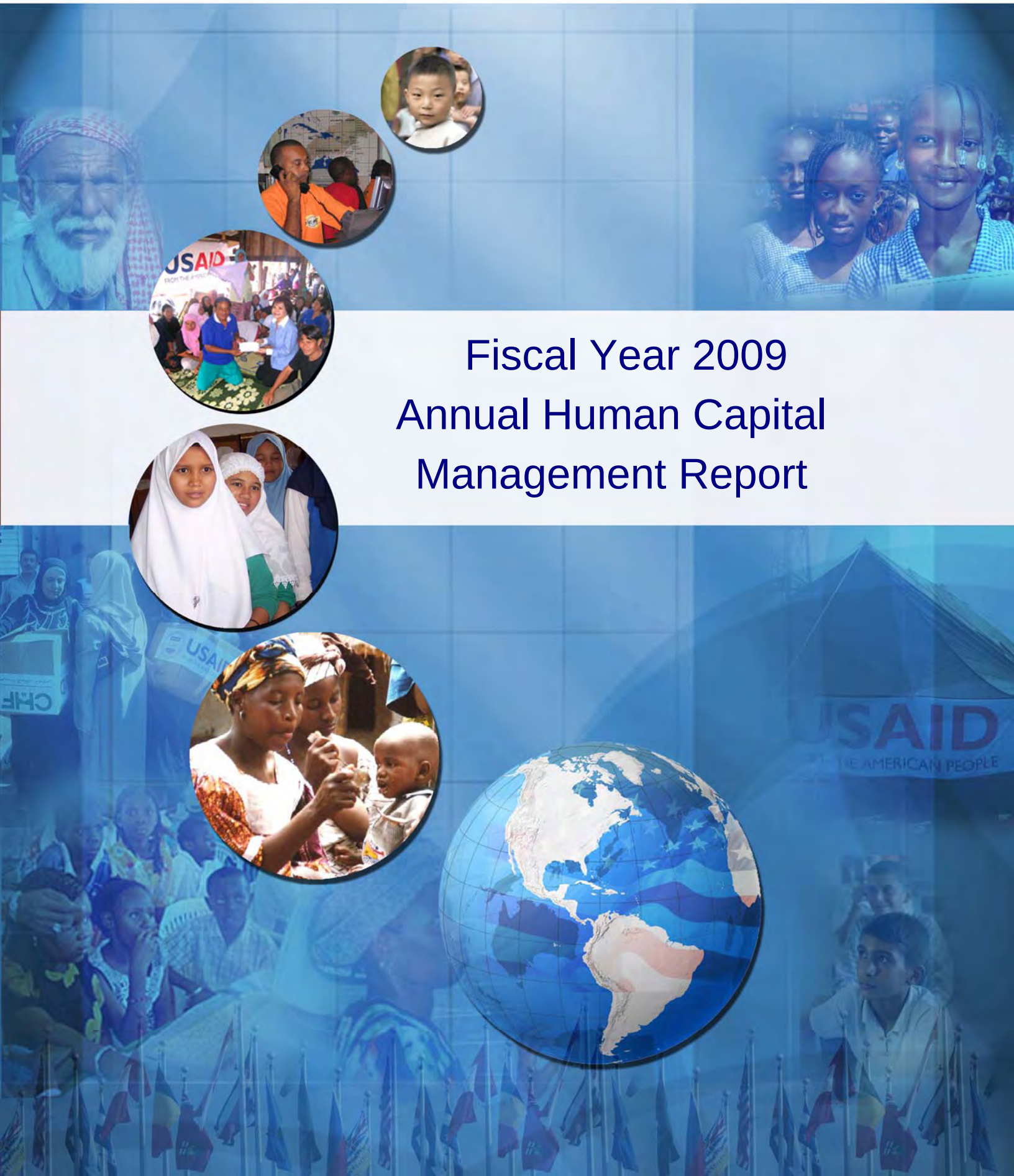

Fiscal Year 2009 Annual Human Capital Management Report

I. Identifying Information

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FY: 2009

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Date: 15 December 2009

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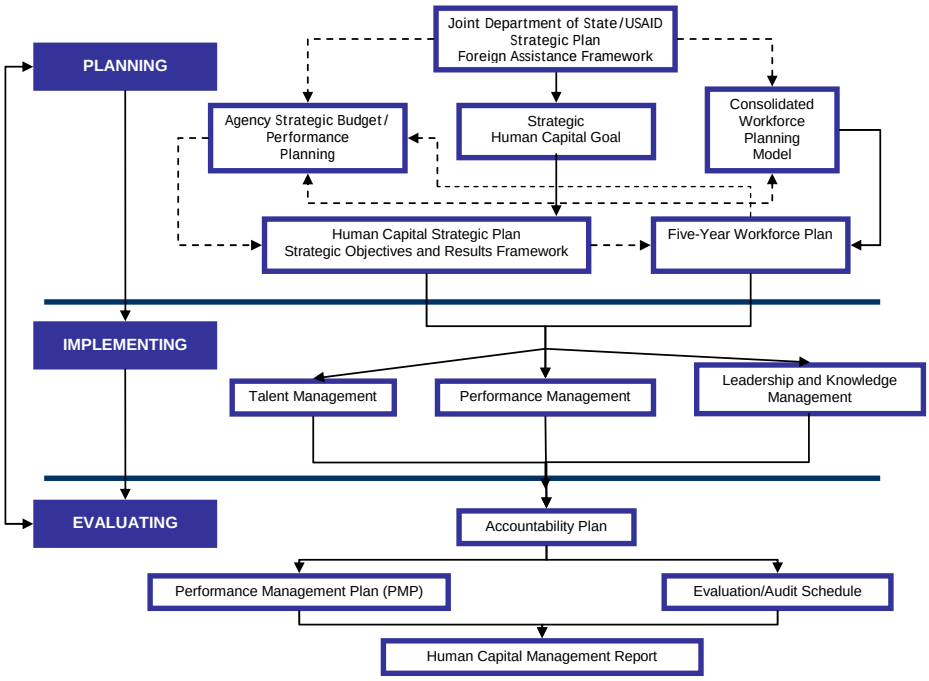
II. Executive Summary

USAID works in partnership with more than 80 host countries to advance human development, freedom, and prosperity. According to the USAID mission statement, the Agency "accelerates human progress in developing countries by reducing poverty, advancing democracy, building market economies, promoting security, responding to crises, and improving the quality of life. Working with governments, institutions, and civil society, USAID assists individuals to build their own futures by mobilizing the full range of America's public and private resources through our expert presence overseas." To accelerate the advancement and development of host countries throughout the world, USAID is currently rebuilding itself to become a more agile, focused, flexible, and accountable organization.

Integrated Planning

Getting the right people in the right place, doing the right work, with the right skills, at the right time to pursue U.S. national interests abroad drives Human Capital Management, including strategic budget/performance planning, workforce planning, talent management, leadership succession planning, knowledge management, employee performance management, and accountability. The figure below depicts how these elements relate to each other.

Figure 1-1: USAID Human Capital Lifecycle



Note that the Joint Strategic Plan provides the energy and direction for all USAID Human Capital efforts. It shapes the goals and ultimately the direction of the organization. During FY 2009, USAID created the first Five-Year Workforce Plan and put in place a policy to prepare and update it annually

as well as include the *Leadership Succession Plan.* Updates to the Consolidated Workforce Planning Model and the Workforce Plan are discussed in more depth in the Workforce Planning section of this report. In addition to updating the FY 2010 Performance Management Plan at regular intervals, USAID will enhance the Plan based on a benchmarking exercise in order to improve the utility of current metrics and add metrics where needed. USAID will use this exercise to ensure that it remains on the cutting-edge of Human Capital performance management planning. Taken together, these human capital efforts will enable the Agency to achieve its mission and vision.

HCMR Organizing Principles

The Human Capital Management Report (HCMR) is a vehicle for presenting the results of a systematic assessment and analysis of accomplishments against objectives established in the Agency's Human Capital Strategic Plan and for validating and/or adjusting future goals where needed to meet emerging challenges. The HCMR is organized by the Strategic Objectives (SOs) from the USAID Human Capital Strategic Plan (HCSP), FY 2009 – FY 2013.

The SOs map to OPM's Human Capital (HC) lifecycle and the Human Capital Assessment and Accountability Framework (HCAAF) systems as demonstrated in Table 0-1 and Figure 0-1. The OPM HC lifecycle consists of three phases: planning, implementation, and evaluation.

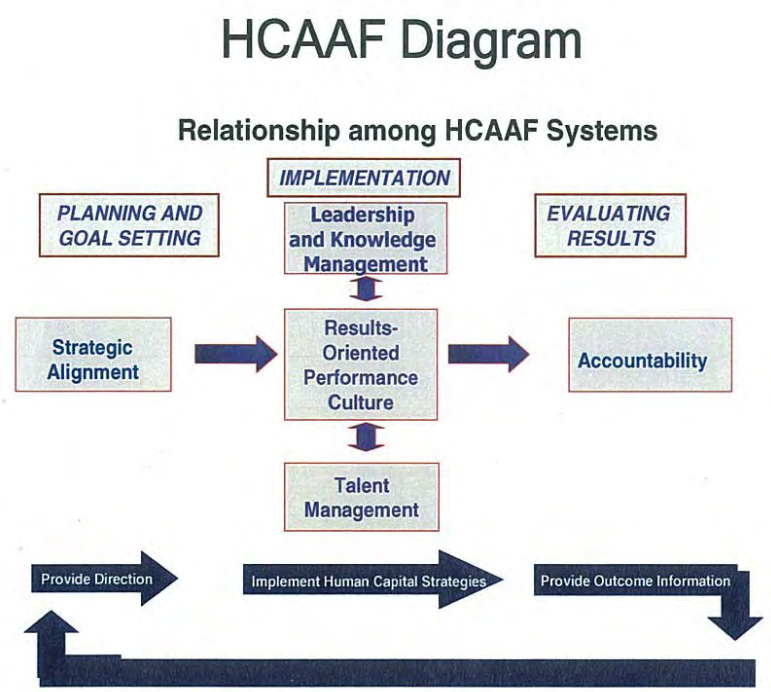
The table below further clarifies the relationship and illustrates the alignment between the HC lifecycle and the FY 2009 – FY 2013 HCSP SOs. The table also includes definitions of each SO.

Table 0-1: Crosswalk of the OPM HC Lifecycle to the FY 2009 - FY 2013 HCSP SOs

HC Lifecycle Phase	FY 2009 – FY 2013 HCSP Strategic Objective	Strategic Objective Definition
Planning	SO 1: Strategically align staff with Agency priorities	Align workforce size, competencies, and talent pipeline with evolving USAID mission
Implementation	SO 2: Increase staff mobility and readiness to meet emerging priorities	Hire and train highly qualified Foreign Service (FS) and Civil Service (CS) personnel and ensure they can be easily deployed to provide support quickly in areas of highest need
	SO 3: Ensure a diverse workforce and a culture of inclusiveness	Sustain a diverse workforce and culture of inclusiveness by monitoring and continually strengthening diversity-enhancing policies and programs; focusing on diversity beyond compliance; and looking at the subject through leadership, retention, recruitment, as well as tools that help promote its goals
	SO 4: Ensure employee high performance through continual development and performance management	Improve training, skills development, and career development programs; and bolster high-performance incentives
Evaluating Results	SO 5: Provide first rate HR services and tools to support USAID's mission and increase efficiencies	Increase HR capacity through hiring, planning, and enhancing use of technology

The figure below shows the relationship between the OPM HC lifecycle and the HCAAF systems.

Figure 0-1: HCAAF Diagram Crosswalking OPM HC Lifecycle and the HCAAF Systems



SO 1: STRATEGICALLY ALIGN STAFF WITH AGENCY PRIORITIES

During FY 2009, USAID developed and began the implementation of numerous initiatives to enhance alignment of human capital management strategies with the organization's mission, goals, and objectives. These key initiatives support Agency efforts to meet the emerging challenges of the 21st century.

In FY 2009, USAID made significant refinements to the Consolidated Workforce Planning Model (the Model), a dynamic tool that allows USAID to predict future staffing needs for overseas Missions, as well as headquarters in Washington, D.C. Changes included the design and development of a beta online tool that generates suggested workforce composition charts for each mission and several report-generating mechanisms. By moving the Model onto the web, senior management eventually will have immediate access to the tool's results and HR will have the ability to run scenarios and have them available online for those who need them. Additionally, the Agency completed detailed revisions to headquarters workload drivers, including more specific drivers based on input from HQ subject matter experts, workload survey data, and internal and external benchmarking data. Furthermore, the Model now incorporates more consistent ratios and requirements for base staffing and also incorporates specific workload drivers for core technical functions.

During FY 2009, USAID also began a large competency management project to ensure that staff capabilities align with strategic goals. While numerous training and development opportunities were in existence at USAID, employees and managers were not confident that selected training matched the

development needs of individual employees. To align organizational requirements with staff capabilities, the competency management module in USAID's Learning Management System (LMS) will support supervisors and employees to select appropriate training to develop key Institutional (core, cross-cutting) and occupational (technical, functional) competencies. At the conclusion of FY 2009, the Agency had developed competencies for all Foreign Service (FS) backstops and several Civil Service (CS) occupations (those that had a matching FS backstop), and is poised to finish Civil Service competency development work in FY 2010. Competency development work for both the Foreign Service and the Civil Service are each a full year ahead of schedule.

SO 2: INCREASE STAFF MOBILITY AND READINESS TO RAPIDLY MEET EMERGING PRIORITIES

In an effort to double the size of the Foreign Service by 2012, USAID commenced the Development Leadership Initiative (DLI) in FY 2008. By the end of FY 2009, USAID had made substantial progress and hired 337 new Foreign Services Officers with diverse representation and is currently on target to meet its 2012 goal. To ensure that a quality hiring effort is maintained, USAID evaluated the results to date and made changes to the DLI selection process to improve overall results. Some key changes included a reduction in the amount of time to notify applicants and schedule interviews, and others include amending written and oral assessments.

With regard to the Civil Service, USAID made major improvements to its hiring process in late FY 2009. Following OPM requirements for the End-to-End (E2E) Hiring Initiative, HR revised its hiring model and developed a hiring map that resulted in an E2E time to hire totaling 80 calendar days (a significant reduction from the previous 165 calendar days). Other improvements to the hiring process included streamlining vacancy announcements, improving communication with applicants, and intra-Agency collaboration to solve hiring bottle necks.

The use of retention and work attractors helped to reinforce hiring practices at USAID. When appropriate, USAID used the "three Rs:" recruitment, relocation, and retention bonuses. These bonuses, along with the Tuition Assistance Program (TAP) were designed to encourage current employees to continue the development of knowledge, skills, and abilities, not only help to attract new hires, but retain current USAID employees, especially those in mission critical occupations.

USAID, like most other Federal agencies, is facing a situation in which many of its senior leaders are eligible to retire or will be eligible within a few years. To remain prepared, USAID annually updates its Leadership Succession Management Plan. In FY 2009, USAID developed a new Knowledge Management Strategic Framework that will ensure knowledge is generated, captured, shared, and applied. This framework not only ensures that retirement eligible leaders are teaching, coaching, and mentoring, but that all workforce members are acquiring new knowledge. It also put in place a BTEC Subcommittee for Knowledge Management that meets monthly to oversee processes and help set priorities.

SO 3: ENSURE A DIVERSE WORKFORCE AND A CULTURE OF INCLUSIVENESS

USAID adopts a broad vision of diversity that extends beyond compliance and embraces two proactive goals. The first goal is to build and retain a workforce that reflects the diversity of America. The second goal is to foster an inclusive work culture where every employee is valued, respected, and has the opportunity to reach his or her highest potential.

The Agency and the Executive Diversity Council made significant strides in advancing organizational diversity and a culture of inclusiveness in FY 2009. In outreach, USAID focused significant recruitment efforts towards diversity and targeted its advertisements in outlets with diverse audiences including veterans. The Agency also successfully implemented a centralized intern program that, in part, recruited students through its partnerships with Hispanic Colleges and Universities, Washington Internships for Native Students, Historically Black Colleges and Universities, and Gallaudet University.

Additionally, the Council identified 16 action items for FY 2009 and accomplished 14. Actions included but were not limited to: designating senior leaders as advisors to affinity groups; developing, administering, and analyzing the 2009 diversity and inclusiveness survey; and developing a list of training opportunities for employees. The results of the Council were apparent in the 2008 Federal Human Capital Survey (FHCS) in which the Agency ranked 2nd, 4th, and 6th among 43 Federal agencies on questions pertaining to diversity and inclusion.

SO 4: ENSURE EMPLOYEE HIGH PERFORMANCE THROUGH CONTINUAL DEVELOPMENT AND PERFORMANCE MANAGEMENT

During FY 2009, USAID focused on transforming the Agency into a learning organization through the creation of its first ever Corporate Training Strategy, the enhanced role of the Training Quality Assurance Council (TQAC), and developed of a Senior Executive Service (SES) Candidate Development Program (CDP). The Corporate Training Strategy is a roadmap for re-engineering the Agency's overall approach to training and career/professional development; it is both a systemic and systematic way to identify training priorities within the Agency. The Corporate Training Strategy is supplemented by TQAC, a group of senior leaders who identify training needs and leverage new and existing opportunities to maximize training efficiencies in cost and applicability. Another new initiative is the development of the SES CDP, designed to prepare Civil Service for positions in the SES. The SES CDP uses a best-practice combination of interAgency training experience, rotational assignments, and other learning experiences. USAID will submit the program to OPM for approval in the first quarter FY 2010.

USAID also continued to revise and improve its already strong performance planning process. 2008 FHCS data (received in FY 2009) indicated that more than 70 percent of employees agree that performance appraisals are a fair reflection of their performance. Significant accomplishments were achieved by the Civil Service, Foreign Service, and SES in FY 2009. Of particular note, the Foreign Service developed a 25-minute DVD tutorial and panel discussion featuring the Foreign Service Performance Board members discussing how to fairly assess employee contributions. To reinforce USAID's performance management program, the Agency continued to offer incentives to high-performers with the creation of the Granville-Rahama Award for good staff care practices, the increased participation in internal and external award programs (e.g., one USAID employee won a 2009 Service to America Medal sponsored by the Partnership for Public Service), and the annual Performance Base Cash Bonus program for Foreign Service and Civil Service employees.

SO 5: PROVIDE FIRST RATE HR SERVICES AND TOOLS TO SUPPORT USAID'S MISSION AND INCREASE EFFICIENCIES

USAID's Office of Human Resources (HR) increased its capacity by acquiring new direct hires and contractors, and actively carried out its increasing role as a strategic partner while balancing its operational role. In FY 2009, HR spearheaded a number of major initiatives including the Corporate Training Strategy, hiring under the DLI, the E2E Hiring initiative, workforce planning improvements, and competency management development. In addition, HR co-chairs an Agency Staff Care Working Group, which will support the physical safety and psychological well-being of employees in the workplace in order to enhance job satisfaction, commitment, and productivity. The group is working to improve work/life balance and reduce employee/labor relation issues, and strengthen the Agency's relationship with the Department of State's Employee Consultation Service (ECS) to promote such programs as the Employee Assistance Program.

HR increased its support and ability to provide first rate HR services with the modernization of business processes. Since the Learning Management System (LMS) was first introduced to USAID in FY 2007, the LMS has been continuously updated and additional functionality has been rolled out. In FY 2009, USAID formalized the use of the 360 feedback tool in the Senior Management assignment process and created new competency dictionaries. Additional IT improvements included new components of OPM's e-OFP project, the implementation of WebTA for Civil Service, Foreign Service and USPSCs; and additional training on Agency-wide technology systems.

III. Goals, Actions, Results, Accountability, and Adjustments

Rebuilding USAID

USAID is committed to "getting the right people in the right place, doing the right work, with the right skills, at the right time to pursue U.S. national interests abroad." To achieve this vision, USAID is continually enhancing and strengthening its human capital efforts and integrating the U.S. Government's Human Capital Assessment and Accountability Framework (HCAAF) on all fronts, including workforce planning, talent management, learning and knowledge management, succession planning, and accountability.

More than a decade of downsizing and a failure to replace employees has created a gap in the Agency's workforce. While staff levels were steadily decreasing, USAID's mission was changing and expanding to meet the challenges of the 21st century. These new roles and responsibilities have challenged USAID's small staff and required the Agency to constantly adapt its business practices.

Rebuilding USAID demands highly qualified HR staff, high levels of planning, and intra-Agency (and inter-Agency with the U.S. Department of State and the Department of Defense) collaboration to create an agile, flexible, focused, and more accountable organization. To bolster USAID's status as a high performing, results-oriented organization, the Agency focused on acquiring an expanded workforce with 21st century skill sets, developing/investing in current talent, and retaining the current and future workforce. To achieve these goals, USAID embarked on four large, cross-cutting Agency initiatives, including the Development Leadership Initiative (DLI), the Corporate Training Strategy, the competency development initiative, and the Consolidated Workforce Planning Model (the Model) enhancements.

By the end of FY 2009, the Agency had hired 337 new Foreign Service Officers under the DLI initiative. This directly aligns with the goal of rebuilding USAID by significantly increasing the Foreign Service's presence overseas, and creating a strong cadre of professionals to meet future development challenges. USAID is proud that the DLI enabled the hiring of strong candidates through a highly competitive application process where more hires are coming into the Agency speaking several languages and possessing significant overseas experience. The DLI is a priority for USAID and is discussed in greater depth in SO2: Increase Staff Mobility and Readiness to Rapidly Meet Emerging Priorities.

To more clearly articulate its staffing needs (demands), USAID developed, and continues to refine, the Consolidate Workforce Planning Model (the Model) which projects staffing needs by number, type (FS, CS, Foreign Service Nationals – FSNs – and others), location, and backstop (family of occupations and competencies). During FY 2009, USAID improved the Model particularly with regard to Washington staffing. The Model allows management to run scenarios that provide reasonable staffing projections based on sets of assumptions such as funding, sectoral area, etc. The Model accommodates strategic direction shifts and thus provides analysis in support of efforts to double the Foreign Service and

modestly increase the Civil Service to meet the Agency's program implementation and oversight responsibilities.

USAID needs to develop large numbers of new Foreign Service Officers, increase training and development of the Foreign and Civil Service, and convert USAID into a true learning organization. The Corporate Training Strategy provides a roadmap for re-engineering the Agency's overall approach to training and career/professional development. This approach centers on USAID as a knowledge-based organization that values continuous learning, and recognizes that investments in learning should span formal, informal, and blended learning opportunities that incorporate appropriate strategies and technologies. In addition, the strategy is meant to increase training effectiveness across the Agency, reduce unnecessary duplication of effort, standardize the course approval process, and promote operational readiness. The Corporate Training Strategy is discussed in more detail in SO4: Ensuring Employee High Performance through Continual Development and Performance Management.

A pivotal part of the training strategy is a competency management initiative to ensure that all USAID personnel have the necessary competencies for job performance and to achieve the Agency's mission. To ensure that training is developed and implemented to improve on needed knowledge, skills, and abilities, USAID is investing in creating and developing competency dictionaries for all Foreign Service and Civil Service staff by backstop/occupational categories. Additionally, the project includes developing core/cross-cutting and leadership competencies. Not only does competency development feed training and development initiatives, but it also improves recruitment and hiring, career development, and strategic organizational planning.

Another goal of the competency development initiative is to develop vacancy announcements that clearly state the competencies that USAID expects employees to possess. Foreign Service competency development is essential to developing behavioral-based interview guides, which in turn will allow hiring officials to better select talent from a candidate pool. The use of competencies will result in better recruitment and USAID workforce quality and improved employee career development by highlighting areas in which employees are most proficient and areas in which they should focus developmental activities. Competency training maps to be developed in FY 2010 will help employees choose training aligned with their development needs. Finally, managers and supervisors who identify competency gaps within their organizations will be able to strategically address gaps. All these activities will ensure USAID's workforce has the skills to meet current and future responsibilities.

Competency development efforts are also a critical component to successful workforce planning. HR can systematically identify competency gaps across various occupational areas at USAID via a reporting feature of the USAID Competency Management System (CMS). These gap analysis reports led to more focused hiring plans, strategic succession planning, cost-effective training that is tailored for employees with specific or common needs, and better expert consulting to managers and supervisors regarding strategic alignment. Gap analysis also leads to improvement plan strategies that may include recruitment and retention incentives, training/development strategies, focused/targeted hiring plans, etc.

Section III Organization

Section III is organized by Human Capital Strategic Plan Strategic Objectives (HCSP SOs) and aligns directly to the OPM HC lifecycle. Each of the five SOs detailed in this section includes the following components:

- A high-level definition of the strategic objective accompanied by its relevant intermediate results (IRs). IRs serve as a way to identify, group and measure progress of activities and outcomes for each of the strategic objectives by detailing information on how to achieve each of the SOs[1]. Each year, data are collected to measure USAID's progress on each of these metrics in the Performance Management Plan (PMP). In addition, the SO overview includes a brief overview of notable achievements.
- A table detailing FY 2009 goals, FY 2009 actions, FY 2009 results achieved and adjustments, and goals for FY 2010. The table includes bulleted lists detailing key achievements for each topic under an SO. The table also maps each FY 2009 and FY 2010 goal to the HCAAF. This demonstrates the continued institutionalization of HCAAF into all USAID goals and objectives.
    - A key outlining the abbreviations used in the tables is noted below:
        - SA: Strategic Alignment
        - LKM: Leadership and Knowledge Management
        - ROPC: Results-Oriented Performance Culture
        - TM: Talent Management
        - Accountability
- A section on SO-specific results for FY 2009.
- A section titled "Modifications, Best Practices, and Lessons-Learned" that highlights new Agency initiatives (included in the modifications section), modifications to existing initiatives, recognized best practices, areas that need continued development and improvement, challenges, and lessons-learned.

[1] Please note that specific tactics and completion dates are associated with each of the IRs, but are not described in detail in this report. Completion of these tactics ensures the achievement of the SO. For more information, see the USAID Human Capital Strategic Plan.

Strategic Objective 1: Strategically Align Staff with Agency Priorities

"Align workforce size, competencies, and talent pipeline with evolving USAID mission."

Intermediate results include:

- *Integrated workforce planning guides staffing and training*
- *Competencies are aligned with current and future USAID mission*
- *Succession of requisite talent and effective leadership is ensured*

The accomplishments of this strategic objective include:

- Refinements to the Consolidated Workforce Planning Model (the Model) (i.e., improved HQ workload drivers and core staffing ratios, and results used in the development of the Agency's FY 2011 Annual Budget Submission to OMB)
- Development of the first ever Five-Year Workforce Plan with process established for annual review/adjustments/updating
- Accelerated competency development. All Foreign Service competencies development completed a year ahead of schedule and Civil Service competencies development is well ahead of schedule
- Creation of preliminary leadership core and cross-cutting organizational competencies

SO1: Strategically Align Staff with Agency Priorities			
FY 2009 Goals	**FY 2009 Actions**	**FY 2009 Results Achieved / Adjustments**	**FY 2010 Goals and Objectives**
Agency Planning Efforts: ▪ Validate and refine Agency capabilities to meet 21st century challenges (SA) ▪ Increase staff readiness state (TM)	▪ Began to identify institutional priorities jointly between State and USAID ▪ Updated metrics in accordance with best practices ▪ Created Five-Year Workforce Plan	▪ Created and published first ever Five-Year Workforce Plan ▪ HCSP FY 2009 –FY 2013 implemented	▪ Continue to increase staff readiness state (TM) ▪ Continue work groups to review Agency capabilities and organizational structures related to strategic focus areas (SA) ▪ Update the Five Year Workforce Plan, Leadership Succession Plan, and the Performance Management Plan (SA)
Workforce Planning: ▪ Continue to target hiring through integrated workforce planning (SA) ▪ Use the Consolidated Workforce Planning Model process to maintain optimum structure for Overseas Missions (SA)	▪ Conducted review of CWPM ▪ Rigorous vetting and updating of CWPM ▪ Refined indicators used in workforce planning ▪ Rationalized and rebalanced the workforce through use of CWPM ▪ Produced updated workload drivers for Civil Service and Foreign Service positions in Washington and use them to propose organizational structures for HQ	▪ Regional Bureaus coordinated reviews with Technical and Support Bureaus and Offices ▪ Improved strategic alignment between the model and select indices, strategic importance and ground truth ▪ Designed and developed beta online CWPM tool ▪ Completed initial refinement of HQ workload drivers ▪ Incorporated more consistent ratios/requirements for base staffing and specific workload drivers for core technical functions	▪ Continue to enhance Washington HQ and overseas workload drivers and benchmarks (SA) ▪ Refine CWPM to meet multi-sector workforce needs (TM) ▪ Integrate institutional support contractors to the CWPM (TM) ▪ Provide access to web-based CWPM to select Agency staff (TM)
Competency Management: ▪ Continue authoring Foreign Service competencies (TM) ▪ Begin authoring Civil Service competencies (TM)	▪ Created USAID competency model and drafted competencies for Civil Service and Foreign Service ▪ Developed communication strategies around the competency model	▪ Development of technical competencies for all Foreign Service backstops ▪ Addition of new Competency Management System to LMS ▪ Developed survey to validate competencies ▪ Created a change management and communication plan related to competencies	▪ Continue authoring Civil Service competencies (TM) ▪ Train all Foreign Service backstops and Civil Service occupations on the competency assessment process and implement e-IDP function(TM)

Results

To align human capital management strategies with mission, goals, and organizational objectives, USAID continues to support initiatives that contribute to the reinforcement of the Agency's core values and develop strategic plans, competency models, and budgets that track directly to the mission and yield positive organizational results.

Development is a key component of the U.S. National Security Strategy. As the lead Agency in delivering humanitarian and development assistance and conveying development knowledge, USAID must have expanded technical and operational capacity to meet the challenges of the 21st century. The Agency is investing in four areas. One of these is expanding a top quality workforce. USAID must cultivate, not just acquire, new and enhanced skills through training and other employee development activities. This objective is reinforced in the USAID Human Capital Strategic Plan (HCSP), FY 2009 – FY 2013, particularly in SOs 1 and 4 — strategically align staff with Agency priorities and ensure employee high performance through continual development and performance, respectively.

Workforce planning is the foundation of USAID's human capital management strategies. To ensure that USAID puts the right people in the right places with the right skills, USAID uses a cyclical workforce planning process and links it to the Agency's annual budget cycle. Workforce planning provides a structured process for making future-focused workforce decisions based on informed assumptions about an organization's anticipated state. It also increases USAID's ability to take a deliberate and strategic approach to anticipated and unanticipated changes and events. The key goal of this process is to ensure that the budget supports staffing needs and support strategic decision-making on the deployment of human capital. The workforce planning process is shown below.

Figure 1-1: The USAID Workforce Planning Approach

At Step 2 in the USAID Workforce Planning Approach, USAID uses the new Model. The Model is a strategic management tool that allows management to predict future staff levels for both Headquarters and overseas missions. This model takes into account factors such as strategic importance, program funding allocations, and needed staff by type and by location. The Model then uses these assumptions to predict future staffing requirements in the form of scenarios that allow management to compare and contrast alternate scenarios that yield "reasonable" answers based on sets of assumptions.

The Model combines development and stewardship elements to create an initial framework for staffing and projects positions (by location, occupation, and employment type) using an approach that includes almost two dozen parameters reflecting economic growth, governance, health, education, and fragility, while incorporating strategic or development importance and program size with country adjustments for political/security considerations. The Model's assumptions, based on USAID's mission, produce staffing allocations by Bureau, Office and Overseas Mission for the Agency. The Model results show significant increases in the overall number of Foreign Service staff, while reducing some other types of employees (e.g., US PSCs). The Model determines the quantitative workforce needs, while the qualitative staffing needs are determined by competency management work (discussed below).

Over the course of the past two years, the Model has undergone significant refinements to assist in USAID's workforce planning. During FY 2009 these included:

- Making the Model a web tool which In the future will be available to all organizational units. The web tool:
    - Improves reporting and mapping graphics linked to the model results
    - Automates the links between model and other databases, e.g., current staff databases, FACTS databases, etc.
    - Enhances capability/ease to run scenarios for Management/Stakeholder
    - Establishes the protocol to re-validate the Model after refinements
    - Provides a future means of access to the tool by all organizations
- Developing guidance on the reorganization of offices and missions using Model-generated organization charts as the basis, with the goal of simplifying and making the process faster and more analytic.
- Re-assessing workload drivers and core management of USAID/Washington bureaus and offices.
- Providing managers with a tool to support human resource skill trade-offs.
- Improving automation of gap analysis and the five-year hiring plan, including linking to USAID HR databases and automating calculations.

At the end of FY 2009, the Agency created competencies for all Foreign Service Backstops. This includes 139 competencies for the 12 backstops, not including core competencies, cross-cutting competencies, and leadership competencies. It also created competencies for some Civil Service occupations (e.g., health, legal, financial management) where feasible.

USAID's competency model crosswalk demonstrates the lengths to which USAID goes to ensure linkages between its human capital projects and its strategic objectives. One purpose of establishing the competency model parameters and standards of performance is to identify how the model assists the USAID workforce to achieve Agency goals.

Table 1-1 illustrates the linkage between additional USAID workforce goals and components of the competency model specifications that enable the achievement of these goals. In some cases there is a direct linkage to goal achievement and in others an indirect linkage. In some instances, the entire model contributes to goal achievement. In others, very specific components are linked to workforce goals.

Table 1-1: Competency Model Crosswalk

USAID Workforce Goals and Strategic Objectives*	Competency Model Outcomes		Linked Competency Model Components/Parameters
	DIRECT	INDIRECT	
SO 1 Strategically align staff with Agency priorities**			
IR*** 1.1 – Agency right size is maintained through integrated workforce planning		✓	Competency development and subsequent management provides one of two parts required for workforce planning: the *type* of skills required. This information considered with workload assessments allows the Agency to maintain the 'right-size' workforce.
IR 1.2 – Competencies are aligned with current and future USAID mission	✓		Each competency **'unit'** (title, description, key behavior, knowledge, skill, and ability statement) is linked to a current or future requirement. This is ensured through subject matter experts 1) assessment of the job relatedness of each competency, and 2) alignment with mission requirements.
IR 1.3 – Succession of requisite talent and effective leadership is ensured		✓	The model parameters, **'proficiency requirement'** and **'developmental activity linkage'** enable competency assessments. The assessments provide information on competency gaps in the current workforce 'pipeline' enabling USAID to develop talent for succession.
SO2 Increase staff mobility and readiness to rapidly meet emerging priorities			
IR 2.1 –Staff readiness state is increased		✓	Competency management allows the Agency to better determine through 'competency assessments' the on-hand capabilities of the workforce, providing an indication of staff readiness to fulfill mission critical requirements. This is an indirect linkage because it is necessary for USAID to develop capabilities where gaps in competency exist.
IR 2.2 – Continuous, targeted recruitment is maintained		✓	As a result of competency assessment, an accurate and up to date picture of capability requirements permits the human resource function to determine recruitment goals. This is also an indirect linkage because competency development alone will not ensure continuous targeted recruitment. Recruitment and selection are two areas where a more in depth job analysis is typically required to satisfy legal requirements.
IR 2.3 – Policy flexibilities and incentives for CS and FS are fully utilized			Competency development is not linked to policy flexibilities
IR 2.4 – Workforce and corporate strategy for direct and non-direct hire (NDH) staff is systematically rationalized		✓	Because each competency **'unit'** (title, description, key behavior, knowledge, skill, and ability statement) is linked to a current or future requirement it enhances USAID's ability to substantiate staff requirements for hiring and other human resource capabilities.
SO3 Ensure a diverse workforce and a culture of inclusiveness			
IR 3.1 – Leadership commitment to diversity demonstrated and modeled.		✓	Through the capture of accurate work requirements and associated competencies USAID will be empowered to ensure maintenance of a workforce that is diverse and fosters a culture of inclusiveness. **Occupational competencies** will describe specific requirements where knowledge of and experience with other cultures is necessary. **Institutional competencies** will represent the required competency in diversity management.
IR 3.2 – Diverse workforce retained and developed		✓	
IR 3.3 – Diverse workforce is consistently recruited		✓	
IR 3.4 – Systems and tools that promote diversity, inclusiveness, transparency,		✓	

and accountability strengthened			
SO4 Ensure employee high performance through continual development and performance management			
IR 4.1 – Training and development program offerings enhanced Agency-wide	✓		Each competency 'unit' will inform USAID as to the developmental needs of individuals in the Agency. This information will in turn enable USAID to make informed decisions with regard to training and development program and activity offerings, targeting those most critical.
IR 4.2 – Career development initiatives maximized throughout USAID		✓	The competency model will identify areas of expertise required for performance in a given backstop. The expectations of performance at different stages in a career are identified when an individual competency is assigned to a **grade level** and the expected **proficiency** is ascribed to that competency at that grade level. Through this identification, a more transparent career pathway of proficiency requirements is established for USAID personnel.
IR 4.3 – Systems that support and reward performance are improved		✓	The development of a set of detailed competency models provides USAID with a more accurate representation of the requirements to be successful in performing USAID work. USAID will be able to use competency models as input to a system that supports performance (e.g., training initiatives) and as evidence of achievement of performance goals.
SO5 Provide first rate HR services and tools to support USAID's mission and increase efficiencies			
IR 5.1 – HR staffing aligned to mission needs	✓		Each competency **'unit'** (title, description, key behavior, knowledge, skill, and ability statement) is linked to a current or future requirement. This is ensured through subject matter experts assessing the job relatedness of each competency. This linkage provides alignment of staffing to mission needs.
IR 5.2 – HR technology is expanded, improved and integrated	✓		The competency 'unit' (title, description, key behavior, knowledge, skill, and ability statement) and the 'developmental activity linkage' will be compatible with the Learning Management System (LMS).
IR 5.3 – HR processes are streamlined and improved	✓		An outcome of competency development and standardization is the ability to maintain the competency inventory and manage selection and training/ development processes more efficiently. Agency-wide utilization of the system enables streamlined processes for position description maintenance, job opening announcements, and training requirement projections. Each competency is a reusable '**unit'** for HR functions.

* Source: USAID Human Capital Strategic Plan FY 2009-2013
**SO = Strategic Objective
***IR = Intermediate Result

An essential component for competency development success is a change management and communication plan for the entire project, not just the implementation phase. Therefore, USAID created tools for announcing, describing, and communicating the competency modeling goals, tasks, outcomes, and effects throughout the supervisory, leadership, and individual employee levels. By promoting realistic expectations of employee involvement in the requisite stages of design and development, the Agency encouraged employee acceptance and commitment to the data collection and evaluation phases that precede actual implementation.

USAID achieved significant monetary savings with the awards program. During FY 2009, USAID chose to print its award booklet in-house. In addition, the awards process was streamlined to be available electronically. An added benefit of automating the awards process is that it is much easier for the Agency Awards Committee members to review the applications online rather than flipping back and forth between paper submissions.

Additional savings were possible due to a comprehensive follow-up with individuals on the OWCP roles requiring documentation on current medical status and continued eligibility for benefits. Medical updates and coordination with the Department of Labor made it possible for USAID to save over $25,000 due to modified jobs offered to employees, allowing them to return to work. Additional medical savings included:

- $1,356 due to certification of chargeback list for overpayment
- $650 after an adjustment from overpayment of medical benefits
- Over $40,000 due to termination of death benefits because surviving spouses had remarried

Modifications, Best Practices, and Lessons-Learned

MODIFICATIONS

Competency Development

Competency management, electronic Individual Development Plans (e-IDPs), and the Expertise Locator are essential tools to achieving the Agency's workforce objectives. Competency management (competency models and employee assessments using the models) will help to ensure alignment of talent to current and future work requirements and support a corporate culture that champions and rewards continuous learning. With competencies in place, managers will be better able to assess staff development needs (e.g., training) and create appropriate training tracks that support career development. Learning strategies, programs, and training designs will be harmonized and aligned with corporate direction resulting in employees ready to successfully perform their work. For more information on the training needs assessment, see SO5: Provide First Rate HR Services and Tools to Support USAID's Mission and Increase Efficiencies.

The Agency's Learning Management System (LMS) includes a competency management module that has online assessments and reporting against targeted mission critical occupation competencies as outlined in the USAID Human Capital Management Strategic Plan. USAID first used the tool for the Human Resources, Acquisitions, and Information Technology occupation series. During FY 2009, USAID began to extend this effort to identify and validate additional cross-cutting and technical competencies for other mission critical occupations throughout the Agency using a competency development model approach, based on defined levels of proficiency (five-level scale).

Competency Development Process

Competencies are established and developed to describe the knowledge and skill required of members of the workforce to support some work function or requirement of the Agency. Each individual competency, whether it be institutional or occupational, must support a mission requirement of the backstop/occupation category and the Agency itself. There must be a clear 'line of sight' between the contributions of individuals to their backstop and the Agency. Work functions and requirements were identified and individual competencies were verified as job relevant and aligned to higher level Agency goals.

In phase one, the selected Subject Matter Experts (SMEs) review and revise technical competency titles and descriptions, key behaviors, and knowledge, skills, and abilities statements for each competency. During this phase, it is important that the SMEs critically assess the content of the current competencies and identify future competencies. During the second phase, the SMEs determine whether the competencies apply to one job title or are cross-cutting within the occupational series. It

is also within this phase that SMEs note the needed proficiency of the competencies according to the scale below:

NA-Not Applicable

1-Awareness	Applies competency in the simplest situations, requires close and extensive guidance, demonstrates awareness of concept and processes
2-Basic	Applies competency in somewhat difficult situations, requires frequent guidance, demonstrates familiarity with concepts and processes
3-Intermediate	Applies competency in difficult situations, requires occasional guidance, demonstrates understanding of concepts and processes
4-Advanced	Applies competency in considerably difficult situations, generally requires little or no guidance, demonstrates broad understanding of concepts and processes
5-Expert	Applies competency in exceptionally difficult situations, serves as a key resource and advises others, demonstrates comprehensive and expert understanding of concepts and processes

Competencies Link to Workforce Planning

USAID's goal is to develop a competency inventory and do a gap analysis by comparing employees competencies against the Agency's needs as articulated in the inventory. Individual managers can determine the most pressing developmental need by referring to the gaps in work requirement and proficiency and concentrating on those gap closure activities where the value is the largest. The size of the proficiency gap alone is not sufficient to determine developmental priority. For example, there may be a competency with a large proficiency gap in a certain backstop but that competency (e.g., Project Management) may not be as critical as another competency (e.g., Development Diplomacy) with a smaller gap. In this case, the manager and employee, or the organizational unit, may choose to focus on development of the competency with the highest priority given work requirements.

Table 1-2: The Criticality Scale

Level	Level of Criticality	Importance of Competency
1	High level of criticality	The competency is indispensable, the mission would fail without this competency.
2	Medium level of criticality	The competency is important, it is essential for successful performance.
3	Low level of criticality	The competency is important, presence of this competency supports successful performance.

HR can systematically identify competency gaps across various occupational groups at USAID via a reporting feature of the USAID University LMS. These gap analysis reports can lead to more focused hiring plans, strategic succession planning, cost-effective training tailored for employees who have specific or common needs, and greater expert consulting to managers and supervisors regarding strategic alignment of their organization's tasks and functions. Overall, gap analysis leads to improvement plan strategies that may include recruitment and retention incentives, and training and development activities.

Competency Implementation

The design and detail of the USAID competency model is driven by how it will be implemented by USAID in the future. One of the principal uses is to assess the capabilities of the workforce in order to identify areas for training and development. This particular use has an impact on the level of competency specificity built into the model. The model must be straightforward and intuitive to the manager whose task is to assess employee competency proficiency. The model is designed to be manageable by limiting the number of competencies on which an individual will be measured, while at the same time offering detailed insight into particular areas in need of development through the inclusion of key behaviors, knowledge, skills, and abilities. This strategy blends detail with the requirement of manageability. Ultimately, USAID will determine the required level of assessment with respect to competency and the relevant developmental content or other intervention associated with competency or skill gaps. The proposed model provides an option for assessment at the competency or competency element (KSA and behavioral/task) level.

The competency model will feed into the expertise locator in the competency management system (CMS). It is important to note that once each employee takes his or her competency assessment, employees can then search through the CMS to find positions and the needed level of proficiency of their required competencies. This is not only beneficial for managers who are looking for people with particular skills, but also allows employees to know which competencies are needed to move to other specific positions.

BEST PRACTICES

Workforce Planning

As stated previously, the Consolidate Workforce Planning Model combines development and stewardship elements to create an initial framework for staffing and projects positions (by location, occupation, and employment type). The Model's assumptions produce staffing allocations by Bureau, Office, and Overseas Mission for the Agency. Its results show significant increases in the overall number of Foreign Service staff, while reducing some other types of employees (e.g., US PSCs).

1. Hiring Targets Set Based on Gap Analysis

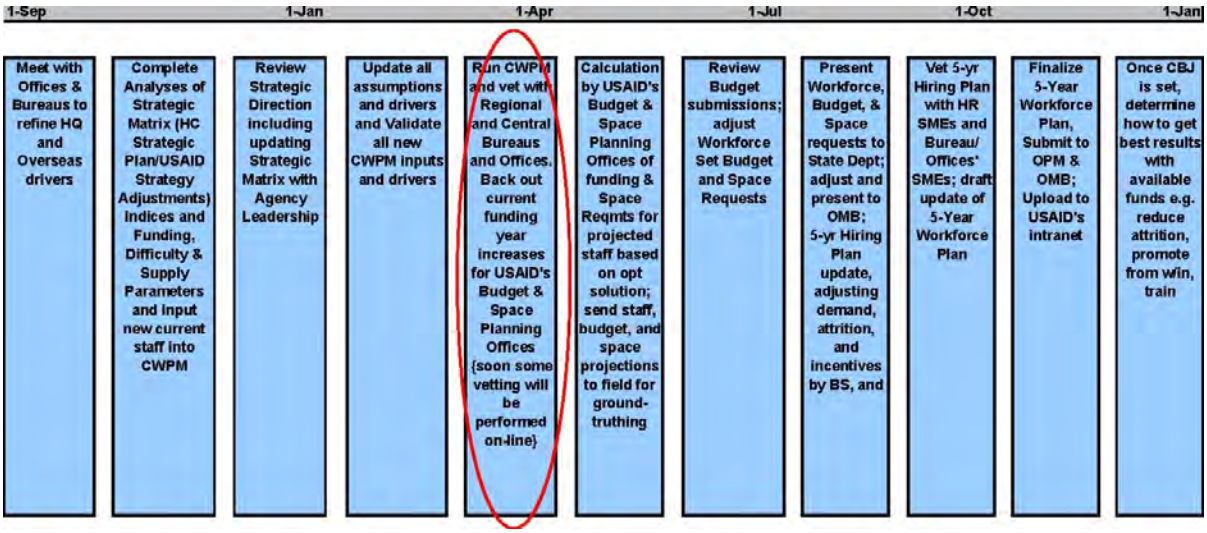
The Model, in concert with attrition data, yields the gap analysis which leads to the solution analysis (e.g., hiring plans). HR leads this workforce planning approach annually, looking forward five years. For the Foreign Service, a rank-in person personnel system, USAID develops a five-year recruitment plan by backstop (occupational group). For the Civil Service, the Agency uses quantitative data to help plan ahead to close future gaps, particularly for Mission Critical Occupations (MCOs).

In FY 2009, the Model underwent significant changes to enhance its strategic utility. First and foremost, the Agency designed and developed a beta online tool that included automated organization charts for each mission, several reporting mechanisms, and transferred the Model onto the web. The Model was also updated by completing initial detailed refinement of headquarters workload drivers, including more specific drivers based on input from HQ subject matter experts, workload survey data, and internal and external benchmarking data. Furthermore, the Model now incorporates more consistent ratios and requirements for base staffing and also incorporates specific workload drivers for core technical functions.

2. Consolidated Workforce Planning Model Basis for Agency's Annual Budget Request

The entire workforce planning process is melded into the Annual Budget Cycle (see the Workforce Planning Roadmap on the next page). Based on these analyses, HR provides data to the budget office. This data serves as the basis for a more accurate operating year staffing budget estimate by determining not only numbers of staff, but types and locations. The Budget Office uses HR's numbers to develop the Agency's proposed budget.

Figure 1-2: Workforce Planning Roadmap: Workforce Planning Budget Formulation over 16 Months beginning each September



Creation of the first Five-Year Workforce Plan

In FY 2009, USAID published its first Five-Year Workforce Plan. The FY 2009 – FY 2013 Five-Year Workforce Plan articulates results of the Agency's workforce planning process, such as projected staffing requirements and targeted initiatives to meet those requirements. It describes the current workforce, explains the seven-step workforce process, and describes solutions and strategies underway to strengthen the Agency's workforce. The Five-Year Workforce Plan aligns with the strategic goals and objectives set forth in the Joint State Department and USAID Strategic Plan and in the USAID Human Capital Strategic Plan. The Five-Year Workforce Plan also includes as an addendum the Leadership Succession Management Plan, which is aligned with the Model, and is discussed further in SO2. USAID plans annual updates to the Five-Year Workforce Plan (which includes the Agency's Leadership Succession Management Plan).

Competency Development

USAID is currently ahead of schedule because the Agency was able to collect information on the Civil Service series that serve as counterparts to the Foreign Service backstops while developing the backstop competencies and because the participants enthusiastically supported the endeavor.

USAID is using a two phase approach to developing competencies. To aid HR staff with the process, SMEs are identified for each Backstop/Occupational Series and provide expertise and knowledge of the critical functions required for successful performance in the job. A champion was also chosen for each Backstop and Series to disseminate communications, guide and facilitate SME review of occupation-specific technical competencies, ensure timely submission, and provide feedback on documents developed.

Managing a Multi-Sector Workforce

OMB and OPM partnered together to create OMB Memorandum M-09-26, which requires agencies to begin developing and implementing policies, practices, and tools for managing the multi-sector workforce. The memorandum supports agencies adopting a framework built on strong human capital planning, sound sourcing determinations, and collaborative management practice, conducting multi-sector workforce planning pilots, and using OMB guidelines when considering in-sourcing. More specific criteria are outlined in the table below.

Table 1-3: OMB Criteria

Topic	Criteria
Workforce Planning	• Derive workforce needs from organizational goals • Determine skill mix and total labor requirements
Sourcing Determination – Grow Talent or Buy Talent	• Determine if work must be performed only by Federal employees or may be performed by either Federal employees or private sector contractors • Perform a cost analysis if both sectors are being considered for performance of a function
Management	• Facilitate continuous and timely collaboration across organizational lines – program, HR, acquisition, and budget/finance offices

As a result of the OMB memorandum, USAID, in FY 2010, will be required to complete a number of actions including a review of the multi-sector workforce management framework, development of a multi-sector workforce inventory, implementation of a gap analysis, documentation of the processes used and offices that participated in each part of the assessment, and a final report submitted to OMB.

Improving Employee Satisfaction (ES) Action Plan (OMB Budget Submission Requirement)

The ES action plan (that OMB required agencies to submit with their FT 2011 budget request) is designed to improve workplace measures (based on the 2008 Federal Human Capital Survey) in those areas that employees identified as needing improvement. Objectives under the plan are:

- On or before the end of FY 2011, Foreign Service Backstops and Civil Service occupations will have conducted employee competency assessments linked to e-IDPs.
- By the end of FY 2011, the Agency will have created an action plan for developing FSN competency models and one for carrying out the FSN assessments.
- By Q2 FY 2010, Training Needs Assessment Survey report completed.

To rebuild, the Agency is investing in four areas. One of these is expanding a top quality workforce. USAID must cultivate, not just acquire, new and enhance skills through training and other employee development activities. Competency management, e-IDPs and the Expertise Locator are essential tools to achieving the Agency's workforce objectives.

Competency management (competency models and employee assessments using the models) help to ensure alignment of talent to current and future work requirements and support a corporate culture that champions and rewards continuous learning. With competencies in place, managers are better able to assess staff development needs (e.g., training) and create appropriate training tracks that

support career development. All learning strategies, programs, and training designs are harmonized and aligned with corporate direction resulting in employees ready to successfully perform their work. USAIDs budget requests for FY 2011 are all aligned with these goals in mind.

LESSONS LEARNED

Competency Assessments Have Value to Employees only if e-Individual Development Plan (e-IDP) Linked to the Assessment

USAID learned from assessments done over the last three years for IT, HR and OAA that for assessments to have meaning to employees, they have to be linked to an e-Individual Development Plan (e-IDP). Therefore, we decided to bring this function online before we conduct any new assessments in LMS and will pilot e-IDP in Q1 FY 2010 with OAA. Based on the pilot, any adjustments to the LMS will be made so that the e-IDP will be part of all future assessments.

Linking Competencies with Training

In FY 2010, USAID will create Proficiency Maps that link Foreign Service and Civil Service grade levels to targeted proficiency levels for each competency model. These maps will serve as a guide to understanding the expected proficiency levels of top performers at each grade level. The maps for the competency models will be developed by conducting focus groups that consist of top performers in the occupational areas and confirmed by backstop SMEs.

The USAID Training Center will then identify and map training courses to competencies at various proficiency levels. The Competency Training Maps will aid employees in researching training courses that will help them reach their target proficiency level for a given competency. However, taking a class does not guarantee that employees will attain the desired proficiency level. It is the ability to perform tasks/activities related to their job responsibilities that demonstrates the level of proficiency attained. Training can only aid employees in developing competencies as can on-the-job assignments, details, and other learning activities.

Matching Training and Development Activities to Competency Gap Closure Requirements

An initial review of training course titles at USAID indicates the availability of courses that develop personnel in institutional competency requirements (core competencies such as Communication Skills and Leadership and Management competencies) and administrative requirements (e.g., Travel Management, Security, and Time & Attendance) and some technical/occupational competencies (e.g., Project Management). This is not a comprehensive review of the developmental activities available at USAID. Once the institutional and occupational competency gaps are identified, managers and employees will jointly determine the most relevant means of closing these gaps from training courses, developmental assignments, and/or other activities. After a period of time following implementation of the competency gap assessment, an evaluation of currently available developmental courses and activities will allow USAID to determine the adequacy of these activities and if additional activities need to be developed or obtained elsewhere.

Consolidate Workforce Planning Model Additional Refinements Identified

As a result of the work done to upgrade the Model in FY 2009, additional refinements (lessons learned) were identified and thus HR/PPIM will continue to refine the Model to fit the Agency's evolving strategic direction in FY 2010. These improvements include among others: further specification/division of technical/sectoral needs for EGAT, IIP, and DCHA, additional refinements to the workload drivers for USAID/Washington bureaus and offices, incorporation of the need for Institutional Support Contractors as part of the non-direct hire workforce thereby completing the Model's capacity to support Multi-Sector Workforce planning, and phased roll-out of the Model on the web as a planning tool for each operating unit, making the Model's scenario function more user friendly.

Strategic Objective 2: Increase Staff Mobility and Readiness to Rapidly Meet Emerging Priorities

"Hire and train highly qualified FS and CS personnel and ensure they can be easily deployed to provide support quickly in areas of highest need."

Intermediate results include:

- *Staff readiness state is increased*
- *Continuous, targeted recruitment is maintained*
- *Policy flexibilities and incentives for CS and FS are fully utilized*
- *Workforce and corporate strategy for direct and non-direct hire (NDH) staff is systematically rationalized*

The accomplishments of this strategic objective include:

- Hiring 337 new Foreign Service Officers by the end of FY 2009 through the Development Leadership Initiative
- Streamlining and improving vacancy announcements
- Revising the Civil Service hiring process under the End-to-End (E2E) Hiring Initiative to reduce the time to hire to 80 calendar days from 165 days
- Developing the Foreign Service Nationals Action Plan
- Creating the Foreign Service Nationals Senior Advisory Corps and FSN Fellowship Program
- Continuing the development of a leadership succession pool of qualified mid-level staff who can assume leadership's responsibilities
- Establishing and standardizing knowledge management initiatives (using both technology and training) to retain institutional knowledge and speed knowledge transfer

SO2: Increase Staff Mobility and Readiness to Rapidly Meet Emerging Priorities			
FY 2009 Goals	**FY 2009 Actions**	**FY 2009 Results Achieved / Adjustments**	**FY 2010 Goals and Objectives**
DLI and Foreign Service Nationals: ▪ Increase staff mobility and readiness to meet emerging priorities (TM) ▪ Fully utilize policy flexibilties and incentives for Foreign Service (TM) ▪ Increase staff readiness state (TM) ▪ Maintain continuous, targeted recruitment (TM) ▪ Continue to secure necessary funding for retention/recruitment incentives (TM)	▪ Increased efficiencies in Foreign Service hiring process ▪ DLI selection process implementation plan created ▪ Refine list of key schools for recruitment efforts ▪ Refine policies regarding retention incentive authorities ▪ Continue to maximize work attractors ▪ Increased Foreign Service diversity outreach ▪ Create Foreign Service Nationals Fellows Program and Senior Advisory Corps	▪ DLI targets met even though under CR half the year ▪ Reduced time to hire for Foreign Service and develop roadmap to do the same for Civil Service ▪ Used Student Loan Repayment Program ▪ Created Foreign Service Standard Operating Procedures for Recruitment ▪ Partnered with minority-serving institutions to increase diversity in applicant pools ▪ Initiated nationwide diversity campaign through Careerbuilder.com ▪ Developed the Foreign Service National Action Plan ▪ Streamlined Foreign Service vacancy announcements	▪ Hire 270 new Foreign Service Officers (TM) ▪ Implement proposed changes to the DLI selection process (TM) ▪ Expand on advertising based on ROI (TM) ▪ Implement Agency streamlined vacancy announcements (TM) ▪ Analyze FSN compensation plans and issues (TM) ▪ Determine which Missions lack adequate benefits for FSNS (TM) ▪ Investigate a bonus system for FSNs (TM) ▪ Increase usage of career ladder positions and hiring for FSNs (TM)
Civil Service Recruitment: ▪ Continue to strategically align staff with Agency priorities (TM) ▪ Fully utilize policy flexibilties and incentives for Civil Service (TM)	▪ Increased efficiencies in Civil Service hiring process ▪ Capitalized on resources of the U.S. military ▪ Aligned SES recruiting with new structure policy and positions	▪ Mapped hiring process ▪ Streamlined vacancy announcements ▪ InterAgency collaboration to solve hiring bottle necks ▪ Leveraged direct-hire authority for Civil Service Contract and Health Officers ▪ Filled critical gaps using existing authorities	▪ Ensure match level of effort with hiring targets (TM) ▪ Report quarterly on results for time to hire by each phase of hiring process map (TM) ▪ Continue to automate the front end of the recruitment process (TM)
Succession Planning: ▪ Continue to create an environment that fosters commitment and strengthens employee retention (LKM) ▪ Establish and standardize knowledge management initiatives to retain knowledge and skill transfer (LKM) ▪ Ensure succession of requisite talent and effective leadership (LKM)	▪ Reviewed the Leadership Succession Management Plan for alignment with the Joint State-USAID Strategic Plan ▪ Continued the development of leadership succession pool of qualified mid-level staff ▪ Developed of the Knowledge Management (KM) Strategic Framework	▪ Updated of the Leadership Succession Management Plan for alignment with the Joint State-USAID Strategic Plan ▪ Created the Knowledge Management Strategic Framework and the BTEC Sub-Committee for KM	▪ Continue accomplishing intermediate results of the Knowledge Management Strategic Framework (LKM) ▪ Continue to create a working environment that fosters commitment and strengthens employee retention (LKM)

Results

Development Leadership Initiative (DLI)

The DLI is a multi-year effort to rebuild the USAID workforce by doubling the size of the Foreign Service by October 1, 2012. By the end of FY 2009, the accomplishments under this initiative have been substantial. Upon conception, the DLI was designed to bring in a new class of FSOs every quarter. USAID hired 337 new Foreign Service Officers (FSO) in eight classes, averaging one class approximately every eight weeks. This progress puts USAID on course to meeting its DLI goals.

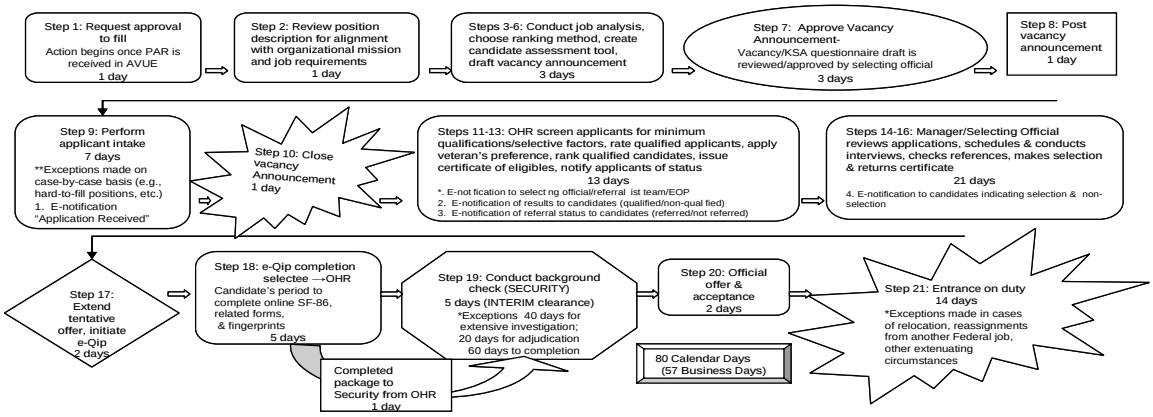
The Foreign Service Personnel Division (FSP) created a comprehensive set of Standard Operating Procedures (SOPs) to ensure consistency in its operations for the DLI. The recruitment process in 2009 was highly competitive, and USAID is proud of the strong candidates hired. More hires with proficiency in several languages and significant overseas experience are applying than ever before. This is important as the focus has shifted away from those with proficiency in Spanish and French to those who are fluent in Arabic and other needed assignment-specific languages.

Foreign Service Officers under the DLI also participate in mid-level development initiatives such as the Middle Managers program with the Federal Executive Institute (FEI) and the Emerging Leaders Program. For more information on leadership training opportunities, see Strategic Objective 4: Ensure Employee High Performance through Continual Development and Performance Management.

End-to-End (E2E) Hiring Initiative (Civil Service)

Under the Civil Service E2E initiative directed by OMB and OPM, the USAID E2E Swat Team was able to create a new hiring road map or model that will reduce the hiring process from beginning to end to 80 calendar days (reduced from the approximately 165 calendar days) without classification (see figure below). Full implementation of the Hiring Model is anticipated in second quarter of FY 2010.

Figure 2-1: E2E Hiring Model



During FY 2009, another major initiative related to E2E was to streamline the top 10 vacancy announcements by December 15, 2009 with five completed by September 30, 2009. The first five USAID revised mission-critical vacancy announcements were Contracts Specialist, HR Specialist, Management Program Analyst, Public Health Advisor, and Systems Accountant. In addition, HR will streamline five additional vacancy announcements (consistent with OPM's guidance) for submission to OPM by the December 2009 deadline. HR will post all streamlined vacancy announcements on MAX as required by OPM.

During FY 2009, USAID expanded the use of recruitment and relocation bonuses to targeted mission critical occupations. These bonuses follow the OPM guidelines of:

- Recruitment bonus is a maximum of 25 percent of salary. This bonus cannot be granted if the hire is coming from another Agency.
- Relocation does not have a financial limit and is based on where the person is relocating from.
- Superior Qualifications Bonus used at the discretion of the Agency to fill positions with highly specific skill sets.

In FY 2009, USAID used its Tuition Assistance Program (TAP) to encourage employees to continue the development of skills, knowledge, and abilities in order to further their career development and to meet current and future skill needs of the Agency. TAP is open to permanent U.S. direct hire employees. In order to be eligible to participate, Foreign Service applicants must have a current rating of "A" or "B" from the Foreign Service Boards and Civil Service applicants must be performing at a "fully successful" level or above. Applicants must have completed a minimum of one year of Federal service prior to the start date of the requested course. In addition to TAP, USAID also has the Student Loan Repayment Program (SLRP). In FY 2009, 195 employees participated in the program for a payout of roughly $1.8 million.

USAID also has a robust internship program designed to offer opportunities to interns so that they can become permanent employees of the Agency. For more information, see SO3: Ensure a Diverse Workforce and a Culture of Inclusiveness.

FSN Senior Advisory Corps

To ensure a constant readiness state, USAID has developed the FSN Senior Advisory Corps (FSN SAC). The FSN SAC is a group of experienced FSNs that support short and long term overseas Missions and USAID Washington either on site or from their homes. The FSN workforce will be selected from the existing FSN workforce, retired FSNs, and FSNs that previously served on closed Missions. The benefits of the FSN SAC include:

- A structured and easy way to access FSNs worldwide
- An increase in sharing of knowledge and better dissemination of best practices, policies, and procedures between overseas Missions and USAID Washington
- A ready resource for deployment to worldwide development areas and new Missions

Modifications, Best Practices, and Lessons-Learned

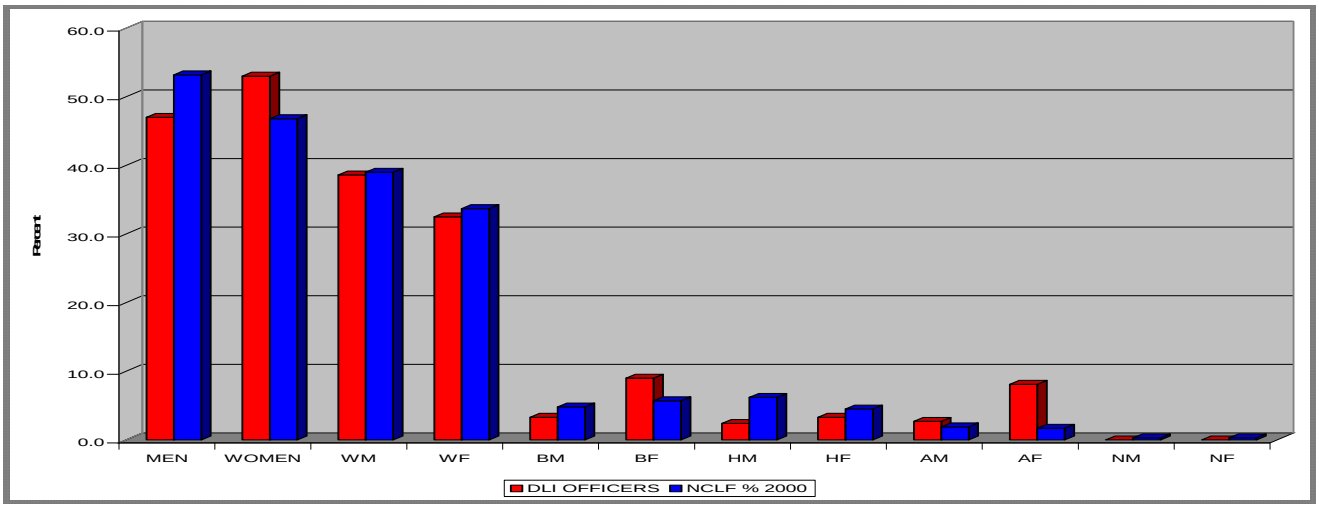
MODIFICATIONS

DLI Recruitment Process

The FY 2009 Human Capital Management Evaluation, Foreign Service Recruitment and Hiring Program Audit, which is discussed again under SO5, noted that "Effective recruitment strategies, coupled with dedication and commitment of FSP staff form the linchpin to the Agency's success in achieving the desired 21st century FS Corps." The FSP Outreach and Marketing team establishes, maintains, and expands partnerships with universities and colleges, professional associations, and special interest groups. In 2009, the team began bringing groups from universities/colleges to visit USAID, where the team presented information on the Agency's mission, organization, and achievement. These on-site presentations supplement job fairs and campus visits without increasing the budget.

DLI recruiters also began focusing more on hiring mid-level FSO's in FY 2009 for backstops with critical shortages at the mid-level. Throughout 2009, USAID increased recruitment of diverse candidates and drastically improved the number of women that joined the Foreign Service, especially Black and Asian women. One challenge that remains for USAID is recruiting Hispanic employees. Attracting this population has always been a challenge for USAID as well as the rest of the Federal Government. To combat this, USAID is currently undertaking several outreach methods to ensure the diversity of DLI classes. For example, the Agency is partnering with minority-serving institutions and initiated a nationwide diversity campaign through CareerBuilder.com. Actions like these have ensured more diversity in the candidate pools, as seen in the graph and table below.

Table 2-1 and Figure 2-2: DLI Recruitment through Class 8 (still on board as of 9/30/2009)



	TOTAL	MEN	WOMEN	WM	WF	BM	BF	HM	HF	AM	AF	NM	NF
	332	156	176	128	108	11	30	8	11	9	27	0	0
	%	47.0	53.0	38.6	32.5	3.3	9.0	2.4	3.3	2.7	8.1	0.0	0.0
NCLF % 2000:		53.2	46.8	39.0	33.7	4.8	5.7	6.2	4.5	1.9	1.7	0.3	0.3

DLI Selection Process Improvements

FSP also made changes in the selection phase of recruitment. At the beginning of the DLI, FSP moved from case examinations to open continuous vacancy announcements to provide a continuous pool of job applicants. Because of the huge influx of applications the Agency has discontinued the use of these open continuous announcements. FSP also reduced the amount of time to notify and schedule applicants for onsite interview, assessment, and handling logistics; amended the written and oral assessment process to ensure it is fair and equitable and the same for each candidate, regardless of backstop designation or date of assessment; and revised the protocols so applicants receive timely feedback about the status of their applications via AVUE (the automated recruitment tool).

USAID developed an impressive implementation plan for the DLI selection process changes. The majority of the changes are completed or in the process of being completed; only a few remained pending at the end of FY 2009. Key changes, their completion dates, and responsible parties are below:

- **Training:**
  - Mandatory training for all people on DLI application review panels and those interviewing candidates. This training is provided by HR/FSP and GC. (July 2009, HR/FSP and GC Ethics Team)
- **Written Guidance for Processes:**
  - Written guidance for DLI selection process (July 2009, HR/FSP and DS)
  - Panelists review new guidance prior to serving on panels (Continuous, Panelists)
  - Revise ADS 468 to include changes in the FSO recruitment/selection process (September 2009, HR/Policy)
- **Backstop Coordinators:**
  - One coordinator for each backstop designated by Bureau or Independent Office with responsibility for coordinating panels and creating materials for the assessment process (August 2009, BS Bureau DAA or Independent Office Director)
- **Service on Panels:**
  - A pool of at least five people suggested by Backstop Coordinators to serve as SMEs on application review and interview panels (July 2009, BS Coordinators from Bureaus and Independent Offices)
  - Recognition for service on panels through AEF and/or awards (Ongoing, BS Officers/HR)
  - Panel chairperson to remain the same throughout each round of applications (Ongoing, HR/FSP)
- **Screening of Applications/Identification of Candidates to Interview**
  - Update AVUE to include minimum Federal requirements (September 2009,HR/FSP/SP)

  - Review applications to crosscheck where AVUE cannot screen (Ongoing, BS Coordinators)
  - Standardized scoring for each backstop through vacancy announcement criteria (Ongoing, DLI with BS Coordinators)
- **Interview Process**
  - Technical Selection Panel (TSP) members review all resumes prior to interviews (Ongoing, Panelists)
  - Candidates who are not able to make the first scheduled interview are given one additional opportunity to interview (December 2009)
  - Backstop Coordinators prepare and maintain case studies to be used in the interview process (October 2009, BS Coordinators)
- **Post-Interview**
  - Complete reference checks prior to notifying candidates of selection (Ongoing, BS Offices)
- **Position/Vacancy Announcement/AVUE changes**
  - Online instructions are reviewed and amended to ensure all sections are completed and that USAID has access to all necessary information (September 2009, HR))
  - Revise AVUE to make clear the minimum requirements (August 2009, HR)
  - Backstops must provide more detail when additional previous work experience is required and give some criteria for KSA language (September 2009, HR and BS)
- **Recruitment**
  - Add additional targeted recruitment strategies (September 2009, HR/FSP/Recruitment and BS Coordinators)
  - Updated HR websites to include positions/Backstop information (September 2009, HR and BS Coordinators)

End-to-End (E2E) Hiring Initiative (Civil Service)

The E2E Hiring Initiative was designed by OPM and the Chief Human Capital Officers Council Subcommittee for Hiring and Succession Planning to streamline the Federal hiring process. It was also designed to manage each applicant's expectations, needs, and interests. A streamlined hiring process will support the Agency-wide effort to rebuild USAID. The Agency has now mapped out the current hiring processes, using the E2E model as a baseline, eliminating and/or streamlining the processes for the future. USAID E2E September 2009 status report to OPM is shown below.

Table 2-2: Ongoing and Completed E2E Initiatives

Action	Status	Comments
Map current E2E process and post on MAX.	Completed	Posted on MAX 7/31/09
New E2E process developed and vetted. Model posted on MAX.	Completed	Posted on MAX 9/30/09. Hiring barriers identified. New model significantly reduces time to hire process by half (from 165 calendar days /116 work days to 83 calendar days/60 work days). Met with Acting Administrator on 9/15/09.
Strategies developed and action plan	Underway	Barriers identified and strategies developed

implemented to eliminate barriers submitted to OPM & OMB by 12/15/09		to overcome them resulting in new map. Discussed with Acting Administrator on 9/15/09.
Notify applicants of status at 4 points	Completed	Our automated process already does this so no action was required.
Streamline the top 10 vacancy announcements by December 15, 2009	Underway	Five vacancy announcements completed. Posted on MAX 9/30/09.
Review CHCO Council Management Satisfaction Survey, identifying areas needing improvement; engaging hiring managers; action plan forward.	Underway	Results show only one respondent. Once we achieve valid sample size we will develop action plan based on areas identified as needing improvement. Action plan to increase manager survey participation in place.

Succession Planning and Management

Effective succession planning is essential given the high number of USAID's Senior Foreign Service officers who are or will be eligible to retire in the next few years and the high number of new hires under the DLI. The following charts show the vulnerability of the FS succession pipeline.

In FY 2009, USAID included its newly revised Leadership Succession Management Plan as an addendum to the Five-Year Workforce Plan. The Leadership Succession Management Plan details USAID's current overall succession strategy and focuses on the importance and role of the DLI in USAID succession planning efforts and competency development and management.

Table 2-3: Eligible to Retire on or before September 30, 2009

USAID Foreign Service by Class: Eligible to Retire on or before September 30, 2009

Salary Class	Number of Employees	Average Age	Average Time in Service	Number Eligible to Retire	Percent Eligible to Retire
Career Minister	12	61	31	12	100%
Minister-Counselor	36	57	25	29	81%
Counselor	90	55	25	72	80%
FS-1	262	53	20	122	47%
FS-2	266	48	12	41	15%
FS-3	283	43	9	10	4%
FS-4	75	40	7	2	3%
FS-5	100	34	5	0	0%
FS-6	181	33	2	0	0%
Total	1305	45	2	288	22%

Table 2-4: Eligible to Retire on or before September 30, 2010

USAID Foreign Service by Class: Eligible to Retire on or before September 30, 2010					
Salary Class	Number of Employees	Average Age	Average Time in Service	Number Eligible to Retire	Percent Eligible to Retire
Career Minister	12	61	31	12	100%
Minister-Counselor	36	57	25	32	89%
Counselor	90	55	25	79	88%
FS-1	262	53	20	138	53%
FS-2	266	48	12	45	17%
FS-3	283	43	9	14	5%
FS-4	75	40	7	3	4%
FS-5	100	34	5	1	1%
FS-6	181	33	2	0	0%
Total	1305	45	2	324	25%
Data as of 9/30/2009					

Table 2-5: Eligible to Retire on or before September 30, 2014

USAID Foreign Service by Class: Eligible to Retire on or before September 30, 2014					
Salary Class	Number of Employees	Average Age	Average Time in Service	Number Eligible to Retire	Percent Eligible to Retire
Career Minister	12	61	31	12	100%
Minister-Counselor	36	57	25	35	97%
Counselor	90	55	25	86	96%
FS-1	262	53	20	197	75%
FS-2	266	48	12	84	32%
FS-3	283	43	9	39	14%
FS-4	75	40	7	6	8%
FS-5	100	34	5	2	2%
FS-6	181	33	2	0	0%
Total	1305	45	2	461	35%
Data as of 9/30/2009					

Succession planning is also vital due to the high eligibility for retirement of senior employees. CS and FS retirement eligibility is illustrated in the following charts:

Figure 2-3: Retirement Eligible by Service

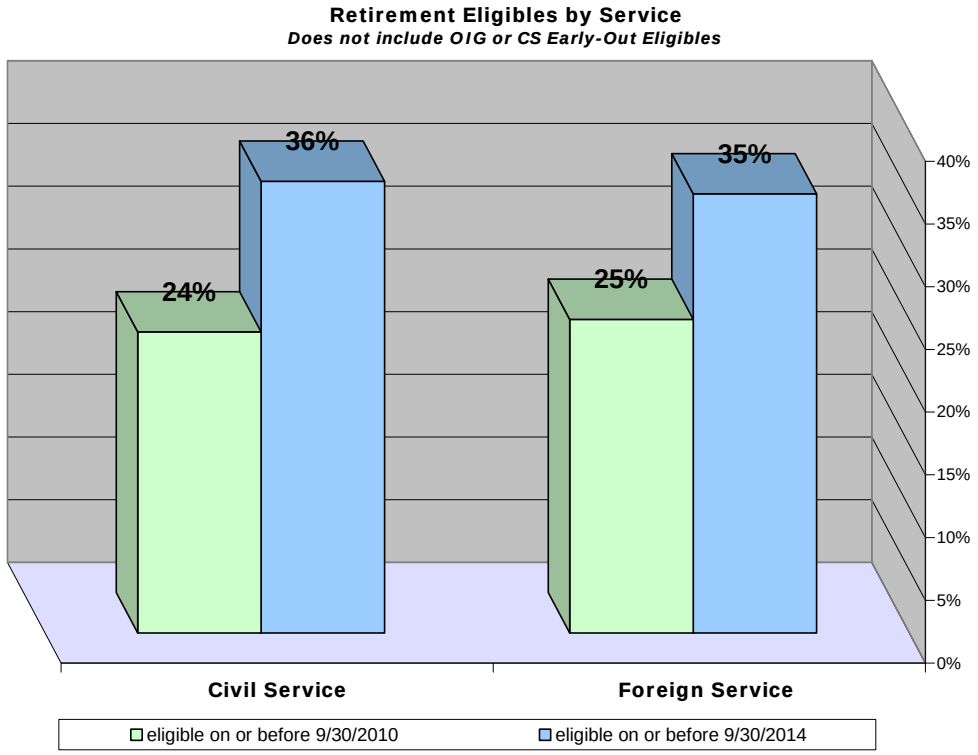


Figure 2-4: Comparison of Retirements as a Percent of Total Annual Attrition by Service

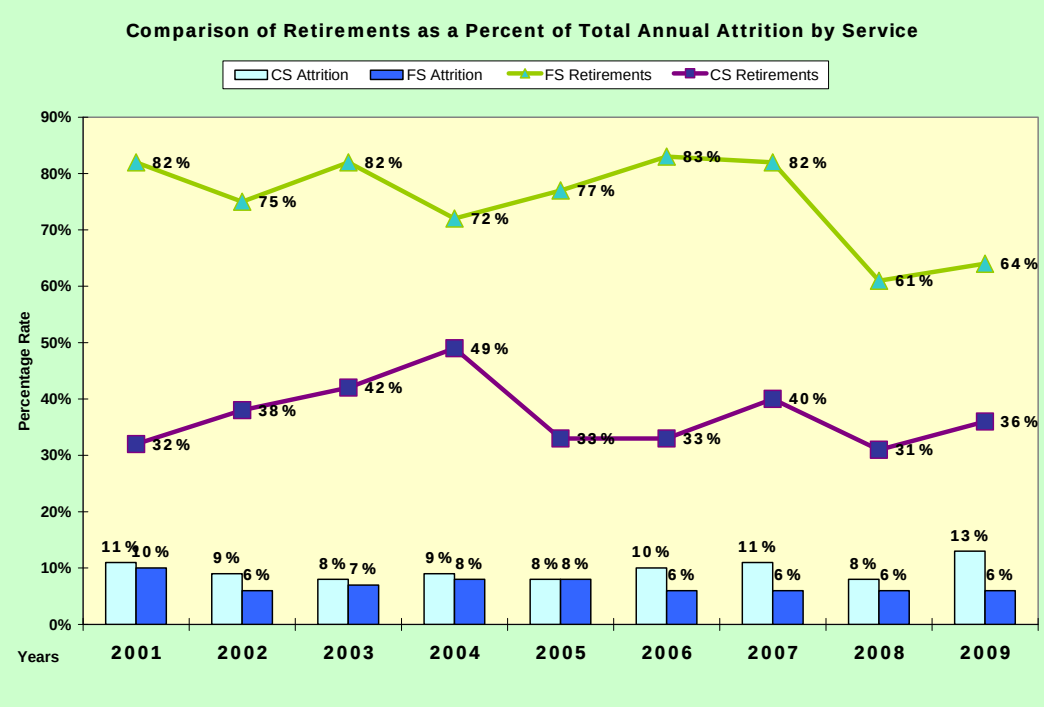


Figure 2-5

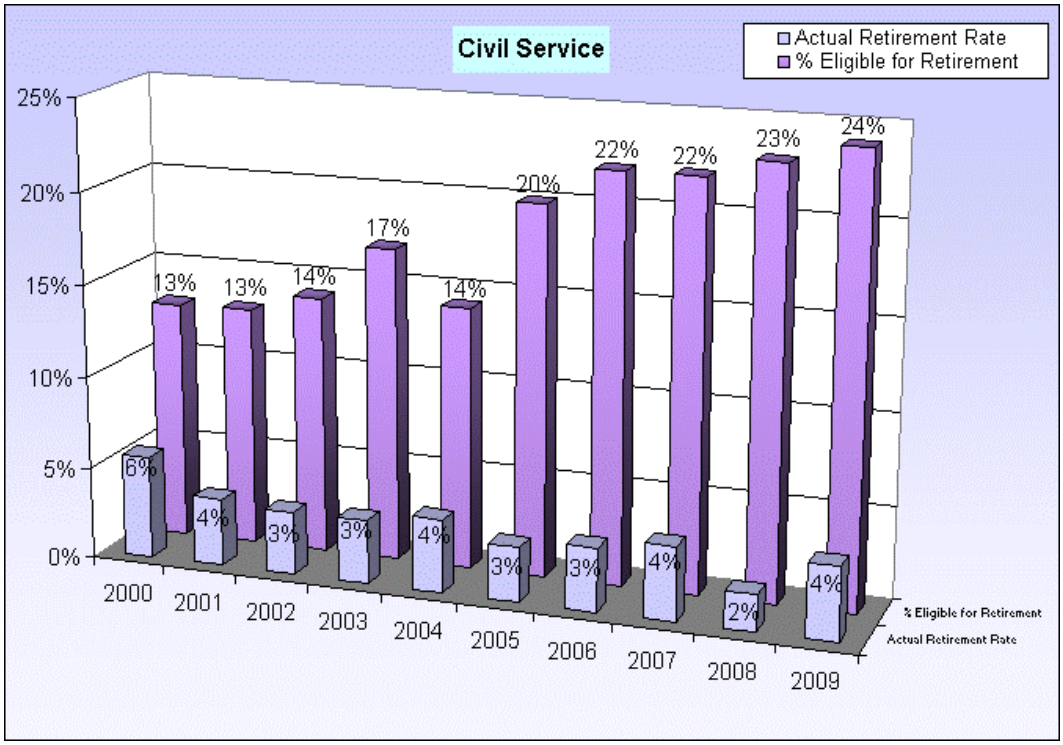
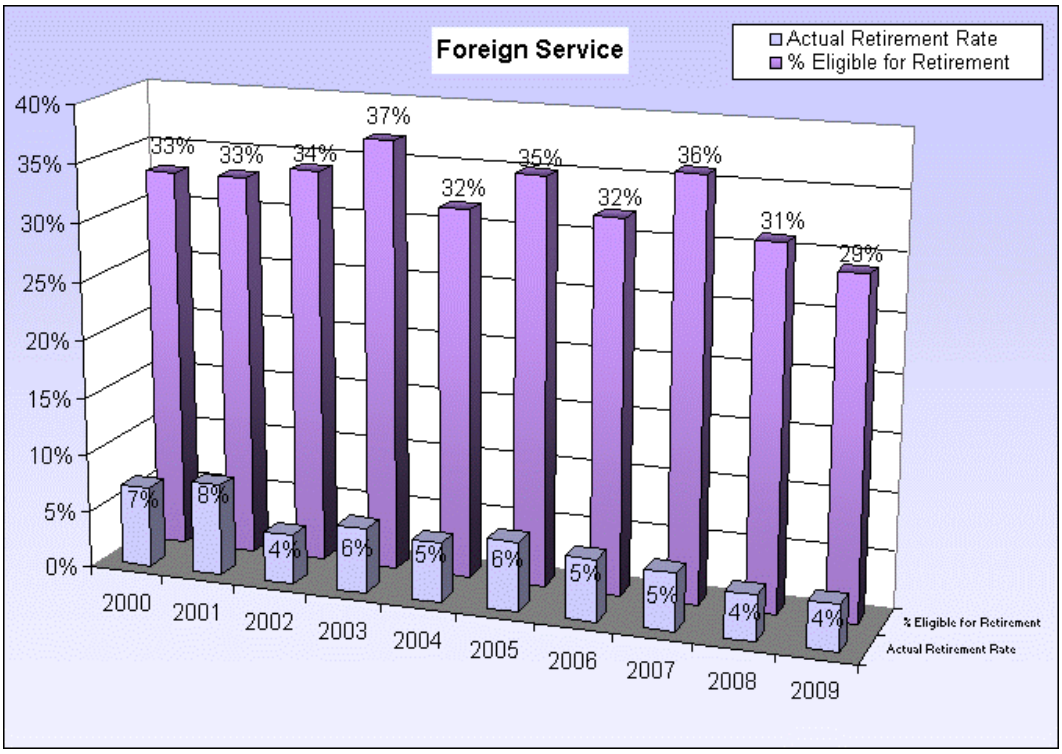
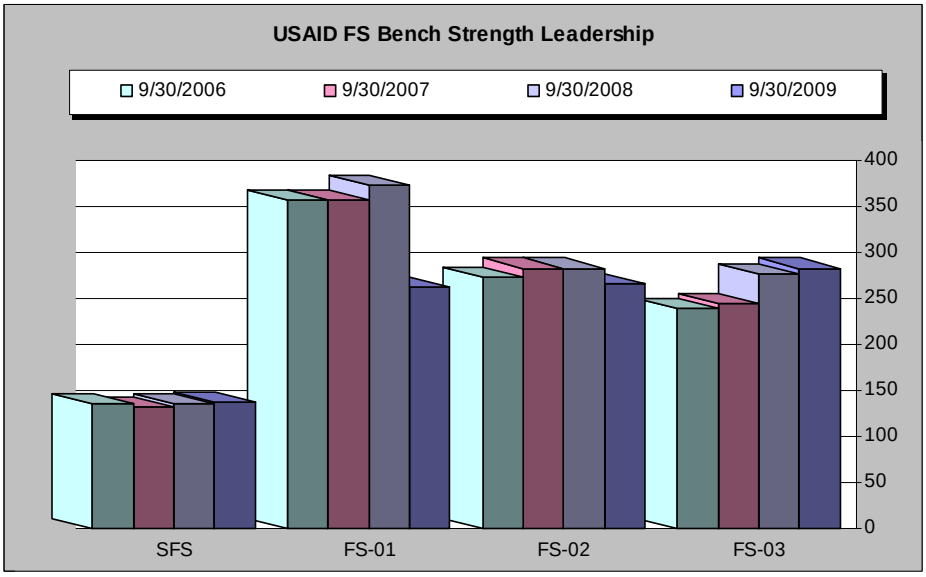


Figure 2-6



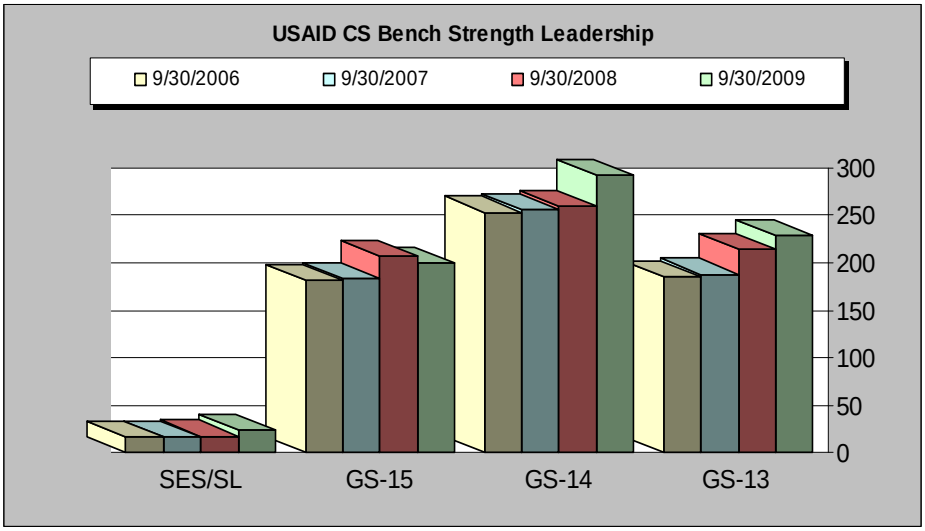
USAID's pool approach to succession planning seeks to develop highly qualified mid-level staff who can assume the responsibilities of leadership. Having a strong mid-level staff is vital to the Foreign Service's rank-in person personnel system. This system is based on the military model, with employees generally entering at the bottom ranks and progressing upwards subject to time-in-class limits and mandatory retirement above age 65. This is in contrast to the Civil Service system, a rank-in position personnel system with different tenure, promotion, and retirement rules. The following chart shows the Foreign Service bench strength from 2006 to 2009.

Figure 2-7



USAID continues to be successful in maintaining a leadership cadre at SES and GS-15, GS-14, and GS-13 levels. This can be seen in the chart below:

Figure 2-8



BEST PRACTICES

DLI

During FY 2009, USAID hired and on-boarded a total of 337 new Foreign Service Officers (FSOs). The recruitment and selection processes have yield a highly competitive applicant pool with more hires coming into the Agency speaking several languages and possessing significant overseas experience.

E2E Hiring Initiative

USAID made significant accomplishments in translating the E2E Hiring Initiative for USAID. To revise USAID's process, HR formed the OPM required E2E SWAT team composed of HR, the Office of Security and client offices. (The SWAT team is comprised of 13 members and four advisors.) The team mapped the current and projected processes, identified three hiring barriers within the existing process and made recommendations for change. The strategies developed to meet these hiring barriers are outlined below:

1. Streamline new or revised position classification requirements and processes
2. Shift and redouble Equal Opportunity Program outreach to proceed job announcements
3. Reduce and streamline the steps and timeframe for security clearances

USAID streamlined five vacancy announcements to be implemented during FY 2010 to further enhance USAID's recruitment, and is on track to meet the requirement to streamline a total of 10 announcements by the end of Q1 FY 2010.

Vacancy Announcements

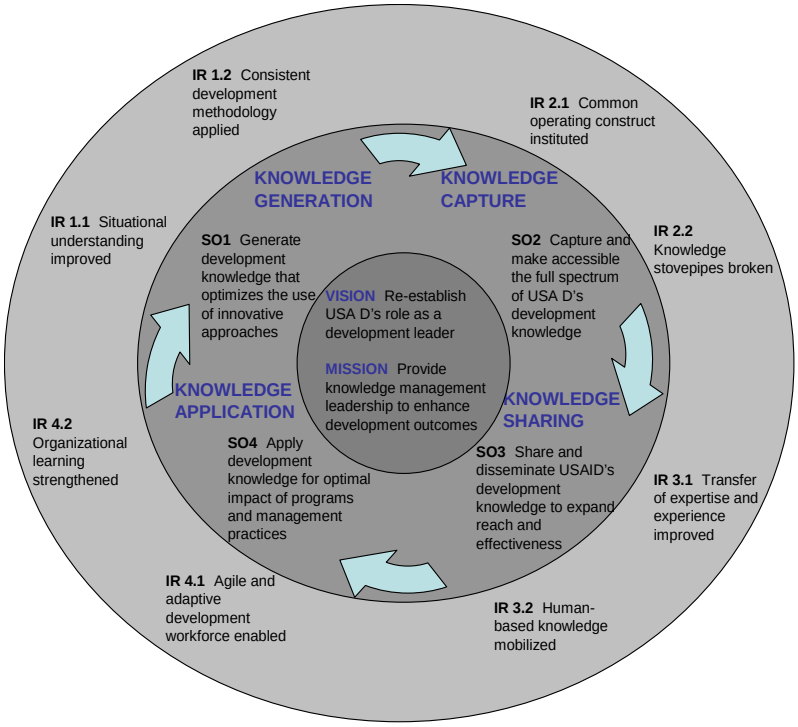
USAID revised both Civil Service and Foreign Service vacancy announcements using career patterns language, highlighting their mission. They are designed to attract a diverse, multi-skilled workforce. Managers and supervisors must review the diversity profile of their office when putting together a vacancy announcement. This ensures the utilization of specific strategies to market positions to targeted audiences. USAID has also been working with Avue Digital Services (AVUE) to utilize career pattern icons. For more information on changes to vacancy announcements for the Foreign Service, see the DLI section; for more information on the changes to vacancy announcements within HR, see the HR Capacity section.

Promoting Knowledge Sharing Across the Agency

USAID's Corporate Training Strategy is focused on enabling all workforce members to engage in teaching, coaching, mentoring, and other methods of expanding their role and the Agency's knowledge/skills base."

During FY 2009 USAID developed a Knowledge Management Strategic Framework that is illustrated below:

Figure 2-9



The purpose of this framework, with its SOs and IRs, is to help re-establish USAID's role as a development leader and to provide knowledge management leadership to enhance development outcomes. The table below summarizes the objectives, activities, and planned achievements.

Table 2-6: Knowledge Framework Objectives, Activities, and Planned Achievements

Objective	Activities	Achievements
Knowledge Generation	▪ Situational understanding improved ▪ Consistent development methodology applied	▪ Agency's core knowledge resources utilized ▪ Supplemental research and analysis conducted ▪ Innovative approaches identified ▪ Technical doctrine adopted ▪ Expertise of development partners incorporated ▪ Appropriate technologies utilized

Knowledge Capture	▪ Common operating construct instituted ▪ Knowledge stovepipes broken	▪ Data management standards applied ▪ Agency-wide documents management instituted ▪ Central repository of Agency experience expanded ▪ Location for operational information established ▪ Appropriate information environments utilized ▪ Retrieval of electronic information enhanced
Knowledge Sharing	▪ Transfer of expertise and experience improved ▪ Human-based knowledge mobilized	▪ Position-specific standard procedures documented ▪ Individual expertise identified and accessed ▪ Collaboration spaces and tools better utilized ▪ Outputs from communities synthesized and accessible
Knowledge Application	▪ Agile and adaptive development workforce enabled ▪ Organizational learning strengthened	▪ On-demand learning strengthened ▪ Mobile Development Officer supported ▪ Regional Centers of Excellence serving as knowledge brokers ▪ "Learning by doing" culture supported ▪ Evidence based decision making expanded ▪ Program reporting in useful and usable formats encouraged

LESSONS LEARNED

Recruitment Outreach

The USAID Outreach and Recruitment Strategic Action Plan: 2007-2009 identifies recruitment for shortage skill areas as a major challenge. The plan is robust and targeted recruitment is yielding great results by: (1) utilizing consulting experts to clarify key schools for recruitment efforts, focusing especially on universities with greater diversity; (2) involving Washington-based USAID technical experts on recruitment trips; (3) leveraging the direct-hire authority for Civil Service Contract and Health Officers; (4) capitalizing on the resources of the U.S. military (retiring military, military leaving service, and military spouses with credentials needed in shortage occupations). More discussion on recruitment can be found in the section on SO 3: Ensure a Diverse Workforce and a Culture of Inclusiveness.

Foreign Service Nationals (FSNs) Retention and Work Attractors

Foreign Service Nationals (FSN) are citizens within the countries that USAID has missions who work to support the USAID Missions in their country of origin. This group of USAID employees constitutes more than half of USAID's workforce and has always faced numerous difficulties. During FY 2009, USAID developed an action plan to help address issues of concern to FSNs such as: a lack of communication between the Agency and the FSNs, inadequate FSN compensation, a need for professional development opportunities, and a lack of adequate benefits, promotion opportunities, career development, and training opportunities. To resolve these issues, the action plan below was created:

Table 2-7: FSN Action Plan

Issue	Actions	Action Required	Responsible	Deadline
Lack of Communication Between and the Agency and the FSNs	Improve communication between the Agency and FSNs.	FSN Representatives to be energized and empowered to communicate with FSN Advisory Council and HR. Use the list of worldwide FSN representatives to disseminate information of interest to FSNs. Send at least a bi-monthly update on the Agency results in dealing with FSN Issues and request feedback.	Sherri Fennell, HR\PPIM Kris Jurjevic, FSN Representative and HR Fellow	Ongoing
Inadequate FSN Compensation	Work with DoS on improving FSN compensation	Raised to DAA level. Continue to provide support in the high level discussions.	Sherri Fennell, HR\PPIM	Ongoing
	Survey	Survey the Missions to: 1. Determine the difference between the actual and desired percentile of comparators compensation in each mission. 2. Determine existence of a severance plan and if it is up to date.	HR and HR FSN Fellows	11/30/09
	Analysis	Analyze all compensation plans worldwide and provide suggestions to the HR where basic elements are missing in order to take action with DoS and identified Missions.		
Need for Professional Development Opportunities and Regularized TDY Opportunities; Lack of Recognition	FSN Senior Advisory Corps (FSN SAC) Implementation	Implementation plan to be developed once concept paper is approved.	HR and HR FSN Fellows	9/30/09
Lack of Adequate Benefits (Pension, Health and Life Insurance Coverage) for FSNs	Determine in which Missions the issues exist and specify the issues.	Analyze the detailed responses on issues identified per Mission in the recent global FSN survey.	HR and HR FSN Fellows	12/15/09
Lack of Promotion Opportunities	Investigate a bonus system for FSNs.	The Agency should investigate methods to provide incentive to individual FSNs based on merit and performance, in addition to the current award system, similar to the existing system for FS and GS scales.	HR/PPIM M/OAA	12/31/09
Career Development	Increase usage of career ladder positions and hiring.	FSNs are hired rank in position and there is no option for regular career development. Still, as a repeated issue, examine the opportunities for better usage of career ladder positions.		
Increase Training Opportunities	Enable more FSNs to participate in Agency leadership programs.	Focus efforts to ensure that FSNs are nominated and prioritized for attendance at leadership training.	HR/TE	Ongoing

FSN Fellowship Program

To support and enhance the professional development of the Agency's FSN workforce, the FSN Advisory Council developed the FSN Fellowship Program. The Program offers developmental opportunities for USAID FSNs to apply their technical knowledge and professional work experience in temporary rotational assignments. The program provides a dual purpose, and while at these rotations, the FSNs also contribute additional technical expertise from the field. Engaging FSNs at headquarters has helped to accelerate analytical efforts and elevated senior manager awareness of issues.

Strategic Objective 3: Ensure a Diverse Workforce and a Culture of Inclusiveness

"Sustain a diverse workforce and culture of inclusiveness by monitoring and continually strengthening diversity-enhancing policies and programs – focusing on diversity beyond compliance, and looking at the subject through leadership, retention, recruitment, as well as the tools that help promote its goals."

Intermediate results include:

- *Leadership commitment to diversity demonstrated and modeled*
- *Diverse workforce retained and developed*
- *Diverse workforce is consistently recruited*
- *Systems and tools that promote diversity, inclusiveness, transparency, and accountability strengthened*

During FY 2009, this Strategic Objective focused on the following initiatives:

- Increasing the diversity of the talent pool
- Managing a fully-functional Civil Service intern program with partnerships with the Hispanic Association of Colleges and Universities, Washington Internships for Native Students, Historically Black Colleges and Universities, and Gallaudet University
- Targeting advertising and outreach in outlets with more diverse audiences
- Ranking in the top 10 Federal agencies on different questions concerning diversity and inclusiveness on the Federal Human Capital Survey (FHCS)
- Establishing Building Bridges program – events that bring one or more affinity groups together to jointly organize events
- Developing a list of training opportunities and action offices for affinity group members

SO3: Ensure a Diverse Workforce and a Culture of Inclusiveness			
FY 2009 Goals	**FY 2009 Actions**	**FY 2009 Results Achieved / Adjustments**	**FY 2010 Goals and Objectives**
Diversity Outreach: ▪ Ensure a diverse workforce and a culture of inclusiveness through recruitment outreach and continual development of staff (ROPC) ▪ Maintain effective recruitment outreach programs (TM)	▪ Implement applicant outreach processes that cast a wide net ▪ Increase diversity of Foreign and Civil Service ▪ Develop internship opportunities for all students	▪ Increased diversity of applicant pools (ongoing) ▪ Managed fully-functional intern program with students from a diverse set of colleges and universities ▪ Attended recruitment events targeted at diverse audiences and ensured hiring officials and managers accompanied recruiters to high potential events ▪ Advertised employment opportunities in targeted outlets geared towards diverse audiences	▪ Expand the number of minority-serving institutions the Agency works with to increase opportunities for all students (TM) ▪ Develop partnerships with the Thurgood Marshall Fund and International Leadership Foundation to increase number of internship opportunities (TM) ▪ Expand targeted advertising (TM) ▪ Leverage internal senior leaders to directly participate in events targeted at diverse audiences (ROPC)
Effectively Managing Diversity: ▪ Ensure performance culture promotes diversity (ROPC) ▪ Implement strategies to address workforce diversity (ROPC)	▪ Implement career development opportunities and programs ▪ Communicate leadership commitment to diversity ▪ Demonstrate processes to sustain diversity through results and metrics	▪ Developed list of training opportunities and action offices for affinity group members ▪ Completed 88% of Executive Diversity Council agenda items ▪ Assigned senior leaders as advisors to affinity groups ▪ Presented diversity survey results and accomplishments at Executive Diversity Council public meeting ▪ Agency ranked 4th out of 43 Federal agencies on the question of managers working well with employees of different backgrounds	▪ Present EOP demographic analysis to each Bureau and Independent Offices (ROPC) ▪ Establish opportunities for rotations to other USG and international organizations (ROPC) ▪ Leverage internal senior leaders as diversity champions (ROPC)

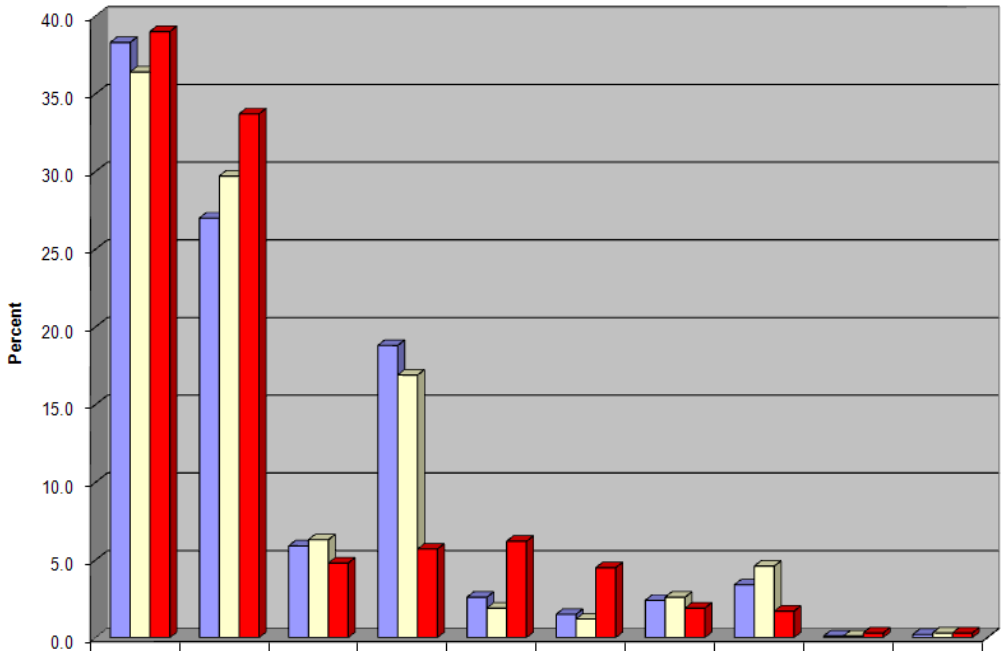
Results

Continued success in the strategic objective of increasing the diversity of the talent pool and retaining a diverse workforce was accomplished as a result of strong senior leadership commitment, and actions of EOP, the Executive Diversity Council, and HR over the past year. The Council was responsible for:

- Supporting USAID's diversity outreach efforts to ensure a diverse workforce and a workplace conducive to fostering diversity and inclusiveness
- Developing and implementing diversity-enhancing initiatives both internally and externally
- Ensuring strategic, positive, and proactive steps are taken to further USAID's commitment to diversity as a core value

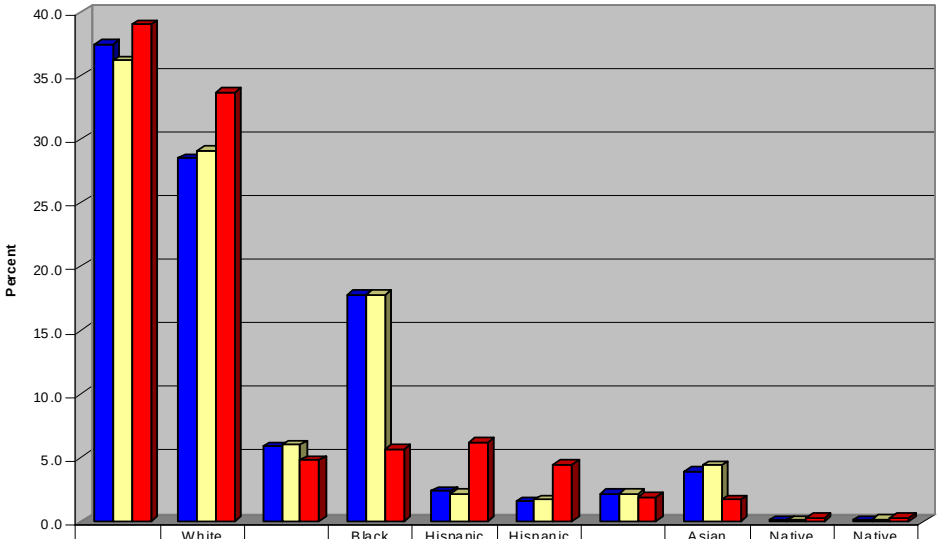
USAID's current diversity profile is shown below, followed by the diversity profile from 2008 for comparison. These graphs demonstrate the increasing diversity of USAID's workforce, but also point to the need for additional work in this area. The last two graphs depict the diversity of both the Foreign and Civil Service, to highlight the diversity across both services.

Figure 3-1: Agency-Wide Diversity Profile as of September 30, 2009



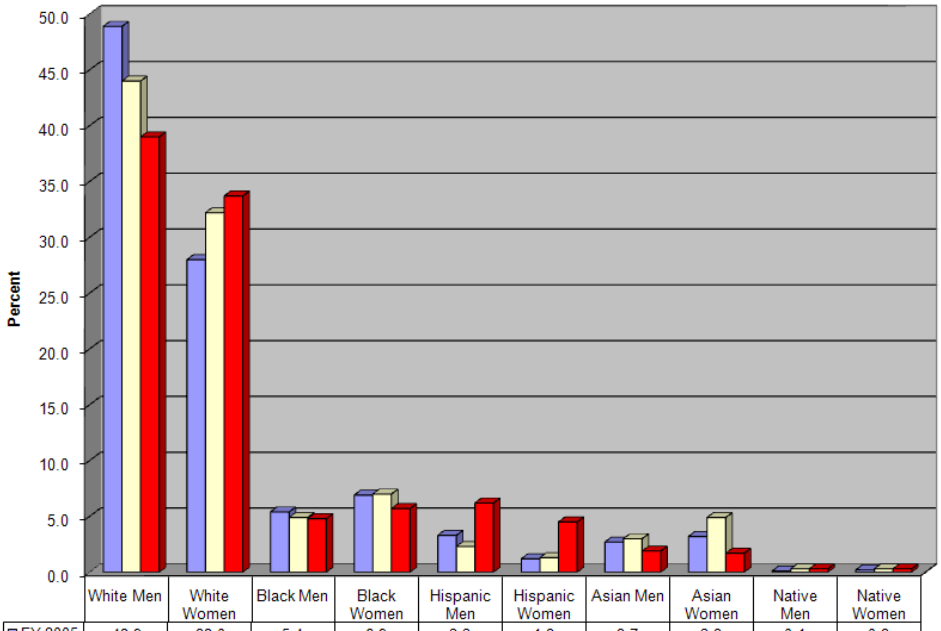
	White Men	White Women	Black Men	Black Women	Hispanic Men	Hispanic Women	Asian Men	Asian Women	Native Men	Native Women
FY 2005	38.3	27.0	5.9	18.8	2.6	1.5	2.4	3.4	0.1	0.2
FY 2009	36.4	29.7	6.3	16.9	1.9	1.2	2.6	4.6	0.1	0.3
NCLF	39.0	33.7	4.8	5.7	6.2	4.5	1.9	1.7	0.3	0.3

Figure 3-2: Agency-Wide Diversity Profile as of September 30, 2008



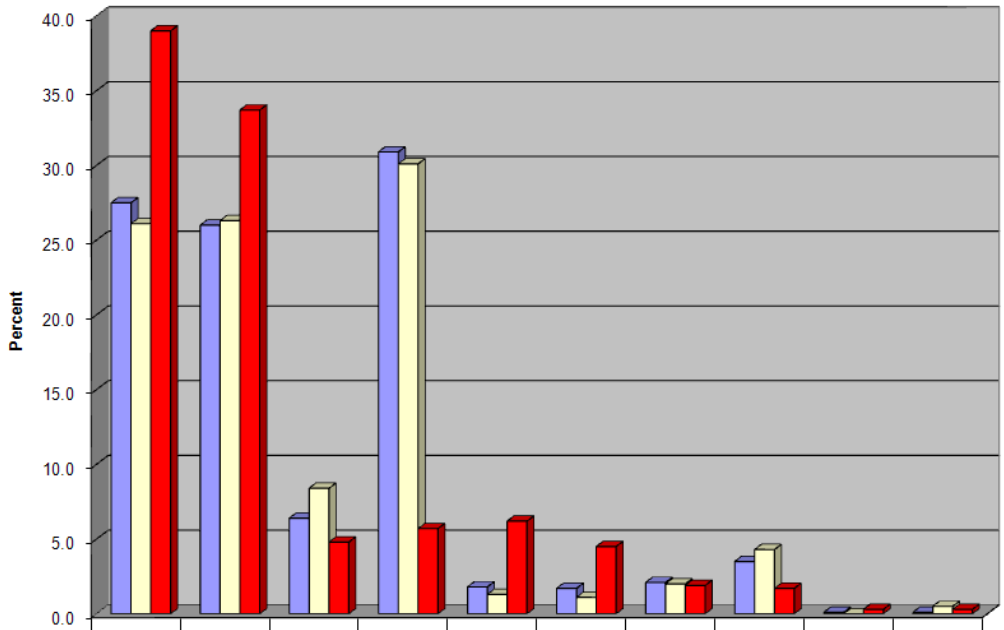
	White Male	White Female	Black Male	Black Female	Hispanic Male	Hispanic Female	Asian Male	Asian Female	Native Male	Native Female
FY 07	37.5	28.5	5.9	17.8	2.4	1.6	2.2	3.9	0.1	0.1
FY 08	36.2	29.1	6.0	17.8	2.2	1.7	2.2	4.4	0.1	0.2
NCLF	39.0	33.7	4.8	5.7	6.2	4.5	1.9	1.7	0.3	0.3

Figure 3-3: Foreign Service Diversity Profile as of September 30, 2009



	White Men	White Women	Black Men	Black Women	Hispanic Men	Hispanic Women	Asian Men	Asian Women	Native Men	Native Women
FY 2005	48.9	28.0	5.4	6.9	3.3	1.2	2.7	3.2	0.1	0.2
FY 2009	44.0	32.2	4.9	7.0	2.3	1.3	3.0	4.9	0.3	0.3
NCLF	39.0	33.7	4.8	5.7	6.2	4.5	1.9	1.7	0.3	0.3

Figure 3-4: Civil Service Diversity Profile as of September 30, 2009



	White Men	White Women	Black Men	Black Women	Hispanic Men	Hispanic Women	Asian Men	Asian Women	Native Men	Native Women
FY 2005	27.5	26.0	6.4	30.9	1.8	1.7	2.1	3.5	0.1	0.1
FY 2009	26.1	26.3	8.4	30.1	1.3	1.1	2.0	4.3	0.0	0.5
NCLF	39.0	33.7	4.8	5.7	6.2	4.5	1.9	1.7	0.3	0.3

The Agency's results can be organized into two general areas: diversity outreach, which focuses on recruiting a diverse pool of candidates and effectively managing diversity, which focuses on retaining and developing employees and creating a culture of inclusion.

Diversity Outreach

The Executive Diversity Council continues to proactively support implementation of USAID's Outreach and Recruitment Strategic Action Plan. USAID's applicant outreach capabilities have always been robust, but a greater focus is now placed on making sure that the search for new talent is as wide as possible. In FY 2009, roughly 80 percent of the Agency's recruitment and outreach efforts were geared towards diversity and ensuring diverse candidate pools.

For example, EOP sponsored Agency participation at several national conferences such as the Society of American Indian Government Employees (SAIGE) Conference, Hispanic Career Advancement Summit, National Image Conference, and others. Also, EOP placed a full-page color advertisement in the Hispanic Association of Colleges and Universities (HACU) Conference program. Internally, EOP invited Christine Griffin (now Deputy Director, OPM) to speak at the Administrator's senior staff meeting about hiring the disabled. As a direct result, HR sponsored a recruitment trip for the CFO to the Rochester Technical Center for the Deaf which resulted in two new hires.

One of USAID's diversity outreach successes this year was the management of a fully-functional intern program comprised of students from Hispanic Association of Colleges and Universities (HACUs), Washington Internships for Native Students (WINS), Historically Black Colleges and Universities (HBCUs), and Gallaudet University. This past year, 18 students participated in the program, which is operational from May through December. The goal of the intern program is more robust than having temporary help for the summer; it is to train, develop, and mentor interns so that they want to stay at USAID. OPM's regulations allow student interns participating in the program opportunities to become permanent employees of the Agency.

For the DLI, USAID has undertaken a number of recruitment efforts. For more information, see SO2: Increase Staff Mobility and Readiness to Rapidly Meet Emerging Priorities.

To continue USAID's success in diversity outreach, the Agency needs to use advertising that is geared towards a more diverse audience. USAID has run marketing campaigns in the following outlets:

- Full page ad in *Tribal Journal*
- Commercial on *News from Indian Country*
- Ads in *Disabled* magazine
- Website banner ads at *Hispanic Network Magazine*
- Ads in *Black Enterprise Magazine*
- Ads on *DevEx*, a website for Development executives

For the upcoming year, USAID will continue to expand working with minority-serving institutions, and will begin partnerships with the Thurgood Marshall Fund and the International Leadership Foundation to increase the number of internship opportunities for minority students. The Agency will also continue to expand targeted advertising campaigns, based on the results of its end-of-year return on investment analysis. Furthermore, as it looks forward USAID will continue to leverage its workforce and encourage Foreign Service officers to participate in more recruiting events.

Effectively Managing Diversity

The Offices of Human Resources (HR) and Equal Opportunity Programs (EOP) are proactively working with employee groups, leveraging their extensive human capital to ensure successful implementation of diversity-enhancing strategies. The Executive Diversity Council has further enhanced the Agency's outreach and diversity initiatives, and meets on a monthly basis; public meetings are held on a semi-annual basis. Meeting minutes are issued and made available to the entire Agency staff via the Agency's diversity website on the intranet. The public meetings are designed to engage employees in a transparent process as partners, ensuring a workforce that is fully engaged in the development of diversity-enhancing strategies.

Building on the foundation established in 2008, the Council, with input from Agency affinity groups and the workforce at large, identified four priority diversity action items to be implemented in 2009. These areas were:

- Increase diversity and inclusiveness communication and outreach
- Ensure Agency policies, procedures, and practices are unbiased and barrier free; career development opportunities/programs are available to all employees

- Enhance accountability for fostering diversity and inclusiveness
- Implement a targeted recruitment program.

Within these activity areas, the Council identified 16 discrete action items with timelines and responsible action agents assigned. Of these 16 action items, the Council, HR, and EOP were successful in completing 14, or 88 percent, of the 2009 agenda. Two action items originally on the 2009 agenda were extended until 12/31/09. The table below provides a list of the Council's accomplishments.

Table 3-1: 2009 Diversity and Inclusiveness Action Agenda

Action Item	Timeline
Diversity and Inclusiveness Communication and Outreach	
Designate senior leaders as advisor to each affinity group	Done
Identify list of commemorative dates and diversity and inclusiveness notices to be issued throughout the year and action offices	Done; Ongoing
Maintain Executive Diversity Council website	Ongoing
Establish Building Bridges Program – Diversity events that bring one or more affinity groups together to jointly organize events	Ongoing
Agency Policies, Procedures, and Practices are Bias and Barrier Free	
Develop, administer, and analyze 2009 Diversity and Inclusiveness Survey	Done
Review recommendations received from FSN fellows	Ongoing
HR & EOP present State of the Union message on diversity and inclusiveness at EDC public meeting	Done
Career Development Opportunities/Programs are Available to all Employees	
Develop list of training opportunities and action offices for affinity group members	Done
Review inclusive development course for DLI intake	Done
Materials identified for offering American Sign Language as training/career development to interested USAID employees	Done
Establish Congressional Fellowship Program and opportunities for rotations to other USG and International organizations	Carried over to 2010
Market Upward Mobility Program for administrative staff to Bureaus and Independent Offices	Ongoing
Increase transparency of application process for CS and FS long-term training and SMG and SES opportunities	Ongoing
Enhance Accountability for Fostering Diversity and Inclusiveness	
Reevaluate incentive award for diversity and inclusiveness	Done
EOP Demographic Analysis presented to each Bureau and Independent Office	Carried over to 2010
Implement Targeted Recruitment Program	
Continue targeted recruitment program to increase diversity including centrally managed internship program	Ongoing

The Council and Agency's efforts have made significant gains, as measured by the 2008 FHCS. The Agency ranked second among 43 Federal agencies in the number of employees who agreed with the statement "Supervisors/team leaders in my work unit are committed to a workforce representative of

all segments of society." USAID ranked sixth out of 43 agencies when employees were asked whether "Policies and programs promote diversity in the workplace." In 2006, only 58 percent of employees agreed with the statement; 2008 results show more than two-thirds (69 percent) now agreed with the statement – an increase of 11 points in just two years.

Furthermore, employee perceptions of an inclusive work environment continue to increase. FHCS results indicate that in 2008, 74 percent of employees agreed with the statement, "Managers/supervisors/team leaders work well with employees of different backgrounds," exceeding the percentage who agreed in 2007 (73 percent), 2006 (72 percent), and 2004 (69 percent). This percentage bested the government-wide average by nine percentage points; USAID ranked fourth out of 43 agencies on this survey item, a jump from 2006 when it ranked sixteenth.

In addition to the 2008 FHCS, USAID administered a Diversity and Inclusiveness Survey probing workforce perceptions regarding diversity and inclusiveness within the Agency in May 2009. USAID has administered this survey biennially since 2004. The 2009 survey included 32 questions, of which 26 had been previously asked in 2007 and was administered to all 9,000 USAID employees (including FS, CS, FSL, FSN, USPSC, Institutional Contractors, etc.). Overall, the survey demonstrated the Agency has achieved a number of significant accomplishments, mirroring many of the positive results from the FHCS. However, the survey results also indicated that the departure of a number of strong senior advocates resulted in a number of setbacks for the Agency's efforts to serve as a model Agency for advancing diversity and inclusiveness.

Specifically, the survey highlighted:

1. The need to leverage the effectiveness of existing policies and programs through an aggressive communication and outreach strategy
2. The need for the Agency to ensure diversity and inclusiveness extends to all employees, independent of employment category
3. The need for senior leaders, managers, and supervisors to lead by example and ultimately should be held accountable for fostering a diverse workforce and a workplace conducive to diversity and inclusiveness

In the coming year, the Executive Diversity Council plans on enhancing accountability for fostering diversity and inclusiveness by presenting EOP's demographic analysis to each Bureau and Independent Office. It will also work to create new channels to promote career development opportunities to all employees, including establishing a Congressional Fellowship Program and opportunities for rotations to other Federal and international organizations.

Modifications, Best Practices, and Lessons-Learned

MODIFICATIONS

Return on Investment Analysis

USAID modified its approach to recruitment and outreach to reach a more diverse audience. Based on the results of a return-on-investment analysis, the Agency is increasing its online presence and focusing advertising efforts in outlets that have a diverse base.

Recruiting Venues

USAID has been actively seeking to attract more diverse candidates to the Agency. For contract specialists, OPM granted USAID direct hire authority because of the critical organizational vacancies in this position. USAID actively recruited at events that are tailored to diverse audiences, such as the Blacks in Government, the National Society of Hispanic MBAs, and the National Black MBA Association conferences. At these events, USAID was permitted to conduct interviews and make job offers on the spot. USAID filled 40 job vacancies over the course of the year, and has achieved its goals for hiring contract specialists for FY 2009.

BEST PRACTICES

The Executive Diversity Council

The Executive Diversity Council has engaged affinity groups directly in planning and support for initiatives the Agency to ensure a diverse workforce and workplace conducive to fostering inclusiveness. This past year, the Council successfully completed 14 of its 16 stated objectives in the targeted areas of communication, Agency processes, career development, accountability, and recruitment.

Veterans Outreach

USAID's FY 2009 very successfully expanded recruitment activities targeting veterans. These included participation in job fairs, national conferences and site visits such as: Careers and the Disabled Magazine Expo for People with Disabilities; Hiring Heroes Career Fair at Walter Reed Army Medical Center; Job Accommodations Network Conference on Accommodating and Employing People with Disabilities; and Employment of People with Disabilities Career Job Fair sponsored by the U.S. Environmental Protection Agency.

Additionally, the Agency continued its partnership with the Department of Defense Operation Warfighter Program (OWF). One disabled veteran was hired and assigned in the Office of Human Resources. The Agency routinely forwards job announcements to military Employment Assistance Offices. Overall, veteran employees increased by 16 from 147 in FY 2007 and to 163 in FY 2008.

USAID continues to take advantage of every hiring opportunity to ensure equal access for veterans to the workforce. EOP staff, HR staff, and management officials continued to collaborate on improving the representation of and the employment opportunities for veterans.

LESSONS LEARNED

Focused Outreach

As seen in the graphs provided earlier in this section, USAID has made great progress in increasing the diversity of its workforce, particularly for Black men and Asian men and women. A lesson-learned is the continued need to tailor and modify the outreach strategy based on feedback and analysis.

Strategic Objective 4: Ensure Employee High Performance through Continual Development and Performance Management

"Improve training, skills development and career development programs, and bolster high-performance incentives."

Intermediate results include:

- *Training and development program offerings enhanced Agency-wide*
- *Career development initiatives maximized throughout USAID*
- *Systems that support and reward performance are improved*

During FY 2009, this Strategic Objective focused on the following initiatives:

- Creating a learning organization by integrating elements of training, mentoring, coaching, 360-degree assessment, and other initiatives to encourage skill development
- Developing the USAID-wide Corporate Training Strategy
- Enhancing the role of the Training Quality Assurance Council (TQAC) to ensure that training is aligned with the mission and Agency
- Creating the Senior Executive Service (SES) Career Development Program
- Piloting course, "*Leadership at Every Level",* to cascade leadership skills throughout the organization and ensure a strong succession pipeline; trained 33% more employees in leadership than in prior fiscal year
- Producing a DVD tutorial for all Foreign Service employees in which the Performance Board shared their insights on the assessment process of employees' contributions
- Preparing performance management briefing materials for the Civil Service that provides guidance to supervisors and employees and providing them on the HR's website
- Improving the performance management system to make more meaningful distinctions between ratings
- Piloting of a non-monetary employee recognition program HR to call out employee achievements from both supervisor to employee and peer to peer

SO4: Ensure Employee High Performance through Continual Development and Performance Management			
FY 2009 Goals	**FY 2009 Actions**	**FY 2009 Results Achieved / Adjustments**	**FY 2010 Goals and Objectives**
Corporate Training Strategy: ▪ Develop a corporate training strategy (TM) ▪ Continue use of the (TQAC) (TM)	▪ Draft the corporate training strategy ▪ Deliver a presentation/briefing on the Corporate Training Strategy to BTEC ▪ Request endorsement of the Corporate Training Strategy and TQAC	▪ Development of the corporate training strategy document ▪ Delivery of the Corporate Training Strategy to BTEC ▪ Addressed the importance of backstop-based competencies and their links to training objectives ▪ Approval of distance learning approaches ▪ Addressed Junior Officer recruitment and training issues ▪ Completion of a web-based training needs assessment covering all employees	▪ Begin to implement details outlined in the Corporate Training Strategy (TM) ▪ Continue to provide training guidance with TQAC (TM)
SES Candidate Development Program: ▪ Create the structure of the program (LKM)	▪ Benchmark other organizations across the Federal government to incorporate best practices ▪ Design 12-18 month program curriculum ▪ Determine how the application process will work	▪ Approval of the SES CDP by BTEC ▪ Tests run in AVUE system to determine application process functionality ▪ Creation of the program curriculum consisting of interAgency training, rotational assignments, and other learning experiences	▪ Obtain approval of the SES CDP by OPM and release a vacancy announcement (LKM) ▪ Pilot the SES CDP with 5-7 participants (LKM)
Leadership Training: ▪ Increase leadership training opportunities across the organization (LKM) ▪ Cascade leadership development skills	▪ Pilot *Leadership at Every Level* to develop the leadership skills of employees at every level of the organization ▪ Reinforce the idea of a continuum of learning pertaining to leadership ▪ Train 267 in the *Leadership*	▪ Conducted two offerings of *Leadership at Every Level* in the Washington, DC area (112 participants) ▪ 22 of 28 leadership training suite participants attended the previous course ▪ Leadership training provided to 33%	▪ Continue to expand leadership training opportunities to employees at every level in the organization (LKM) ▪ Create a modified version of *Leadership at Every Level* for distribution to the field (LKM) ▪ Create an advanced supervision workshop

and opportunities (LKM)	*Development Suite*	more participants then in FY 2008. ▪ Ran an additional *Emerging Leaders Program* (6 offerings)	(LKM) ▪ Offer shorter leadership training opportunities to close skill gaps (LKM) ▪ Continue to reinforce the idea of a continuum of learning (LKM)
Performance Management: ▪ Continue to increase rating differentiation (ROPC) ▪ Continuously align performance appraisal systems with USAID goals (ROPC) ▪ Create meaningful distinctions between ratings (ROPC) ▪ Ensure that employees understand the importance and requirements of performance management (ROPC)	▪ Provide opportunities to educate staff on performance management/appraisals ▪ Meaningfully differentiate between high and low performance ▪ Ensure that performance appraisals are fair and accurate ▪ Submit SES Full Certification package	▪ Improved distinctions in performance within the SES ▪ Developed and delivered performance management briefings for Civil Service ▪ Developed a DVD tutorial and FS Performance Board panel discussion on assessing employees' role in the organization ▪ Ensured that executive performance plans are results-oriented ▪ Received provisional certification on SES system ▪ Created a performance management group specifically related to the SES's unique needs in HR/CSP	▪ Continue to improve distinctions in performance within the SES (ROPC) ▪ Begin evaluating the Performance Management Branch (ROPC) ▪ Continue to increase opportunities to educate staff on performance management/appraisals (ROPC) ▪ Ensure cascaded organizational objectives and meaningful, objectively verifiable measures (ROPC) ▪ Obtain full certification for SES and SLs (ROPC)
Awards and Recognition: ▪ Continue to review and increase performance recognition initiatives (ROPC) ▪ Implement systems to support and reward performance (ROPC)	▪ Increase visibility of employee accomplishments ▪ Review and streamline performance recognition processes ▪ Recognize strong employee contributions ▪ Continually improve pay-for-performance systems	▪ Made the nomination process for the Agency Awards online ▪ Piloted a non-monetary employee recognition program ▪ Continued to provide ratings-based cash bonus awards and SES/SFS pay-for-performance bonuses ▪ Created the Granville-Rahama award for good staff care practices	▪ Continue to market the Incentive Awards Program (ROPC) ▪ Educate managers on the Incentive Awards Program and streamline the process (ROPC)

Results

Focus on Continuous Learning

To rebuild USAID, the Agency is working diligently towards becoming a learning organization. During FY 2009, USAID undertook a number of initiatives to ensure the full integration of training into the organization. Initiatives include:

- Developing a robust Corporate Training Strategy to help facilitate an Agency-wide cultural shift towards addressing critical Agency and individual needs and competency gaps. Central to the Corporate Training Strategy is the transformation of USAID into a learning organization. USAID's Corporate Training Strategy outlines five elements that contribute to the culture of continuous learning: aligning workforce development objectives with those of the Agency, improving performance and expanding "bench strengths," anticipating and closing competency gaps, supporting strategic and tactical changes, and monitoring performance and tactics.
- Working to create a culture in which training, including leadership training, is driven by the Agency's competency management process. USAID is developing solution analysis techniques to propose remedies for addressing employee knowledge gaps and plans to increase the proportion of competency-linked training courses.
- Promoting internal and external career development opportunities, such as strong mentoring and coaching programs.
- Expanding language training to include a greater range of Mission-critical language skills such as Arabic, in addition to assignment specific languages such as Nepali, Bahasan, or Vietnamese.

Leadership Training and Development

The table below shows the Targets/Accomplishments for FY 2009. With the inclusion of the new course, *Leadership at Every Level*, a total of 362 USAID employees participated in leadership training. In fact, the Emerging Leader Program was so popular that USAID ran an additional six offering of the course during FY 2009. The continued success of leadership training has resulted in a 33 percent increase in participants from 2008 to 2009.

Table 4-3: Leadership Development Suite Targets vs. Number Trained

FY-2009 Projections/Trained

Course (# of Classes)	Projected Participants	Actual Participants Trained
Emerging Leader Program (5)	160	176
Leadership Program (2)	60	59
Senior Executive Seminar (1)	20	15
Sub Total	**240**	**250**
New Course: Leadership at Every Level (2)	90	112
GRAND TOTAL	**330**	**362**

During FY 2009, participation in the Supervision Seminar increased by almost 30 percent, from a total of 164 employees to 217 employees. The HR Management Workshop experienced a decrease in participation; HR will revise and update the course content incorporating a more holistic approach to the Federal hiring process.

For the four supervisory training courses, the number of USAID participants in FY 08 and FY 09 is shown below:

Table 4-4: Comparison of Supervisor Training Courses FY 2008 vs. FY 2009

Course	# Trained in FY 08	# Trained in FY 09
Competencies for Tomorrow's Managers	232	286
Rules and Tools of Federal Supervision	33	46
Supervision Seminar	164	217
HR Management Workshop	24	11
Total	**453**	**560**

USAID's participation in the joint State-USAID Civil Service Mentoring Program continued to grow and expand in FY 2009. During the FY 2009-2010 program, there are 45 mentors and 52 mentees. Senior employees in USAID provide mentoring to create a more robust leadership pipeline, and are seeking to make mentoring a valued corporate process.

Performance Management

USAID recognizes that the skills of its employees determine how well the Agency performs its overall mission. Rebuilding USAID requires the Agency to retain employees on the basis of their performance; provide support to improve poor performance; and recognize excellence in performance. Federal Human Capital Survey (FHCS) data indicate that over 70% of employees agree that performance appraisals are fair and accurate. This level of positive response was the fifth highest of the 43

agencies who participated in the FHCS. One of USAID's primary goals is to establish a more marked distinction between levels of performance for all employees, and it has made small improvements in this area. Sixty-five percent (65%) of employees indicated that they understood what they needed to do to be rated at different performance levels.

SES Performance Appraisal System

USAID's emphasis on drawing meaningful distinctions within the SES Performance Appraisal System has produced consistent overall performance rating differentiation. Rating distributions since 2005 are illustrated in the table below:

Table 4-5: SES Ratings Distributions

Final SES Ratings Distribution (Percentages)						
Year	**Outstanding**	**Exceeds Full Successful**	**Fully Successful**	**Minimally Satisfactory**	**Unsatisfactory**	**Not Rated**
2005	52.6%	31.6%	15.8%	-	-	-
2006	52.6%	36.8%	-	-	5.3%	5.3%
2007	54.5%	27.3%	9.1%	-	-	9.1%
2008	64.7%	35.3%	-	-	-	-

Final SES Ratings Distribution (Actual Values)						
Year	**Outstanding**	**Exceeds Full Successful**	**Fully Successful**	**Minimally Satisfactory**	**Unsatisfactory**	**Not Rated**
2005	10	6	3	-	-	-
2006	10	7	-	-	1	1
2007	12	6	2	-	-	2
2008	11	6	-	-	-	-

High-Performance Incentives

USAID's continued performance management program enhancements are coupled with new employee awards and recognition programs designed to highlight the link between positive performance and employee recognition and ultimately lead to the accomplishment of USAID's mission. During FY 2009, USAID made the following improvements to its incentives program. USAID introduced the Granville-Rahama Award for staff care. The Granville-Rahama award was established in honor of two employees killed in Sudan and serves to encourage Agency employees to advocate for good staff care practices around the world.

Corporate Training Strategy

Given the challenges that USAID faces, the Agency developed a Corporate Training Strategy as a roadmap for re-engineering the Agency's overall approach to training and career/professional development. This approach focuses on USAID being a knowledge-based organization that values continuous learning, and recognizes that investments in learning should span formal, informal, and blended learning opportunities that incorporate the most appropriate strategies and technologies.

The Corporate Training Strategy is designed to:

- Align workforce development objectives with those of the Agency
- Improve performance and expand "bench strength"
- Anticipate and close competency gaps
- Support strategic and tactical changes
- Monitor performance and tactics, and make adjustments as appropriate

In addition, the strategy is meant to increase the effectiveness of training across the Agency, reduce unnecessary duplications of effort, standardize the course approval process, continue to promote operational readiness, and address the Agency's continued need to meet both current and future objectives with a bimodal workforce of senior level employees and junior level employees. With the most experienced workforce retiring or reaching retirement age, training and development will play an ever more important role in getting new employees up-to-speed.

The table below highlights the strategic goals, the key objectives to be met, and the tactical activities to be completed. Note that the strategic goals outlined in the table below are aligned with the USAID Human Capital Strategic Plan.

Table 4-1: FY 2009 Corporate Training Strategy Details

Strategic Goal	Objective	Activity
Training and development program offerings enhanced Agency-wide	Offer best-in-class, targeted employee development programs that close competency gaps and enhance performance	▪ Examine current training to determine if a more technical solution/blended approach might make training more widely available ▪ Deliver training solutions aligned with the learning styles of all customers ▪ Incorporate Web 2.0 platforms and strategies ▪ Conduct an Agency-wide training needs assessment ▪ Produce a training and development inventory Agency-wide ▪ Develop specialized training in subjects such as partnering and interpersonal skills
	Support continuation of Agency-wide LMS to increase learning and employee development	▪ Increase LMS functionality by building on the competency management tool and rolling out the Expertise Locator module ▪ Communicate and market the LMS
Career development initiatives maximized throughout USAID	Reinstate an in-house HR Career Development staff that offers and coordinates, career counseling for all staff	▪ Reinstate an HR-based career development service ▪ Produce a career path map for Mission Directors, and a normative model for promotion to the SFS ▪ Initiate electronic IDP function to allow staff to set and monitor goals
	Provide additional career development activities	▪ Configure, pilot, and launch the 360 Multi-rater Feedback System for the FS SMG ▪ Market mentoring and coaching programs more aggressively ▪ Extend incentives and awards to the coaching and mentoring programs

SES Candidate Development Program

To support leadership development for the highest levels of the organization, USAID designed an SES CDP. The SES CDP is a competitive program to select Civil Service employees for development for SES positions and is the first initiative of this type for the Agency. Participants in the program compete for the development opportunity. After they have completed the program, they may be certified by OPM if they have met all of the Executive Core Qualifications (ECQs) and Fundamental Competencies.

USAID has been benchmarking other organizations across the Federal government including the Environmental Protection Agency (EPA), Department of the Interior, and the Department of Energy (DOE) to incorporate best practices into their SES CDP. Between five and seven participants are anticipated to be enrolled in the first installment of the program, which will be piloted next year.

The SES CDP is a program designed for GS-15s. It will be a 12 –18 month program consisting of:

- 80-hours of inter-agency training experience, which may consist of programs put together at Harvard University or Federal Executive Institute (FEI).
- A minimum of four months in a rotational assignment either in a different part of USAID or outside of the Agency. The rotational assignment must be tied to developing the OPM ECQs.
- A combination of additional learning experiences, which may include specific projects, reading, or other assignments.

Currently, USAID's BTEC has approved the SES CDP, and the Agency is now creating the finalized program plan and policy for OPM's approval. In addition, tests are being run in the AVUE system to see how the application process will function, as many applications are expected for only a few positions.

Modifications, Best Practices, and Lessons-Learned

Modifications

Senior Management Group (SMG) Automation

To further improve the selection process for filling senior management positions, USAID is now seeking more automation of the application process (SMG positions are the senior-most foreign service designated positions; for Washington they include Deputy Assistant Administrators, Office Directors, and selected Division Chiefs for Independent Offices reporting directly to the Administrator; for overseas, they include Mission Directors, Deputy Mission Directors, and AID Representatives). During FY 2009, the SMG reforms included a candidate self-evaluation by OPM Executive Core Qualities (ECQs), 360-degree feedback, and an analysis of the skill set required by the position against the skill set demonstrated by the candidate. With the automation of the 360-degree feedback process, anyone who is interested in a position and wants to make a bid can send an email with a list of individuals who should provide feedback. Emails are then auto-generated and sent to these individuals and others that are suggested by "first tier" recommended sources, soliciting feedback on competencies.

Performance Appraisal

USAID continues to make steps to ensure that performance plans are:

- Focused on being results-oriented, linking individual performance to Agency mission, concrete outcomes, and achievable results
- Cascaded throughout the organization

In addition, communication and training initiatives have stressed the importance of executive performance plans and also focusing on having alignment and cascading results. These improvements led USAID to obtain provisional certification from OPM, with OMB concurrence, for the period of October 2009 through September 2010.

USAID's SES performance appraisal system applies to all USAID SES employees serving under Career, Non-Career, Limited Term, and Limited Emergency Appointments, including those with the Office of the Inspector General (OIG).

In FY 2008, OPM provided a number of recommendations to improve USAID's SES performance appraisal system. In FY 2009, USAID successfully addressed these recommendations by creating benchmark descriptions for the "Fully Successful," "Exceeds Fully Successful" and "Outstanding" levels of performance. These changes will provide additional information to senior executives regarding expectations and will assist rating officials in making more meaningful distinctions in performance.

Leadership Development Suite

For FY 2010 and beyond, USAID will continue the emphasis on leadership training for current and future leaders. USAID is developing new content and piloting courses, starting in FY 2009, to promote the idea of 'leadership at every level'. The expansion of leadership training will open up opportunities to an even wider audience and provide critical development of competencies around leadership and individual accountability to address the needs of a new workforce. In addition to new, relevant topics, HR is reviewing new delivery methods that employ the use of technology to support increased use of distance learning. Future courses under consideration include, to name a few, emotional intelligence, generational differences, resilience, and team building.

BEST PRACTICES

Incentives for High Performers

This past year USAID introduced electronic documents for its Special Awards Committee review. This new electronic process, in addition to the online publication of the Agency Award Booklet and the electronic nomination system, are helping to create a faster, more streamlined employee recognition process. Furthermore, the addition of the online and in-house printing of the awards booklet has saved USAID more than $25,000 over the past two years.

Training Quality Assurance Council (TQAC)

The use of TQAC is a USAID best practice. The TQAC, an advisory body comprised of a representative cross-section of USAID senior staff, takes a holistic approach to analyzing training across the Agency and meets regularly to:

- Discuss training needs and authorize training needs assessments
- Recommend protocols and procedures for determining training priorities
- Manage quality assurance
- Ensure that training opportunities are aligned with the Human Capital Strategic Plan, workforce planning process, and leadership succession program
- Facilitate content sharing in order to ensure maximum efficiency and applicability of all USAID training

Recently, TQAC addressed the importance of backstop-based competencies and their links to training objectives, endorsed the proposal to establish a training center in Asia as a cost-effective means for delivering expanded training, approved additional distance learning approaches, and addressed issues of Junior Officer training.

Currently, TQAC is also working with a contractor to create an inventory of all of USAID's trainings across the Agency. Training opportunities will then be cross-walked with the LMS. Cross-walking training opportunities enables USAID to standardize training offerings, ensure the quality of the training courses, eliminate redundant training content and streamline and revise to reflect the Agency's current needs.

Leadership Training at USAID

Another best practice is tying USAID's leadership development programs and training courses to OPM's ECQ Leadership Development Model as the framework for building leadership skills and competencies. USAID uses the competency model to cascade leadership competencies from the executive level of the organization down to managers, supervisors, and employees. This is particularly relevant to the succession of an organization as it develops employees for leadership and supervisory roles and responsibilities they will be facing during their careers.

To ensure that the current pipeline of employees is prepared and qualified to fulfill their duties, USAID has developed the Leadership Development Suite of training. USAID's leadership development suite currently includes three courses: *Emerging Leadership Training* geared to GS-13/FS-3 level employees, *Leadership Program* for GS-14/15 and FS-2/1 level employees, and the *Senior Executive Seminar* for SES and SFS.

Graduates of the *Senior Executive Seminar* receive follow-up coaching based on the results of a 360-degree assessment taken during the seminar. Nine to twelve sessions of one-on-one executive coaching are offered to each of the participants who are often Mission Directors, members of the Senior Foreign Service, and members of the Senior Executive Service. Executive coaching is so popular that some offices are looking to make coaching available to their staff, and is clearly a best practice that merits expansion.

Performance Appraisal

The USAID Performance Management Branch was established two years ago to standardize Agency-wide performance management requirements and practices. This year, rather than distributing written comments from the Foreign Service Performance Board members, USAID created a 25-minute DVD tutorial and panel discussion of 2009 FS Performance Board members engaging in dialogue on what they considered important in making a fair assessment of employees' contributions. The topics discussed included the employee's role in the organization, work objectives, mid-cycle reviews, and completing fair assessments. HR posted the discussion to the HR website and provided the DVDs to all overseas missions.

During FY 2009, the Civil Service had more success with managers and supervisors compliance with performance appraisal submission deadlines. Frequent reminders and follow up with specific supervisors by the Performance Management Branch staff contributed to improvements, although continued efforts and encouragement of the Civil Service supervisors to complete their performance appraisals on-time is required.

For the Civil Service, USAID prepared a performance management (PM) briefing/guide and posted it on the HR website to educate employees on USAID PM system requirements and supervisor and employee responsibilities. Additionally, USAID conducted training for supervisors in managing performance, emphasizing PM requirements, addressing poor performance, and taking performance-based actions.

LESSONS-LEARNED

Mentoring

HR/TE is committed to promoting mentoring and coaching as important knowledge sharing activities. The joint State-USAID Mentoring Program helps to mediate the loss of institutional experience and memory that is the result of increased retirements throughout the organization.

Revisions to the SES Performance Appraisal System

During FY 2010, USAID will strive to create even more meaningful distinctions between performance ratings based on the benchmark descriptions for "Fully Successful," "Exceeds Fully Successful," and "Outstanding" defined in FY 2009. Again, during FY 2009, USAID received provisional certification for its SES performance appraisal system and will focus on implementing OPM's recommended improvements in order to obtain full certification next year.

Strategic Objective 5: Provide First Rate HR Services and Tools to Support USAID's Mission and Increase Efficiencies

"Increase HR capacity and efficiency through hiring, planning, and enhancing use of technology."

Intermediate results include:

- *HR staffing aligned to mission needs*
- *HR technology is expanded, improved and integrated*
- *HR processes are streamlined and improved*

The accomplishments of this strategic objective include:

- Recruiting, hiring, and on-boarding of 337 new Foreign Service Officers (FSOs) under the Development Leadership Initiative (DLI)
- Producing a roadmap to reduce the Civil Service time to hire from 165 days to 80 days in compliance with the OPM End-to-End (E2E) Hiring Initiative
- Enhancing the Consolidated Workforce Planning Model (the Model)
- Bringing online the Expertise Locator (under succession planning module) and 360 feedback functionality in the Learning Management System (LMS)
- Completing IT and other preparatory work necessary to pilot use of electronic Individual Development Plans (e-IDPs) in the LMS to ensure employee training gaps are identified and developed
- Achieving positive results on two audits/evaluations
- Improving recruitment and selection processes for the new Foreign Service Officers (FSOs) Development Leadership Initiative (DLI)

SO5: Provide First Rate HR Services and Tools to Support USAID's Mission and Increase Efficiencies

FY 2009 Goals	FY 2009 Actions	FY 2009 Results Achieved / Adjustments	FY 2010 Goals and Objectives
Increased HR Capacity: ▪ Maintain and improve time to hire from start of recruitment process to job offers, and security clearance process to entry on duty for both CS and FS (i.e., E2E Hiring Initiative). (TM) ▪ Establish a hiring contract as necessary to perform administrative and logistical tasks involved in the increased FS hiring and on boarding process. (A)	▪ Evaluated effectiveness of recruitment efforts	▪ Successfully recruited, hired and on-boarded the hires from the DLI ▪ Enhanced the Consolidated Workforce Planning Model ▪ Met End-to-End Hiring Initiative goals for September 2009 ▪ DLI Recruitment Process Evaluation/Review completed	▪ Hire the HR professionals needed in the rebuilding of USAID (A) ▪ Continue to increase HR capacity as a strategic consultant and maintain responsibility for basic HR processes (A) ▪ Increase capacity for Business Process Improvement using 'swat' team approach. (A) ▪ Increase the number HR staff who have taken HC Evaluator training ▪ Augment audits with ad hoc evaluations and/or conduct BPI to address specific processes as identified
Modernized Business Processes: ▪ Finalize Electronic IDPs for 70% of CS and FS employees (A)	▪ Conducted competency assessments for three occupational groups ▪ Created and maintain a tracking system of recruitment activities and analyze efforts for effectiveness and barrier to equality of opportunity ▪ Deployed all functions of the AVUE system related to classification and staffing ▪ Implemented new components of OPM's e-OPF project as appropriate	▪ Addition of succession planning and 360 feedback functionality of LMS ▪ E-IDP function implementation work targets met ▪ Rolled out annual evaluation tracking system to track CS and FS ▪ Increased staff in IT management ▪ USAID worked with CIO to update HR website with new software ▪ Working on the OMB Health and Wellness initiative, identifying and promoting the Agency's and administration's initiatives on wellness and employee satisfaction.	▪ Begin work to create new HR information system: assess/define requirements for HR LOB (A) ▪ Improve the HR information system for recruiting and staffing (A) ▪ Ensure funds to set up IT strategy (A) ▪ Continue to improve WebPass accuracy ▪ Roll out e-IDP linked to competency assessments

Results

Particularly in the context of the effort to rebuild USAID, one of the main goals for 2009 and beyond is to increase the capacity of HR to provide first-rate HR services and tools to support USAID's mission. The greatest accomplishment of FY 2009 was the HR-led Agency-wide Development Leadership Initiative (DLI) that recruited and on-boarded 337 highly talented officers by the end of FY 2009. Additionally with regard to the Civil Service, USAID completed the End-to-End (E2E) Hiring Initiative September 2009 targets. USAID's E2E Swat Team created a hiring process map (*USAID Projected Hiring Model)* that when implemented will reduce the hiring time to 80 days (from 165 days). USAID also revised five mission-critical vacancy announcements (and will complete five more by the December 2009 due date). The first five included: Contracts Specialist, HR Specialist, Management Program Analyst, Public Health Advisor, and Systems Accountant. In addition, during the past year HR hired roughly 40 new full time employees and contractors to increase staff to approximately 100. For more information on recruitment and hiring initiatives, please review SO2: Increase the Staff Mobility and Readiness to Rapidly Meet Emerging Priorities.

The new employees that were hired by the Agency have the right skills to succeed at their jobs. Results from FY 2008's Federal Human Capital Survey indicate that USAID employees believe that their "work unit is able to recruit people with the right skills." USAID scored more than 10 points above the 2008 government-wide average.

During FY 2009, USAID completed the implementation work necessary to bring online the electronic Individual Development Plan (e-IDP) functionality in LMS. When operational in FY 2010, e-IDP will be integrated into the competency assessment process so that when an employee completes the assessment an e-IDP will be generated. Specifically, learning and development opportunities will be suggested to employees that are most appropriate for the individual's goals based on the assessment and the employee can register for the course from the e-IDP.

During FY 2009, three occupational groups conducted competency assessments in LMS. Overall, response to the competency management system is very positive with many organizations eager to be next in line to get their competencies developed and loaded into LMS. As a result, we ended FY 2009 a year ahead of schedule on this important effort.

Additional HR achievements during FY 2009 include:

- Rolled out annual evaluation tracking system to track Civil Service and Foreign Service
- Increased staff for HR IT management
- Improved HR website resulting from collaboration with CIO to update site with new software
- Worked successfully on the OMB Health and Wellness initiative, identifying and promoting the Agency's and administration's initiatives on wellness and employee satisfaction
- Scheduled brown bag sessions to educate workforce on numerous initiatives and regulatory requirements to promote ELR in a positive manner and to reduce grievances and EEO complaints
- Resurrected Labor/Management Committee to build a better working relationship with the Union hosting potluck with ELR and Union officials

- Built strong relationship with Department of State Employee Consultations Services (ECS) working to educate employees on the Employee Assistance Program and ECS services
- Developed a presentation for new HR employee orientation to educate new employees on the five divisions of HR

HC/HRM and Recruiting Self-Audits

USAID is continuously striving to improve its Human Resources Management programs through its accountability system. A key component of the Agency's accountability system is a sound independent audit and evaluation program. In FY 2009, USAID conducted two audits/evaluations to ensure that the Agency is operating efficiently, effectively, and in compliance with rules and regulations. Both audits found that actions taken since last audit successfully dealt with deficiencies/issues identified previously and no new issues were identified.

One of the audits was the FY 2009 Strengthening Agency Accountability Follow-Up Evaluation for Leadership and Knowledge Management (L&KM) Audit. The evaluation was required as a follow-up to the 2008 self-audit that found serious issues affecting USAID's L&KM system's operational efficiency and program effectiveness. No compliance issues were cited. The evaluation team's overall assessment of the Agency's L&KM activities was 'green' and the next evaluation is set for FY 2011.

L&KM is critical in our effort to rebuild USAID, both in terms of expanding the size of the permanent FS officer corps and the use of competency management tools such as e-IDP and the Expertise Locator. Some of the key Agency strengths that were identified were:

- The development of the USAID Corporate Training Strategy
- On-going marketing outreach
- Competency development for Foreign Service and Civil Service occupations (a year ahead of schedule)
- The Beta Expertise Locator was developed and tested and is slated to move to production in mid-FY 2010. It met with favorable reviews from clients who were asked to participate in design testing and a reference group.
- The 360-degree feedback module integrated into the Senior Management Assignment Process
- HR/TE conducted an Agency-wide Training Needs Assessment
- CIO/KM developed an even more robust suite of tools

The evaluation team made two key recommendations. The first is to ensure that ethical decision-making is a permanent part of the Agency's Senior Leadership curriculum and is in a manner that is agreeable to both HR/TE and the Agency's Ethics Officer. The second recommendation was for HR/TE to become a more vocal advocate for knowledge management by actively pursuing additional joint ventures with CIO/KM and supporting KM/CIO resource requests, possibly by integrating modules on knowledge management tools into core Agency courses.

The Agency conducted a second self-audit covering the *Foreign Service Recruitment and Hiring Program*. This was a follow-up to the Agency-led audit conducted in May 2007, which found serious challenges in the operational efficiency and effectiveness of the Foreign Service Recruitment and

Hiring Program. Despite some continuing challenges, the FY 2009 Audit found notable improvements since 2007. The audit team's overall assessment was green, with the program operating in accordance with the merit system principles (MSPs), laws, rules, regulations, and Agency procedures. According to the HC audit/evaluation schedule, the next FS Recruitment and Hiring audit will occur in FY 2012.

Modifications, Best Practices, and Lessons-Learned

MODIFICATIONS

Increasing HR's Capacity as a Strategic Partner

HR increased its capacity to play the role as a strategic partner not only in the strategic planning arena but many other venues. HR worked with stakeholders at OPM on work/life quality and ELR issues, worked to implement the OMB/OPM Health and Wellness initiative, and continued its highly productive relationship with State's ECS to educate employees on the Employee Assistance Program and ECS services.

USAID employees across the organization are able to attend the new employee orientations sessions sponsored by HR, as well as brown bag sessions designed to educate the workforce on new initiatives and regular requirements. The Labor/Management Committee was resurrected and a potluck was hosted with the USAID union to improve the working relationship between ELR and union officials. Throughout these efforts, USAID continues to cross-train its employees to ensure a sustainable and flexible organization.

For more information on balancing the role between functioning as a strategic partner and an operations professional, please see the SO5 Lessons-Learned section.

SES Recruitment and Performance Management

As a result of an internal assessment, HR shifted the responsibilities for SES recruitment and performance management to the Civil Service Personnel Division. Also, to ensure consistency and meaningful distinctions in ratings, between each ranking category: "fully successful," "exceeds successful" and "outstanding," the Agency added the criteria to the appraisal form.

Implementing e-IDPs Linked to Competency Assessments in LMS

To rebuild and prepare itself to meet the challenges of the 21st century, USAID seeks to cultivate new and enhanced skills to develop its workforce. During FY 2009, HR determined based on feedback from groups who had done competency assessments in LMS, that implementing the electronic-IDP (e-IDP) linked to the assessments would make the assessments more relevant to employees. HR/TE team completed work necessary to implement the e-IDP function of the LMS (in Q3 FY 2010). E-IDP will allow all staff to set and monitor their career goals based on individual competency assessments. E-IDPs will ensure that employee learning opportunities are aligned with their needs and will provide immediate registration for courses.

Training on Technology Systems

New employees are now receiving standard training on NFC Employee Page. In this training, employees learn how to: get their Earnings and Leave Statements, update their TSP contributions, change their tax withholdings, etc. However, this training should be made broader to include all HR e-systems such as the LMS.

BEST PRACTICES

Success in Recruitment and Hiring Practices under the DLI

During FY 2009, USAID made significant improvements in the successful recruitment and on-boarding of new employees under both the DLI and E2E (E2E changes to be implemented in FY 2010). By the end of FY 2009, USAID hired a total of 337 new Foreign Service officers under the DLI program.

E2E SWAT Composition

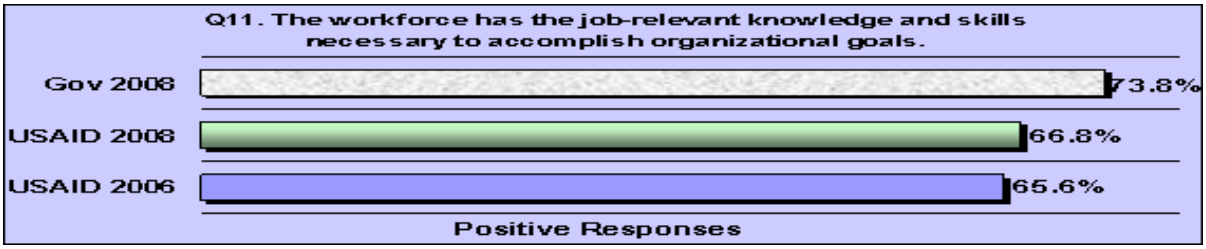
During FY 2009, USAID undertook efforts to streamline the Civil Service hiring process via its E2E SWAT and quickly came up with a roadmap to reduce the hiring time period to 80 days from approximately 165. The SWAT Team, led by the DAA/DHCA, the *USAID Projected Hiring Model,* identified barriers to the process, and assisted HR in creating an action plan to remove the barriers and monitor progress. The single greatest contributor to the speed with which the group achieved its goals was its composition. All parties in the process were represented and committed to the goals of the effort. For more discussion on E2E, please see SO2: Increase Staff Mobility and Readiness to Rapidly Meet Emerging Priorities.

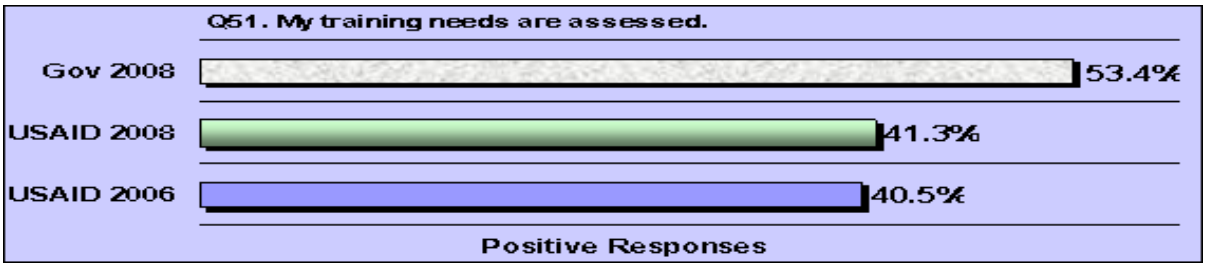
New Employee Surveys

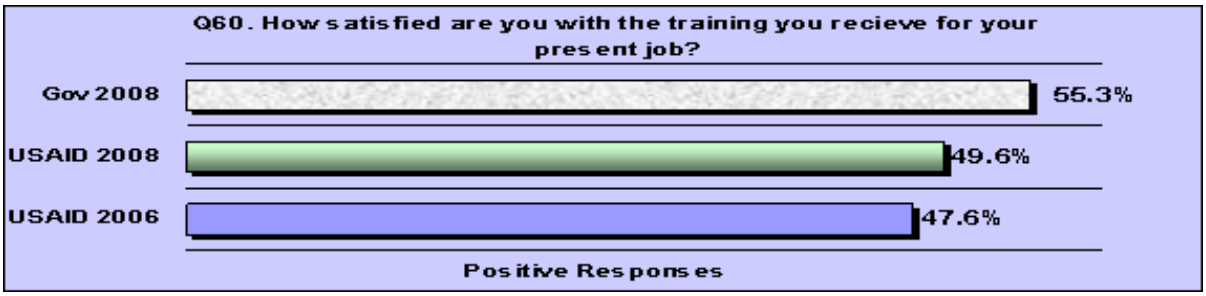
HR Accountability team created a new hire survey for the DLI and conducts it 90 days after a new DLI class entered on duty. The survey covers recruitment, selection, on-boarding and orientation activities. On average 55 percent of applicants participated in the survey and provide excellent feedback which fuels continuous improvement efforts. It also designed a similar survey for CS new hires which the Civil Service Personnel Division now conducts and assesses to improve the recruitment and on-boarding practices.

Training Needs Assessment

The 2008 Federal Human Capital Survey (FHCS) results placed USAID below the government-wide average on the following items: "the workforce has the job-relevant knowledge and skills necessary to accomplish organizational goals", "my training needs are assessed", and "how satisfied are you with the training you received for your present job?" As a consequence, USAID's positive response rate was below the government-wide average for the Talent Index.







Using a combination of a survey (web-based and provided to all employees) and focus groups, USAID developed and completed during FY 2009 an Agency-wide training needs assessment to analyze existing training courses and identify current training needs. Civil service, Foreign Service, Foreign Service Nationals, supervisors and non-supervisors were all encouraged to take the needs assessment survey.

The needs assessment, when coupled with mapped and assessed competencies, will provide a robust source of data for planning learning interventions and initiatives. HR and other Agency staff participated in a seminar on planning and conducting future training needs assessments with little or no contractor assistance. HR plans to undertake the next assessment in FY 2011.

LESSONS-LEARNED

Balancing the Consultant and Operational Roles within HR

The focus on increasing HR's consultative capacity has impacted on the operational responsiveness of HR. HR transactional responsibilities must remain one of the primary focuses of HR, and the Office will focus significantly on customer service in FY 2010. To play the dual role of strategic consultant and also excel at the basic HR processes to meet customer needs, HR will recruit additional staff in FY

2010. HR will also look to State and other similar public and private sector organizations to analyze practices that they are using to improve our business processes (effectiveness and efficiency).

Upgrading the LMS

Since 2007, USAID has been implementing and upgrading the LMS system. HR is currently trying to gain better traction within the Agency for employees to use the LMS. According to the Corporate Training Strategy, an aggressive communications and marketing program will be planned and implemented, touting features of the LMS, user-friendliness, and comparing it with similar training and talent management systems employed in award-winning private sector companies.

Increase use of Core, Agency-Wide Training Opportunities

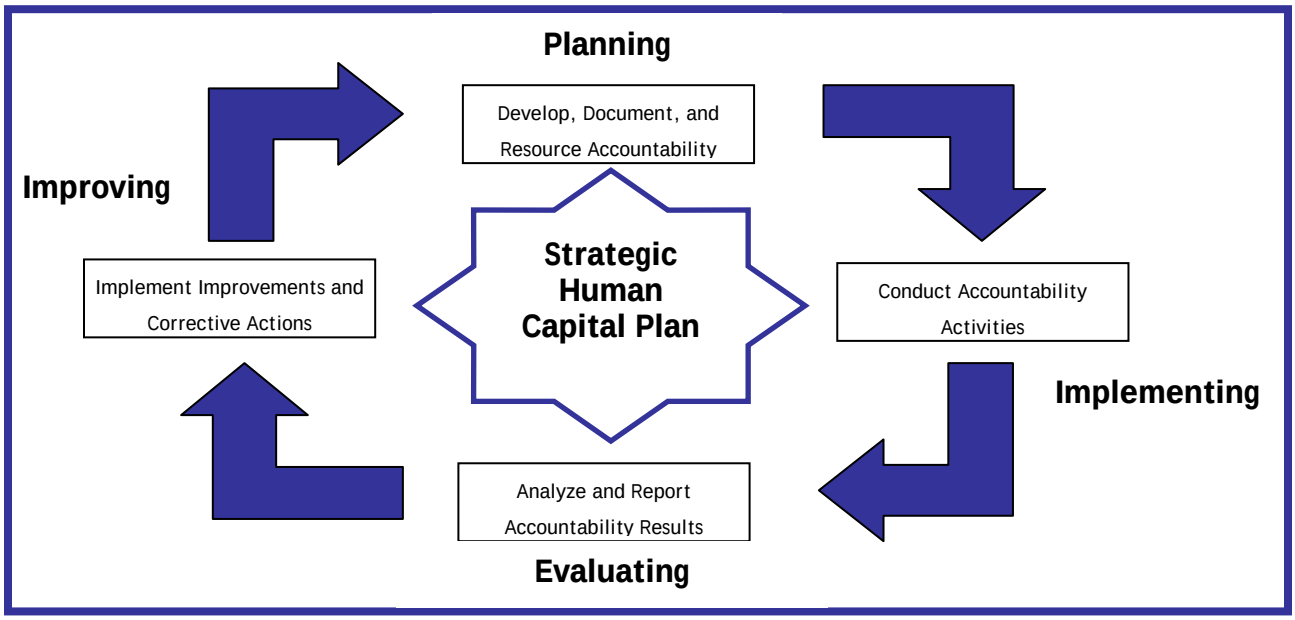
Within USAID, each Bureau and Independent Office (B/IO) designs its own learning strategy and implementation plan, tailored to their needs. These programs tend to be produced with outside contractor assistance using a variety of training approaches. Presently, cooperation, coordination, and shared learning activities are completed on an *ad hoc* basis. As a result, learning and development is not seamlessly integrated throughout USAID. The Corporate Training Strategy provides the framework for a more integrated, systematic approach to learning and professional development, one that promotes effective performance and reduces inefficiencies.

Improving Employee Work-Life Balance

Results from the FY 2008 FHCS indicate that USAID will need to increase its focus on employee work-life programs. On the FHCS, 23 percent responded that they are satisfied with work-life programs such as health and wellness, employee assistance, elder care, and support groups. In addition, 26 percent responded that they are satisfied with their telework/telecommuting arrangements. While USAID's results are similar to that of other Federal agencies, the Agency should still search for ways to improve work-life programs and telework during FY 2010. Identifying strategies for improvement will help USAID prepare for upcoming civil service growth and improve employee retention.

HC ACCOUNTABILITY

Figure 5-1 Human Capital Accountability System (OPM Diagram)



USAID's Accountability System

USAID's Human Capital (HC) Accountability System provides a consistent means to monitor and analyze Agency performance on all aspects of Human Capital Management policies, programs, and activities by identifying and monitoring necessary improvements and thus directly supports SO5. The Agency's system of accountability meets OPM's requirements for a sound human capital accountability system. USAID's Human Accountability System ensures that:

- USAID's human capital policies, programs, and practices support mission accomplishment and further the goal of rebuilding USAID.
- Human Capital and Human Resource Management (HRM) programs and practices are efficient, effective, and merit-based.
- HR authorities capitalize on available HR tools and flexibilities.

Key to the USAID HC System is the Agency's HC Accountability Plan which has two components: the Performance Management Plan (PMP) and the Program Compliance and Assessment Plan (PCAP). The PMP focus is on evaluating the execution of the Human Capital Strategic Plan's (HCSP) Strategic Objectives (SOs). In 2008 USAID created the HCSP, FY 2009-2013, with SOs that align to the Agency's mission. The PMP guides assessment of the progress on each Intermediate Results (IR) established under each SO in the HCSP. Thus the PMP enables USAID to measure progress on how well USAID meets the SOs and contributes to data-informed decisions about human resource management.

In FY 2009, the Agency introduced a new and improved PMP structure that includes separate Performance Indicator Reference Sheets for each indicator. The indicator reference sheets streamline information for each SO, establishing the measures/metrics, explaining their purpose, and identifying timelines and methods for collecting data, such as survey data. Each sheet also indicates who is responsible for collecting the data, how progress is tracked per a set schedule, key measures and targets, baseline data when available, and provides a section for additional notes.

The PCAP assesses the compliance, effectiveness, and efficiency of the Agency's HC/HRM operations, programs, and policies via self-audits/evaluations and other activities. It also addresses their compliance with applicable laws, rules, and regulations.

The HC Accountability Plan, by encompassing the two components mentioned above, is structured around OPM's Human Capital Assessment and Accountability Framework (HCAAF) implementation drivers: Talent Management, Results-Oriented Performance Culture, and Leadership and Knowledge Management. The HR/PPIM, Senior Advisor for Workforce Planning, serves as the HC Accountability Program Manager. In this capacity, the Senior Advisor is responsible for managing and overseeing the HC Accountability System and its HC Accountability Plan.

Audit and Evaluation Goals

Audit and evaluation activities for FY 2010 will include formal self-audit covering Delegated Examining (DE), e-OPF processes, and a review of selected CS transactions and E2E progress. HR has learned that targeted audits addressing specific issues yield significant improvements and will continue this approach. In FY 2010, HR will also do ad hoc evaluations and/or business process improvement (BPI) to the extent feasible given resource constraints.

The following is the FY 2010 USAID Human Capital Accountability Implementation Schedule. The schedule identifies, on a quarterly basis, the activities and completion dates associated with each measure. This schedule serves as a "checklist" for ensuring that the USAID accountability system is governed by a systematic, integrated process. The schedule is organized by the three implementation systems of the HCAAF: Talent Management; Results-Oriented Performance Culture; and Leadership and Knowledge Management.

USAID's Human Capital Accountability Implementation Schedule for FY 2010

HC IMPLEMENTATION SYSTEM: TALENT MANAGEMENT					
Measure*	**Accountability Activities**	**Q1**	**Q2**	**Q3**	**Q4**
Organization **Competency Gaps Closed for Mission Critical Occupations**	Analyze mission-critical skill and competency gaps data (from Workforce Planning Model and Learning Management System) (PMP- FY 2009-2013)	X	X	X	X
	Develop/finalize methodology for Talent program audit/assessment/review (CSP)		X		
	Conduct on-site audit (CSP)			X	
	Analyze data and report results			X	
	Take corrective actions as required				X
Employee Perspective **Questions from Annual Employee Survey about Organizational Capacity**	Preparations Employee Viewpoint survey (EV)	X			
	Administer survey		X		
	Analyze data from Employee Viewpoint survey			X	
	Develop/finalize methodology for Talent program audit/assessment/review (CSP)			X	
	Conduct on-site audit (CSP)		X	X	
	Analyze data and report results of audit			X	
	Take corrective actions as required				X
	Conduct Junior Officer (JO) new hire survey	X	X	X	X
	Conduct Civil Service (CS) new hire survey	X	X	X	X
Employee Perspective **Questions from Annual Employee Survey about Employee Satisfaction**	Prepare for 2010 Employee Viewpoint Survey (EVS)	X			
	Administer Employee Viewpoint survey		X		
	Analyze data from EVS if available			X	
	Develop/finalize methodology for Talent program audit/assessment/review (CSP)		X	X	
	Conduct on-site audit (CSP)			X	
	Analyze data and report results				X
	Take corrective actions as required				X
Measure*	**Accountability Activities**	**Q1**	**Q2**	**Q3**	**Q4**
Merit System Compliance **Merit-Based Execution of the Talent Management System**	Prepare/revise EV survey				X
	Administer survey (FY2010)	X			
	Analyze data from EV if available			X	
	Develop/finalize methodology for Talent program audit/assessment/review (CSP)		X		
	Conduct on-site audit (CSP)		X		
	Analyze data and report results			X	
	Take corrective actions as required			X	

Other Talent	Review and update PMP as required	X	X	X	X
	Analyze PMP data and report results				X
	Take corrective actions as required				X
HC IMPLEMENTATION SYSTEM: Results-Oriented Performance Culture					
Measure*	**Accountability Activities**	**Q1**	**Q2**	**Q3**	**Q4**
Organization **SES Performance/Organizational Performance Relationship**	PRB determines the extent that SES performance plans are aligned with Agency's strategic objectives and goals		X		
	PRB assesses the relationship between SES performance ratings and accomplishment of USAID's goals and sets pay and awards recommendations according to results achieved	X			
Organization **SFS/FS/CS Performance Appraisal Aligned with Mission, Goals and Objectives**	Submit SES and SL certifications		X		
	FS Boards Recommendations regarding FS appraisal system submitted to Director, HR, Continuous Improvement Activities				X
Employee Perspective **Questions from the annual survey regarding Performance Culture**	Review and update PMP if required	X	X	X	X
	Analyze data and report results			X	
	Take corrective actions as required			X	
Measure*	**Accountability Activities**	**Q1**	**Q2**	**Q3**	**Q4**
Merit System Compliance **Merit-Based Execution of the Results-Oriented Performance Management System**	Develop/finalize methodology for Performance Culture program audit				
	Review and update PMP as required	X	X	X	X
	Conduct on-site audit (Performance Mgmt)				
	Analyze data and report results				
	Take corrective actions as required				
HC IMPLEMENTATION SYSTEM: Leadership/Knowledge Management					
Measure*	**Accountability Activities**	**Q1**	**Q2**	**Q3**	**Q4**
Organization **Competency Gaps**	Review and update PMP if required	X	X	X	X
	Rollout of Competency Mgmt Module of LMS	X	X	X	X

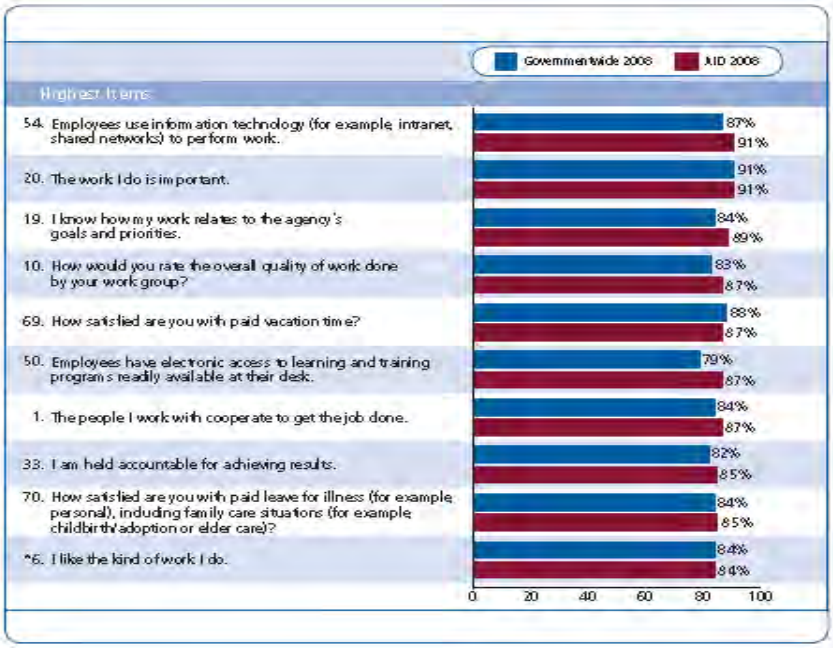
Closed for Management and Leadership	Pilot electronic Individual Development Plan (e-IDP)	X			
	Launch e-IDP			X	X
Employee Perspective **Questions from the annual survey regarding Leadership & Knowledge Management**	Analyze EV data and report results			X	
	Take corrective actions to the EV as required				X
	Issue the findings of the Employee Needs Assessment	X			
	Disseminate/conduct communications for the launching of the Expertise locator			X	
Merit System Compliance **Merit-Based Execution of the Leadership & Knowledge Management System**	Develop/finalize methodology for L&KM audit				
	Conduct on-site audit				
	Take corrective actions as required				

***** Uses metrics described in the OPM HCAAF Resource Center, Standards and Metrics

IV. 2008 Federal Human Capital Survey Results

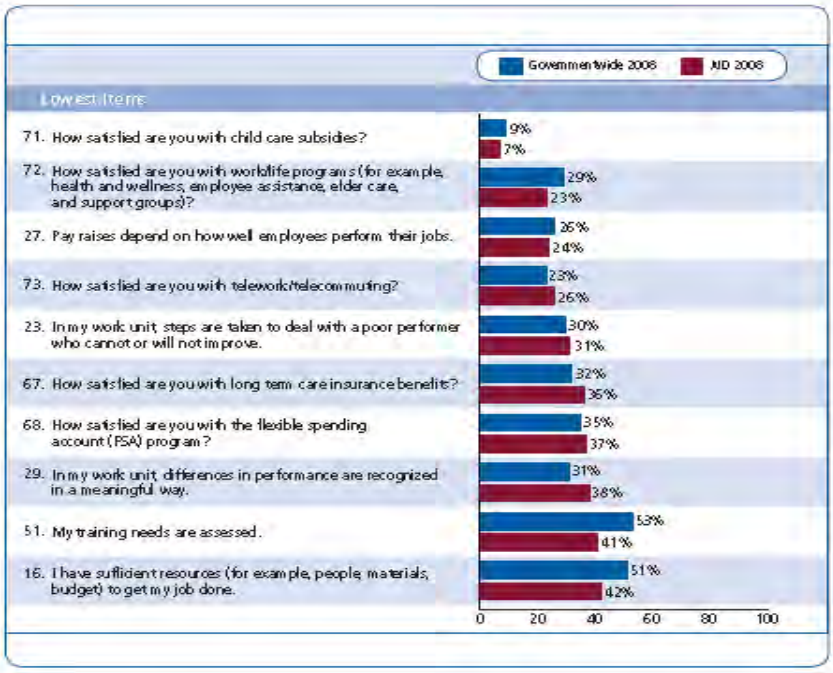
Top 10 Items for USAID

This table displays the Agency's 10 highest positive ratings.



Bottom 10 Items for USAID

This table displays the Agency's 10 lowest positive ratings.



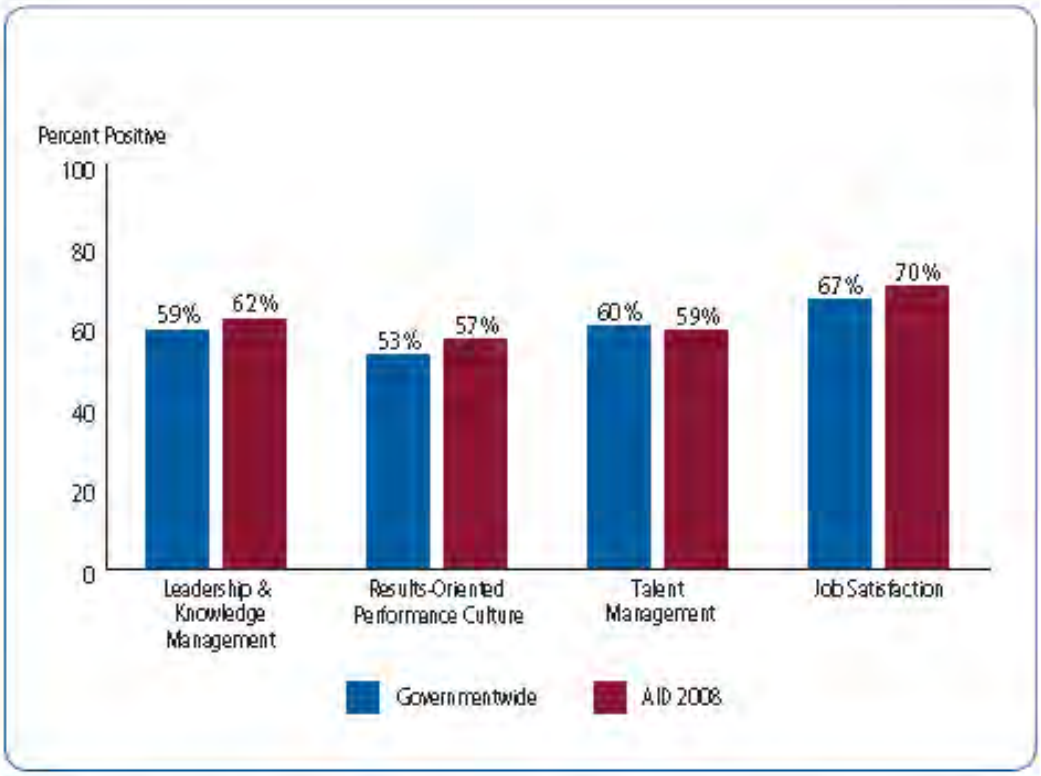
Increases and Decreases for USAID

This table shows the survey items that had the greatest changes in percent positive ratings since the 2006 FHCS. Positive ratings are the sum of two positive categories, "Strongly Agree" and "Agree" or "Very Satisfied" and "Satisfied."

Increased the Most	Percent Positive 2006	Percent Positive 2008	Difference
35. Policies and programs promote diversity in the workplace (for example, recruiting minorities and women, training in awareness of diversity issues, mentoring).	58	69	+11
38. In my organization, leaders generate high levels of motivation and commitment in the workforce.	32	42	+10
*37. I have a high level of respect for my organization's senior leaders.	45	54	+9
63. Considering everything, how satisfied are you with your organization?	55	64	+9
*58. How satisfied are you with the policies and practices of your senior leaders?	38	46	+8
8. I recommend my organization as a good place to work.	61	69	+8
43. My organization has prepared employees for potential security threats.	75	82	+7
42. Employees are protected from health and safety hazards on the job.	72	78	+6
52. Managers promote communication among different work units (for example, about projects, goals, needed resources).	56	62	+6
45. Arbitrary action, personal favoritism and coercion for partisan political purposes are not tolerated.	47	52	+5
Decreased the Most			
74. How satisfied are you with alternative work schedules?	61	50	-11
66. How satisfied are you with life insurance benefits?	64	58	-6
30. My performance appraisal is a fair reflection of my performance.	77	72	-5

Human Capital Assessment and Accountability Framework (HCAAF) Indices

The HCAAF indices provide consistent metrics for measuring progress toward HCAAF objectives. This graph shows USAID results compared with Government-wide results for the four HCAAF Indices. The four indices are: Leadership and Knowledge Management, Results-Oriented Performance Culture, Talent Management, and Job Satisfaction.



The Leadership & Knowledge Management Index indicates the extent employees hold their leadership in high regard, both overall and on specific facets of leadership. It is made up of items 7, 9, 17, 36, 37, 38, 40, 41, 42, 43, 56, and 58.

The Results-Oriented Performance Culture Index indicates the extent employees believe their organizational culture promotes improvement in processes, products and services, and organizational outcomes. It is made up of items 1, 12, 19, 21, 22, 23, 24, 26, 27, 29, 30, 31, and 57.

The Talent Management Index indicates the extent employees think the organization has the talent necessary to achieve organizational goals. It is made up of items 2, 11, 14, 18, 49, 51, and 60.

The Job Satisfaction Index indicates the extent employees are satisfied with their jobs and various aspects thereof. It is made up of items 5, 6, 20, 55, 59, 61, and 62.