



USAID
FROM THE AMERICAN PEOPLE



USAID Five-Year Workforce Plan FY 2011 - FY 2015

December 2010



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Table of Contents

I. Overview of USAID	4
II. Introduction to Workforce Planning at USAID	8
III. Human Capital Comprehensive Workforce Planning Process	10
IV. Workforce Planning Solutions	22
V. Current Workforce Composition	29
VI. Foreign Service	38
VII. Foreign Service Nationals	49
VIII. Civil Service	54
VIX. Summary	58

Addendum 1: Training and Development Aspects of USAID’s Leadership Succession
Management Efforts

Addendum 2: Personnel Strategy Report to Congress

I. Overview of USAID

Background and Mission

The U.S. Agency for International Development (USAID) advances U.S. foreign policy throughout the world by promoting broadly shared economic prosperity, strengthening democracy and good governance, improving global health and education, helping societies to prevent and recover from conflicts, and providing humanitarian relief in the wake of natural and man-made disasters.

USAID is a worldwide organization that uses numerous discreet personnel systems, authorities, and mechanisms to accomplish its goals. USAID operates in an environment that is subject to rapid and frequent change. Unlike most USG agencies, a large percentage of USAID's workforce moves from job to job on a regular basis, which places great demands on its personnel systems. It is also located throughout the world and has to deal with a myriad of languages, cultures, and environments. USAID is probably unique among US government (USG) agencies in that its workforce is made up of a wide range of technical expertise. It has, for example, health/population expertise that is found in HHS, environmental expertise found in EPA/Interior, commercial and economic growth expertise found in Commerce/Treasury/SBA, energy expertise found in Energy, agriculture expertise found in Agriculture, disaster assistance expertise found in FEMA, education and training expertise found in Education, and legal expertise that covers the full range of USAID activities. In fact, USAID is a microcosm of the USG's technical expertise. This "uniqueness" brings special challenges to the management of human resources.

Over the past 49 years USAID has helped reduce poverty for millions of people and put countries on the path to sustainable economic growth in partnership with local governments and civil societies, private voluntary organizations, universities, businesses, international agencies, governments, and other U.S. Government agencies. Our mission has been to build stronger, more stable societies that respond to the needs of their people.

As the Agency comes upon our 50th anniversary, it is both a time to reflect and to look forward. Today with the strong backing of the President, the Agency's goal is to build on its legacy as one of the premier development agencies and make new progress toward the ultimate goal of creating the conditions where U.S. assistance work is no longer needed. That is the motive and the driver for everything we do.

This also means USAID is fundamentally changing the way it does business, redoubling efforts where they have proved successful, and taking a hard look at where we can improve. The Agency has begun to roll out a series of reforms in seven priority areas that will strengthen the USAID's capacity to achieve high impact development and make smart use of limited resources.

The USAID Forward initiative encompasses procurement reform, talent management, rebuilding policy capacity, strengthening monitoring and evaluation, rebuilding budget management, innovation, and science and technology. This ambitious reform agenda is both a response to past shortcomings and the blueprint for the Agency's path to a dynamic future.

During FY 2010, USAID continued to respond to worldwide development challenges and humanitarian needs from our headquarter is in Washington, DC and at over 80 missions around the world, while working to address serious management and performance challenges and improving how we deliver aid across the globe. USAID made a number of strategic decisions to prioritize certain agency-wide initiatives following an internal review of agency capabilities and structures. USAID has redirected the agency direction to four major initiatives: Global Health Initiative, Feed the Future, Climate Change, and the Implementation and Procurement Reform Initiative.

Additionally, USAID along with the Department of State are a part of the Diplomacy, Development, and Defense initiative. This initiative has as its central tenet Secretary Clinton's strategic vision of strengthening America's diplomatic and development capacity globally to achieve the President's foreign policy agenda.

Figure I-1



The USAID Workforce

To accomplish its mission, USAID relies on a multi-sector workforce comprised of US direct hire (USDH) and non-USDH employees, as described below:

- US Direct-Hire Employees are either Civil Service (CS) employees or Foreign Service Officers (FSOs).
- Non-USDH Employees are Foreign Service Nationals (FSNs), US Personal Service contractors (US PSCs), or other US citizens hired under a variety of non-USDH mechanisms.

The agency continues to focus on ensuring that it has the appropriate staff to accomplish its mission both now and in the future.

USAID Forward

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.

As we come upon our 50th anniversary, it is both a time to reflect and to look forward. More than a decade of budget-driven downsizing and attrition created a gap in the Agency’s workforce, especially in mid-level staff. While staff levels were steadily decreasing, USAID’s mission was changing and expanding to meet the challenges of the 21st century. Meeting the President’s vision of rebuilding USAID as the premier development agency and advancing progress towards the Millennium Development Goals will require highly qualified staff, high levels of planning, and intra-Agency collaboration to create an agile, flexible, focused, and accountable organization. In his August 2010 notice to employees, Administrator Rajiv Shah stressed that, “over the past 49 years, our Agency has helped reduce poverty for millions of people and put countries on the path to sustainable economic growth. Today, we are poised to build on our legacy as one of the world’s premiere development agencies and make new progress toward our ultimate goal of creating the conditions where our work is no longer needed.”

To transform USAID’s capabilities to support the President’s new development policy, USAID must restore Agency leadership and core competencies by attracting and retaining high quality development professionals and put them to work against the top development priorities. The Agency is also brining game-changing innovations to scale by deepening USAID capacity.

Administrator Shah has prioritized seven areas that “will strengthen USAID’s capacity to achieve high-impact development and make smart use of our limited resources.” This USAID Forward agenda focuses on:

- Implementation and Procurement Reform
- Rebuilding Policy Capacity

- Strengthening Monitoring and Evaluation
- Rebuilding Budget Management
- Innovation
- Science and Technology
- Talent Management

Each of these areas of operational reform is dependent on the success of the Agency's human capital efforts. As Administrator Shah states, "Our goal is to attract and retain the best people who reflect the wide diversity that is American and who share one common trait: the ability to be problem-solvers."

The talent management reform agenda focuses on four major outcomes:

1. Delivering excellence on the HR basics;
2. Strategic hiring and deployment of talent;
3. Creating a positive work environment that inspires excellence and development entrepreneurship; and,
4. Strengthened leadership and training.

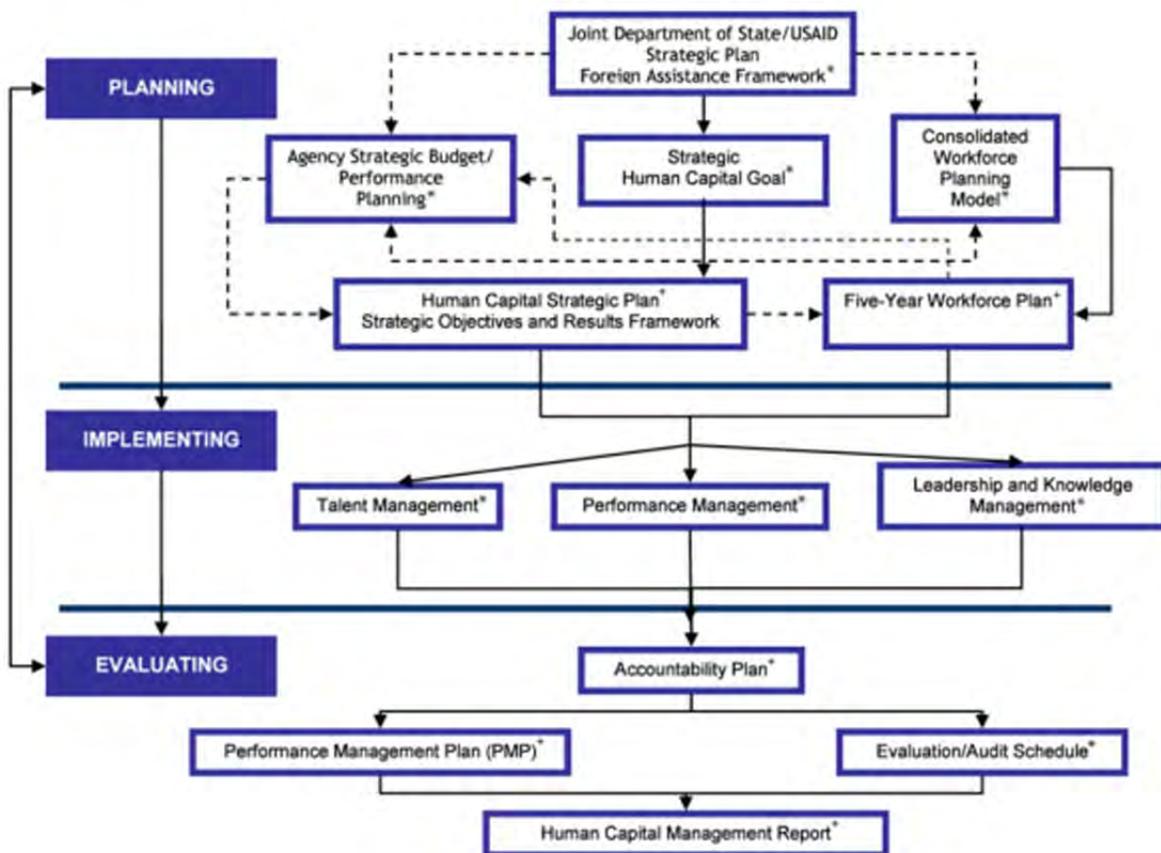
Building a more robust staff and infrastructure, with strong capacities in evaluation, planning, resource management and research, the Agency will in-source design and evaluations, improve program oversight and accountability, and reclaim its historical leadership in innovation, science, and technology. USAID is committed to empowering the Agency's workforce with the tools necessary to successfully carry out their work responsibilities, while improving productivity and retention.

Supporting the 50% increases in FSOs achieved to date requires a corollary increase in the capacity of the Office of Human Resources. To that end, the Office of Human Resources is analyzing and assessing its current organizational structure to ensure capabilities to more efficiently and effectively serve the Agency's rebuilding, support employees, and implement hiring and other human capital reforms.

II. Introduction to Workforce Planning at 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.”¹ The intersection of these goals drives USAID human capital management on all fronts, including workforce planning, talent management, succession planning, strategic budget/performance planning, and accountability. The figure below represents the integrated and strategic nature of USAID’s human capital management lifecycle in its entirety. The Joint Strategic Plan and the Foreign Assistance Framework provide the stimulus and direction for all efforts, shaping the processes and goals that dictate this plan.

Figure II-1



This Five Year Workforce Plan is a principal component of the Agency’s wider Human Capital Management process, and focuses on the agency’s comprehensive workforce planning efforts. The goal of this Five Year Workforce Plan is to articulate the results of the Agency’s workforce planning process, such as projected staffing requirements and targeted initiatives to meet those requirements. This document describes the current workforce, explains the seven-step workforce process, and illustrates the solutions and strategies underway to strengthen the Agency’s workforce. OHR will issue a revised plan every December.

¹ USAID Human Capital Strategic Plan, FY 2009 -FY 2014

Joint Strategic Plan and Foreign Assistance Framework

USAID's workforce planning process begins with the strategic direction. USAID Forward will result in a Strategic Plan for the Agency which links to all its partners. Until that plan is complete the Department of State and USAID *Joint Strategic Plan: Fiscal Years 2007 to 2012* sets forth the direction and priorities for both organizations and provides the implementation strategy for U.S. foreign policy and development assistance. The following Strategic Goals constitute the strategic planning framework for both agencies:

Figure II-2

- Achieving Peace and Security
- Governing Justly and Democratically
- Investing in People
- Promoting Economic Growth and Prosperity
- Providing Humanitarian Assistance
- Promoting International Understanding
- Strengthening Consular and Management Capabilities

USAID Human Capital Strategic Plan

The USAID Human Capital Strategic Plan (HCSP) outlines USAID's five-year strategic plan for the management of human capital. The USAID HCSP FY 2009-2013 addresses the Human Capital Assessment and Accountability Framework (HCAAF) five standards of success. The plan discusses future steps needed to meet emerging workforce challenges and acknowledges areas that still require improvement. The Strategic Human Capital Goals outlined in the plan drive the workforce planning objectives. The Strategic Objectives outlined in the plan are as follows:

Figure II-3

- S01. **Strategically align staff with agency priorities:** Align workforce size, competencies, and talent pipeline with evolving USAID mission.
- S02. **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.
- S03. **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.
- S04. **Ensure employee high performance through continual development and performance management:** Improve training, skills development and career development programs, and bolster high-performance incentives.
- S05. **Provide first rate HR services and tools to support USAID's mission and increase efficiencies:** Increase OHR capacity and efficiency through hiring, planning, and enhancing use of technology.

III. Human Capital Comprehensive Workforce Planning Process

Workforce planning is the foundation of USAID's human capital management strategies and a cornerstone of the Administrator's talent management initiative. The talent management initiative seeks to grow and align USAID's workforce to meet development challenges by better utilizing the skills of our entire workforce, including foreign service national and civil service employees. To this end, USAID's Consolidated Workforce Planning Model provides a data-driven, defensible solution to projecting human resources required to oversee programs and strategically aligning agency staff and resources with USAID's mission and critical priorities.

USAID's workforce planning process provides the organization with a structured process for making future-focused workforce decisions based on objective criteria and informed assumptions about future funding. It also increases USAID's ability to take both a deliberate and strategic approach to unanticipated changes and events that require shifts in USAID's focus and deployment of personnel. The USAID workforce planning process is shown below.

This process utilizes and combines strategic planning tools such as the Consolidated Workforce Planning Model (CWPM), which calculates how many people USAID needs, with gap analyses that account for attrition, career advancement and promotion and strategies to close the critical gaps. The goal is to have a comprehensive blueprint for a more robust and proactive engagement of a truly global nature. OHR repeats these analyses each year to ensure strategic alignment with the Agency's and the Administration's goals and objectives.

During FY 2010, USAID had the following achievements in the area of workforce planning:

- Establishing a steering committee of senior advisors;
- Upgrading the Consolidated Workforce Planning Model (CWPM) to expand use of FSN capabilities, development of a communication outreach strategy; and
- Developing a web version of the Model.

Development of a Consolidated Workforce Planning Model (the Model) Steering Committee: During FY 2010, USAID founded a high-level steering committee for the Model that includes the COO, CHCO, and knowledgeable senior-level policy leaders across the Agency to support strategic decisions about staffing and resource allocation. Senior-leader buy-in, as well as validation and adjustment of the drivers, helped OHR to solidify necessary staffing and resource decisions that resulted from the Model's output and to ensure alignment with the strategic direction of the Agency's new initiatives. The changes brought about through this data-driven decision making may not always lead to popular decisions, however, these decisions are, by design, aligned with the mission and vision of the Agency, and create a more strategically aligned and accountable organization.

During FY 2010, the steering committee recalibrated the strategic framework of the Model by testing indicators and determining the level of priority of each nation from both a diplomatic and a

development perspective. This resulted in a more accurate reflection of the Agency's strategic direction.

Updates to the Consolidated Workforce Planning Model (the Model): The Model is a strategic tool that allows management to predict future staff levels for both Headquarters and overseas missions. The Model takes into account factors such as development need, strategic importance, and program funding allocations. 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 a set of assumptions. Additionally, as noted in USAID's response to GAO's audit, the Model is continually being refined to ensure that it covers the total workforce and that all relevant personnel, including mission directors, senior Bureau managers and other key staff have been briefed on the model and engaged in its refinement.

During FY 2010, the Model was particularly useful given the changing landscape of the agency. With the inception of new Agency initiatives such as the seven priorities covered in *USA Forward: Strengthening, Optimizing, Streamlining*, the Model was used to project staffing needs for the Agency's new priority initiatives such as climate change, food security, and implementation of procurement reform.

The Model, through continued refinements and the input of the steering committee, provides USAID with stronger, better calibrated, validated metrics and drivers for staff at Headquarters and overseas. Using specific data and drivers, USAID demonstrated specific needs for each position that are directly and strategically aligned with the mission of the organization. The drivers were updated or created for each office based on the results of a workload assessment survey and also more rigorous benchmarking. For example, USAID developed a new systematic approach to headquarters drivers, separating foundational drivers for common roles from technical drivers based on money, population serviced, and similar factors. These new drivers are much better calibrated, more sound and thus provide more accurate workforce planning data.

Additional results of the Model during FY 2010 included:

- Under the DLI, the Model identified the need for more direct hires in Washington, DC to support the expanding Foreign Service overseas;
- The Model identified the top 20 critical priority countries and the suggested resource allocation needed to support them;
- The Model conducted an analysis of what continued support in Haiti would look like following the earthquake;

During FY 2010, USAID created a web-based version of the Model that brings it to the desktops of users at USAID. The web-based model is currently in its beta version receiving final validation testing before it is released, beginning with Headquarters offices and bureaus, and then to overseas missions. USAID anticipates the completion of the Model rollout by the close of FY 2011. By bringing the Model to the desktop of USAID employees, each Headquarters function and overseas mission is provided with a more thorough and comprehensive understanding of the Agency's human capital planning process.

To coincide with the release of the web-based version of the Model, USAID also began the development of a communication strategy that fosters basic awareness and understanding of the Model's functions and capabilities to key staff. Given the constantly evolving environment at USAID, this communication strategy will provide Mission Directors with a basic understanding of how their mission may utilize the Model to accurately plan for and staff their priorities.

The Model also supports USAID's ability to formulate and defend its budgets. The Model is an analytical tool that uses quantitative data to project the needed number of staff and allocated resources to meet agency priorities. USAID briefed OMB on the Model and used it to engage in dialogue with the State Department regarding how to build capacity overseas. During FY 2010, the Model continued to foster transparency and collective understanding about how to deploy staff and resources.

THE WORKFORCE PLANNING PROCESS

To ensure that USAID puts the right people in the right places with the right skills, USAID uses a cyclical workforce planning process. The purpose of workforce planning is to provide a structured process for making future-focused workforce decisions based on informed assumptions about an organization's anticipated state. The workforce planning process increases USAID's ability to take a deliberate and strategic approach to anticipated and unanticipated changes and events. The key goal for this process is better integration of budget and staffing considerations into management decisions.

The Consolidated Workforce Planning Model combines development and stewardship elements to create an initial framework for staffing and project positions 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 the USAID's mission, produce staffing allocations by Bureau, Office, and Overseas Mission for the Agency. The Model determines the quantitative workforce needs, while the qualitative staffing needs are determined by the Competency Management component process of the Learning Management System (LMS).

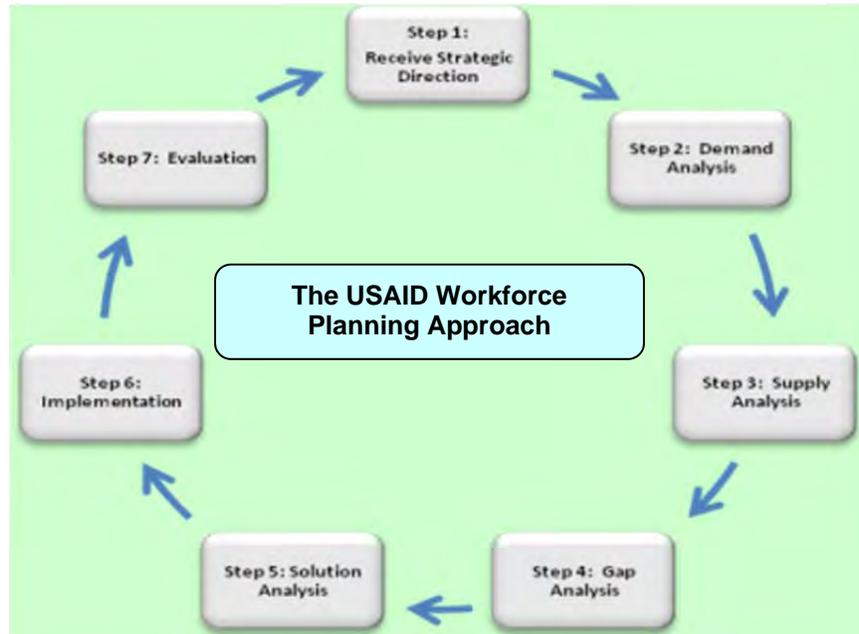
The foundation of USAID's workforce planning process, the Model represents the demand analysis and, in concert with attrition data and recruitment data, yields the gap analysis from which the agency constructs its hiring plans. Annually, OHR leads this process looking forward five years. The entire workforce planning process then rolls up into the Agency's annual budget formulation. For the FS, a five-year recruitment plan is developed by backstop. For the CS, quantitative data is used to help the Agency plan ahead for future gaps.

The USAID Workforce Planning approach is essentially a straightforward process. It can be broken down into seven basic steps, depicted in Figure III-2:

1. Strategic Direction: update of strategic/developmental importance of countries
2. Demand Analysis: determine your strategic direction and predict your future demands
3. Supply Analysis: measure your current supply
4. Gap Analysis: identify the gaps between the supply and the demand

5. Solution Analysis: develop solutions that address the gaps
6. Implementation Planning: determine how to implement those solutions
7. Evaluation: evaluate the impact and adjust accordingly

Figure III-2



Step 1: Strategic Direction (What Is Our Mission?)

Goal setting is an important first step in the Agency's planning process. As noted above, the Model is designed to reflect the strategic and developmental importance of each country to determine the optimum size of the mission needed there. Each year, based on current circumstance, Agency management will confirm or change the current business model. Management can also adjust the parameters used to determine the strategic/development importance of the country. Other parameters will be updated as their source indices are updated each year to provide the starting point of the model projection. Management will also provide their best estimates of USAID's program funding trends, which drive the other elements of the Consolidated Workforce Planning Model (CWPM). The Model's other independent parameters (e.g. country difficulty) will be updated based on recognized indices. These directions from the Agency's management will be the basis for the demand analysis below.

Primary Players:

- Administrator/Deputy
- Chief Operating Officer
- Office of Budget and Resource Management

- Regional and Pillar Bureaus
- Human Resources (OHR)
- The Workforce Planning Team (WPT): OHR led including members from the different offices and bureaus which are engaged in the Agency's Strategic Planning e.g. COO, M/MPBP, and selected strategic planners from other bureaus

Steps and Procedures:

- OHR vets HQ drivers with all Offices and Bureaus.
- Regional Bureaus with advice of Pillar Bureaus and other Technical Offices review and recommend changes, if any, to basic parameters of the CWPM, especially, Strategic/Development Importance, Footprint Factor, and overseas assumption matrices inviting input from Missions as appropriate.
- OHR consolidates results from Bureau and Office recommendations.
- Agency Senior Management meet to determine changes, if any, to the business model or basic parameters of the CWPM, and review the Strategic and Development importance of each country to determine any necessary changes.
- OHR takes the changes and adjusts the parameters and indices as necessary.

Step 2: Demand Analysis (What Do We Need?)

In the next step, the demand analysis, the future mission and functions of the organization are taken from the first step above to create the specifics of the workforce that is needed to accomplish these goals. The Workforce Planning Team collects and analyzes information about USAID's strategic direction, budget changes, organizational changes, external demands, and other anticipated impacts on the workforce. They then translate this information into new or revised assumptions for the Consolidated Workforce Planning Model.

Demand analysis uses the strategic direction provided and predicts future demands. It details the future mission and functions of the organization, and profiles the workforce needed to carry out the mission/functions.

The output of this analysis - the results of the Model - are the number of each type and category of employees (and for USDH, grade) needed to accomplish USAID's Mission.

Demand is calculated from the following steps:

- Determine the Mission size from updated parameters
- Determine the Program funding
- Update parameters and indices
- Verify business model with MGMT adjust assumptions
- Vet numbers with the Regional Bureaus and others

Primary Players:

- Office of Budget and Resource Management
- Deputy Administrator
- Office of Human Resources (OHR)
- Workforce Planning Team (OHR led)
- Bureau and Office Heads (or their representatives)
- Budget Office (MPBP)

Steps and Procedure:

- OHR uses strategic and developmental direction provided by Agency management (Step 1) to determine changes to USAID's strategy, budget, or organizational structure needed. The team reviews and refines the model assumptions based on these anticipated changes and runs the model with the revised assumptions. OHR's Workforce Planning Team inputs the program funding projections that have been agreed upon and runs the model using the approved assumptions and the funding estimates.
- OHR reviews results with all Offices and Bureaus and makes any refinements or adjustments required.
- OHR provides MPBP with information about estimated staffing to be in the Annual Budget Request guidance.
- All Offices, Bureaus, and Missions react to projections and estimate how they will staff to attain them during the given budget year, justifying any deviations and keeping within the set numbers for each region.

Step 3: Supply Analysis (What Do We Have?)

The purpose of supply analysis is to collect and analyze demographic information about the existing workforce to compare with model projections. A supply model is the projection of current organizational population for a designated planning period, assuming normal attrition and no other actions (i.e., hiring freeze or reductions in force). Supply analysis describes and defines the current workforce in terms of the future workforce (i.e., 'to be' workforce). USAID collects and analyzes demographic information about the existing workforce to compare with model projections.

Primary Players:

- Human Resources (OHR)
- AMSs and EXOs

Steps and Procedures:

- The Office of Human Resources collects and analyzes demographic information for the current workforce.
 - OHR extracts demographic information from personnel data systems (NFC and WebPASS Post Personnel) for each program/function. AMSs and EXOs must certify data is correct.

- OHR combines the data sets and inserts the information into the model to serve as a comparator to the Model's projection of demand.
- OHR conducts a demographic analysis of the information and incorporates the model and demographic results into program/functional profiles which include:
 - Total Number of Employees
 - Breakdown by Employee Type
 - Breakdown by Service of Occupational Category/Backstop
 - Breakdown by Fund Source
 - Breakdown by Location
 - RNO Distribution
 - Gender Distribution
 - Grade Distribution
 - Age Distribution
 - Education Levels
 - Retirements
 - Separations
 - Retirement Eligibility
- All these factors are used to determine the number, type, location, and backstop of personnel we have on board in a projected year.

Step 4: Gap Analysis (What is our Gap?)

The next phase of the workforce plan is to review the supply and demand information and identify current program gaps, confirm or negate previously identified gaps, and identify available resources. Offices and Bureaus then review the information and suggest revisions, and OHR finalizes the gaps and issues.

Primary Players:

- OHR
- Office and Bureau Representatives

Steps and Procedures:

- OHR uses the model projections/demand and identifies attrition, float, and other parameters needed to determine critical gaps and issues.
 - OHR uses the historical supply parameters to calculate/estimate the most likely number of retirees, promotions out, and other separations.
 - OHR estimates the float due to training and the junior officers who are not yet working in their backstop, but will be.
 - OHR calculates the future supply from above.

- This future supply is compared to the demand projected by the Model to determine the gap for each Backstop.
- OHR identifies USAID's most critical workforce gaps and issues based on the following considerations:
 - Magnitude of the gap
 - Accuracy of the workforce data
 - Reliability of the assumptions

Step 5: Solution Analysis (What Do We Do to Close the Gap?)

Solution analysis is where the USAID-wide or program specific solutions are developed for identified workforce gaps. This step ensures all possible solutions are given adequate consideration, from recruitment to training, as well as from retention to in-sourcing to contracting out. It also incorporates management input for the proposed solution and integrates these into the recruitment process. As seen below, the MPBP uses the recruitment plan to help determine the budget. OHR also uses the recommended solutions to inform budget computations.

Primary Players:

- Office of Human Resources (OHR)
- Workforce Planning Team (OHR led)
- Bureau and Office Heads (or their representatives)
- Budget Office (MPBP)

Steps and Procedures:

- OHR develops proposed workforce solutions.
 - Appropriate OHR staff develops targeted solutions to address the gaps and issues.
 - OHR staff integrates information provided by the bureaus into the solutions development process.
 - OHR works with program or mission representatives when appropriate to develop solutions.
 - For each gap or issue, OHR develops a proposed solution that outlines the proposed solution itself, provides a plan for implementing the solution, estimates costs (funding and staff), and identifies success metrics.
 - OHR presents the solutions to the WPT for review.
- WPT presents the results to date of the workforce planning process, including proposed solutions to the Agency management for approval.
 - WPT presents revised model assumptions.
 - WPT presents workforce gaps and issues.
 - WPT presents proposed solutions including:

- Recruitment plan
- Training plan
- Retention incentives plan
- Miscellaneous solutions
- Agency management approves or rejects workforce planning process results.
- MPBP (Budget office) uses recruitment plan to estimate budget.

Step 6: Implementation (How Do We Close the Gap?)

Once the resolutions of the gaps have been determined, the implementation phase begins in which the action plan is created and the human resource staff work with organizations or groups to begin implementing process solutions.

Figure III-3, on the next page, displays the Workforce Planning Roadmap that provides a timeline of the implementation process.

The entire Workforce Planning Process is melded into the Annual Budget Cycle. Based on these analyses, OHR 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 OHR's numbers to set the proposed budget. Missions, Bureaus, and Offices come in with their recommendations. Headquarters, the State Department, and OMB reviews adjust actual numbers for the President's Congressional Budget Justification (CBJ). OHR uses the CWPM to redistribute whatever resources it can afford.

Bureau and Office Representatives are functional subject matter experts. They provide input for assumptions and review/revise projections, as well as implement solutions. They provide insight and information that inform the model and solution development process. Bureau, Office, and Mission leaders deal directly with the workforce and have the greatest insight into the type of staff needed, the nature of the work, and how that work will change in the future. The Workforce Planning team will work closely with representatives from the Missions, Offices, and Bureaus to ensure that the best possible assumptions and data are used for workforce planning purposes.

OHR staff and Bureau and Office Representatives implement solutions and report on solution usage and effectiveness. They will be jointly responsible for implementing the solutions that result from the planning process. OHR is primarily responsible for designing or developing these solutions, but the actual implementation will require the support and participation of the entire Agency to ensure that they are as appropriate and as effective as possible.

Figure III-3: Workforce Planning Roadmap

1-Aug	1-Dec	1-Apr	1-Aug	1-Dec	1-Feb				
<p>Meet with Offices and Bureaus to develop and then implement HQ Workload Assessment Survey to further refine HQ Workload Assessment</p>	<p>Complete Analyses of Strategic Matrix (HC Strategic Plan/USAID Strategy Adjustments) Indices and Funding, Difficulty, Supply, and Other Parameters. Input new current staff into CWPM.</p>	<p>Review Strategic Direction including update of Strategic Matrix with Steering Committee</p>	<p>Update all assumptions and drivers and Validate all new CWPM inputs and drivers</p>	<p>Run CWPM and vet with Regional and Central Bureaus and Offices. Back out current funding year increases in collaboration with USAID's Budget & Space Planning Offices.</p>	<p>Calculation by USAID's Budget and Space Planning Offices of funding & space requirements for projected staff based on optimal solution for control numbers ; send staff, space and budget projections to field and HQ with budget guidance.</p>	<p>Review Budget submissions adjust Workforce; Set Budget and Space Requests. 5-yr Hiring Plan update, adjusting demand, attrition, and incentives by BS, and vetting with HR SME's and Bureau /Office's SME's</p>	<p>Present Budget request to State Dept. Adjust Budget Request based on State Dept comments, and present to OMB. ----- Every odd Year Review current Mission Categories and End State Sizes with State Department Mission Categories</p>	<p>After receiving comments from OMB. Prepare reclaims as necessary and submit to OMB. -- ----- Missions use new numbers as basis for MSRP</p>	<p>Once CBJ is set, determine how to get best results with available funds e.g. reduce attrition, promote from within, train, increase hiring, etc</p>

Step 7: Evaluation (How Do We Make Sure Its Working?)

The last and final step of the Workforce Planning Process is monitoring and evaluation. The reviews conducted in Step 1 are part of the evaluation process and added to this is a formal, independent audit of the internal components of the Model. This audit validates their accuracy and is conducted by several team members. Additionally, OHR has implemented a comprehensive accountability process. The Program Compliance and Assessment Plan (PCAP) monitors and assesses the effectiveness, efficiency, and legal compliance of the agency's HC and HCM programs, processes, procedures, and policies in support of its mission. The PCAP strategy is used to conduct cyclical audits/reviews to monitor and assess the effectiveness and efficiency of HRM/HC systems, policies, procedures, and activities including the workforce planning process. Complimenting the PCAP is the Performance Management Plan (PMP), which is used to monitor and evaluate the implementation of the HC Strategic Plan. OHR reviews and updates the metrics quarterly and in FY 2010 is undertaking an additional review to ensure the PMP contains the best metrics available.

Based on the results of the evaluation, we identify information about workforce planning that will improve all aspects of the process. OHR will report the results of the evaluations in the annual Human Capital Management Report (HCMR).

TACTICAL PLANNING

The Agency's expansion under the DLI program depends on its ability to establish new Foreign Service positions and to assign DLI junior officers overseas. USAID must create positions for new junior officers overseas and to assign them as expeditiously as possible. USAID began creating positions with the implementation of the DLI program, and there are enough positions available in the FY 2011 cycle for the DLIs currently onboard. However, the process of establishing individual positions is cumbersome and time consuming.

OHR is developing a new process (Tactical Plan) for creating positions. OHR will define specifically the specialized positions which can only be filled by people with the proper certifications and training, i.e., Controllers, EXOs, COs, and RLAs. This will be accomplished by reviewing current staffing and model projections with backstop coordinators from these particular backstops to determine just where positions should be created in each country. These positions will be advertised according to the availability of junior and mid-level staff to fill the positions. The remaining requirements will be programmed for the next bid-cycle.

The rest of the positions will be defined by a set of rules on how many of each type will be allowed in each region each year for each graduating class. These limits will impact which positions must be frozen in a given year. The regions decide where the positions will go using the workforce model results as guide, but taking into consideration all the constraints and requirements that each country may have, e.g. NSDD38, new conflicts, housing and office space, new local governments, etc. OHR will work diligently with Agency management to ensure that space and NSDD 38 become less of a constraint.

IV. Workforce Planning Solutions

Moving USAID Forward demands highly qualified staff, high levels of planning, and intra-agency collaboration. To bolster USAID's status as a high performing, results-oriented organization, the Agency is focusing on acquiring a larger and more balanced workforce with appropriate skill sets, developing current talent and investing in the future workforce, and retaining the current workforce. To achieve these goals, USAID utilizes a number of large and cross-cutting initiatives in the areas of planning, recruitment, and retention, including the Consolidated Workforce Planning Model, the Development Leadership Initiative (DLI), Civil Service Hiring Reform, along with other retention, training, competency management, and succession management strategies. Furthermore, the Agency is developing new and expanding on its current strategies for managing a multi-sector workforce.

Consolidated Workforce Planning Model

The Consolidated Workforce Planning Model (the Model) is a dynamic, future-oriented tool that projects staffing needs by number, type (FS, CS, FSN, and others), location, and backstop (family of occupations and competencies) and offers flexibility in response to changing circumstances. The Model can accommodate any strategic direction shifts (i.e., it can run scenarios) or changes in business delivery modes. It is a strategic management tool that allows management to predict future staff levels for both Headquarters and overseas missions. The Model takes into account factors such as strategic importance, program funding allocations, and needed staff by type and 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 a set of assumptions. Additionally, the Model is continually being refined to ensure that it covers the total workforce and that it covers all relevant personnel, including mission directors, senior Bureau managers and other key staff that have been briefed on the model and engaged in its refinement.

The foundation of USAID's workforce planning process, the Model represents the demand analysis and, in concert with attrition data (supply analysis), yields the gap analysis that leads to the solution analysis (including hiring plans and other interventions). Annually OHR leads this workforce planning process looking forward five years. The entire workforce planning process rolls up into the Agency's annual budget formulation. OHR is a strategic partner in this budget process with the Model providing the data that is the basis for workforce funding requests by determining not only numbers of staff, but types and locations.

Development Leadership Initiative

The Development Leadership Initiative (DLI) is a multi-year effort to rebuild and reposition USAID around the globe as a technical leader in development. The original goal of doubling the Foreign Service by FY2012 has been extended by several years because of budget adjustments. The operational guidance for the processes and procedures for Agency personnel to use when supporting, mentoring, or supervising Foreign Service Officers (FSOs) under the DLI was initially issued in the "Development Leadership Initiative Implementation Guidance" in 2008. This was updated and revised in August 2010.

As of August 2010, USAID hired 565 new Foreign Service Officers (FSO) in thirteen classes; additionally, USAID has a “pre-employment” pipeline of 260 new FSOs who have been selected and are now at various states of the pre-employment clearance and onboarding process. Medical and security clearance processes can require between four months and a year, but with the pipeline and a continuing influx of new applicants, USAID is on course to meet its DLI goals of hiring 1200 new officers.

Civil Service Hiring Reform

In May, 2010, President Obama released a memorandum directing Executive Departments and Agencies to improve the Federal recruitment and hiring process. The goal is to make the application process easier and more efficient, and to hold hiring officials accountable for recruiting and hiring highly qualified employees and supporting their successful transition into Federal service

On August 2, 2010, in response to the POTUS directive, USAID submitted its preliminary Hiring Reform Action Plans to the OPM and OMB, via the MAX2 portal. These plans are a key part of delivering on our commitment to improve the hiring process so USAID can attract, recruit, and hire high quality employees. The preliminary plans include activities, key deliverable/outputs, desired outcomes and measures, responsible party (parties), and other key information for driving change. These plans are meant to evolve as the Agency makes progress in implementing its reform activities and develops new strategies.

On September 15, 2010, USAID team met with OPM and OMB to discuss the Agency’s progress in implementing the President’s Hiring Reform initiative. Based on the feedback received from OPM and OMB and progress to date, USAID updated its action plans and posted them to MAX on October 28, 2010. (See highlights revised Hiring Reform Action Plans below). In addition to MAX, they are also posted on the Agency’s Web site (<http://www.usaid.gov/careers/>) for transparency and demonstration of our resolve to transform the Agency’s hiring process to stay competitive and attract the best and the brightest to our fold.

Among the outputs already realized are: full implementation of category rating on October 1, 2010; elimination of KSA narratives; implementation of new automated applicant referral system that is expected to result in speedy and better quality hires; and better participation and more involvement of hiring officials in career events (job fairs), which resulted in a slight increase in the number of job offers for Contract Specialists, GS-9 through GS-13 grade levels, under the direct hire authority (36 job offers in FY 2010 vs. 34 in FY 2009).

USAID will continuously monitor and evaluate the effectiveness of its Hiring Reform Action Plans and make adjustments, as necessary. As actions are completed and objectives reached, the Agency will review other areas of improvement based on employee viewpoint survey and other instruments, and develop other actions plans as appropriate.

² The MAX Federal Community is used by OMB and Federal agencies to share information and collaborate. It is part of the Budget Formulation and Execution Line of Business (BFELoB).

Retention

USAID's regeneration is in and of itself a means of retaining the more experienced staff. Many of the more experienced staff had been frustrated by the deterioration of the human resource base, and ever lower operating funding. Their loyalty to the Agency's Mission will make them stay longer or even return after retirement to be a part of the "rebirth" of USAID. For the newer employees, USAID is adjusting several policies and practices in response to the professional priorities of the younger professionals. These include: more flexibility in staffing, more opportunities to travel overseas for civil service, more responsibility sooner, but with adequate training and mentoring as possible, etc.

USAID strives to create work attractors to not only retain current staff, but to position USAID to be able to continue to recruit "the best and brightest." Recognizing that retention is as essential to talent management as recruitment, USAID offers the following work attractors, some which are agency-wide while others are case specific (i.e., targeted to a specific need):

- Employee development programs
- Flex-time, alternative work schedules, telecommuting, and transit subsidies
- Student Loan Repayment Programs (SLRP)
- Recruitment Bonuses
- Retention Bonuses, including the Joint Information Technology Skills Incentive Program which pays retention incentives to IT employees with high-demand skills
- Relocation Payments

USAID also sees employee development as a retention tool, and is leveraging its new corporate training strategy, competency management initiatives, and a new electronic individual development plan (eIDP) to develop and retain the skilled workforce it needs.

Training

USAID has recently moved to a new agency-wide approach to training, established the USAID University, and created a Corporate Learning Strategy. The Learning Management System (LMS) is the underlying support for the USAID University, which offers a range of training options for all employees through both online and classroom trainings.

The USAID Training and Education Pyramid illustrates the functionality and utility of the Learning Management System (LMS). The LMS is multi-faceted, and encompasses self-directed learning, personal development, learning from others, Agency sponsored training, formal classroom and distance learning, and use of the Learning Resource Center.

Figure IV-1



The Corporate Learning Strategy serves as a roadmap for re-engineering the Agency's overall approach to training and career/professional development. Central to the Corporate Learning Strategy is the transformation of USAID into a learning organization that recognizes that learning should: span formal, informal, and blended learning opportunities and incorporate the most appropriate strategies and technologies; map to the agency-defined competencies; and fill an identified and validated training need or skill gap.

The Strategy is designed 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 while equipped with a bimodal workforce of senior-level employees and junior level employees. During FY 2010, USAID began to implement the Corporate Learning Strategy.

Competency Management

Competency management, electronic-Individual Development Plans (e-IDPs), and the Expertise Locator are essential tools to achieving the Agency's workforce objectives and ensuring that the right people are in the right positions with the right skills. Competency management (competency models and employee assessments using the models) helps to ensure alignment of talent to current and future work requirements and support a corporate culture that champions and rewards continuous learning and is discussed more in depth under SO 4. This competency information feeds into an expertise locator in the Competency Management System that is then used to help locate staff if/when a surge is needed.

While the expertise locator is not yet in use, in FY 2010 USAID employees began to complete their competency assessments whose information feeds into the expertise locator. When a surge situation

arises, OHR, or any other stakeholder is able to search through the information to pull out specific proficiency levels for certain needed competencies.

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. Learning strategies, programs, and training designs will be harmonized and aligned with corporate direction resulting in employees being ready to successfully perform their work.

Electronic Individual Development Plan (e-IDP)

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. Thus the competency assessment tool links directly to the electronic individual development plan (e-IDP) function in the LMS that allows all staff to set and monitor their career goals. The e-IDP function will provide the opportunity for all employees to track their progress and development towards accomplishing their career goals while championing continuous learning. E-IDPs also ensure that employee learning opportunities are aligned with their needs resulting in employees who are ready to successfully perform their work.

The e-IDP is also an important tool used by the many new hire officers who come to their USAID employment with considerable international experience, but with what may be important gaps in supervisory and USAID procedural knowledge. Following the guidance of an honest IDP can help the new officer more quickly take on greater responsibilities. The Agency requires all DLIs to do a paper IDP as part of their initial orientation to USAID.

Beginning with the FY 2010 competency management assessments, the e-IDP function will be the final step of the annual assessment.

Succession and Leadership Management

USAID's clients are in third-world countries and our front line is overseas. Effective FS succession planning is critical given the high number of USAID's Senior Foreign Service officers who are or will be eligible to retire in the next few years. As seen in the tables below, 94% of Career Ministers and 81% of both Minister-Counselors and Counselors are eligible to retire as of the end of FY 2010. By 2015, 100% of Career Ministers, 88% of Minister Counselors, and 93% of Counselors will be eligible for retirement.

This impending retirement wave, the expanding role of USAID and thus greater demand for FSOs (as articulated by the CWPM), the soon to be released Quadrennial Diplomacy and Development Review, and the relatively small cadre of FSOs in the agency make succession planning an imperative for mission effectiveness. Through the refinements in the hiring process, the newly launched Corporate Learning Strategy, implementation of competency management, and USAID's Five Year Workforce Plan

and Leadership Succession Plan, the Agency is confident it is and will continue to successfully plan for the future.

All of the solutions covered above contribute to the effective management of succession at USAID. USAID’s succession goal is to develop and maintain adequate bench strength (more critical now than ever given percentage of senior staff that is expected to retire in the next five years. To achieve this objective, USAID must ensure:

- Efficient and effective recruitment mechanisms.
- Retention incentives to retain key staff.
- Appropriate development of staff at all levels, including development of future leaders.

USAID is mindful that it is a dynamic and evolving organization. As a result, the Agency’s must have a forward-looking succession plan. The Agency’s goal is to grow leaders whose experience and skills are broad-based and adaptable to emerging needs, changing roles, functions and positions and additionally to grow staff so that their skills are relevant to evolving responsibilities. More information is presented in the Addendum.

MANAGING A MULTI-SECTOR WORKFORCE

OMB Memorandum M-09-26 requires agencies to begin developing and implementing policies, practices, and tools for managing the multi-sector workforce. The memorandum supports agencies with adopting a framework built on strong human capital planning, sound sourcing determinations, collaborative management practices, conducting multi-sector workforce planning pilots, and using OMB guidelines when considering in-sourcing. More specific criteria are outlined in Figure IV-2.

Figure IV-2

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

During FY 2010, USAID conducted a pilot comprehensive analysis of the Office of the Chief Information Officer (CIO) pursuant to an OMB/OPM directive on managing a multi-sector workforce. The multi-sector workforce pilot is designed to support stronger alignment of staff to workload and mission, particularly given the increasing need for rapid responses to fast-emerging needs. As a result of the diversity of skills needed to meet different priorities, USAID must make strategic decisions about those individuals hired and kept on-staff versus individuals filling less permanent roles. USAID is taking

advantage of the multi-sector workforce pilot as a way to better align the agency's needs with the optimal staff to get the job done.

As a part of the "Sourcing Determination" (i.e., to grow or to buy talent required), the memorandum required Federal agencies to conduct a pilot human capital analysis of at least one program, project, or activity where the agency has concerns about the extent of reliance on contractors. USAID conducted its multi-sector workforce pilot on the Office of the Chief Information Officer (OCIO) and delivered its results to OPM and OMB. After creating an action plan, USAID began implementing the suggested activities in OCIO.

During FY 2010, USAID launched an Agency-wide multi-sector workforce analysis, for all of headquarters. The analysis will continue into FY 2011 with results anticipated by FY end. OHR will develop a comprehensive implementation plan for workforce balancing in FY 2011. The multi-sector workforce analysis is particularly relevant given the high concentration of support contractors in USAID. Bringing mission-focused positions back in-house is particularly beneficial for USAID as:

- It reduces the erosion of the in-house capacity that is essential to effective performance
- It helps the Agency to balance the workforce by creating efficiencies through increased collaboration and direct lines of communication across organizational lines
- Reduces costs associated with procuring and managing contractors

The goal is to complete the in-sourcing analysis of all of USAID in Washington, DC by the end of FY 2011. Ultimately, this effort will allow USAID to better align staffing to workload needs and mission imperatives.

V. Current Workforce Composition

At the beginning of FY 2011, USAID employed 3164 career USDH personnel: 1353 CS and 1811 FSOs. During this year, USAID also employed 4487 Foreign Service Nationals (FSNs) and 703 Personal Services Contractors and other categories of personnel (USPSC/Other), as seen in Figure V-1.

Figure V-1: Staff by Employment Category

Number of USAID Staff by Employment Category FY 1995 - FY 2010																
All Data As of September 30 (unless otherwise noted)																
Excludes the Office of the Inspector General																
Employment Category	1995	1996	1997	1998	1999	2000	2001	2002	2003	2004	2005*	2006*	2007*	2008*	2009*	2010*
Foreign Service	1337	1176	1092	1043	1017	996	992	990	986	1000	1111	1197	1230	1299	1488	1811
Civil Service	1427	1202	1143	1109	1044	951	959	1006	1002	1036	1100	1026	998	1068	1112	1353
FSNs (includes FSNDH)	5211	4622	4253	4079	4205	4400	4585	4725	4852	4936	4902	4766	4657	3890	4207	4487
USPSCs	591	509	490	490	544	613	631	628	596	623	583	547	628	576	591	703
PASA	44	32	35	31	39	27	24	36	32	50	71	117	132	115	135	131
RSSA	111	93	89	106	114	117	117	136	132	114	96	54	7	9	8	8
IPA	6	4	3	5	6	4	4	3	4	3	6	3	3	3	2	0
Fellows	106	97	113	142	132	127	114	97	76	75	73	56	38	46	131	113
TAACS	25	27	36	30	38	38	50	60	51	56	53	18	7	3	2	0
Other	19	25	4	6	4	2	3	3	4	2	9	12	93	48	3	4
Grand Total	8877	7787	7258	7041	7143	7275	7479	7684	7735	7895	8004	7796	7793	7057	7679	8610

Updated 10/01/2010

* 9/30/2005 FS includes 71 FSLs and CS includes 32 surge employees
 9/30/2006 FS includes 181 FSLs and CS includes 3 surge employees
 9/30/2007 FS includes 211 FSLs and CS includes 1 surge employee
 9/30/2008 FS includes 201 FSLs and CS includes 1 surge employee
 9/30/2009 FS includes 183 FSLs and CS includes 0 surge employees
 9/30/2010 FS includes 183 FSLs and CS includes 0 surge employees

NB: Non-USDH for 2008 numbers as of November 30, 2008

Figure V-2 further breaks down the data and presents the USDH personnel by respective grades in the FS and CS. The bulk of the CS is centered on GS-14 with 370 employees, while the majority of the FS workforce is in FS-02, with 331 employees.

Figure V-2: USAID Direct Hire Workforce in Washington and Overseas

U.S.A.I.D. DIRECT HIRE (FOREIGN & CIVIL SERVICE) EMPLOYEES IN WASHINGTON AND OVERSEAS Does not include OIG or FSLs										
EMP GRADE	TOTAL WASH	TOTAL O/S	GRAND TOTAL	AVG AGE	AVG TIG*	AVG TIS**	MALE	% MALE	FEM	% FEM
<i>Sr. Foreign Service</i>										
FE-CM	8	8	16	61	3	31	5	31%	7	44%
FE-MC	17	22	39	57	3	25	25	64%	11	28%
FE-OC	34	68	102	55	3	25	61	60%	29	28%
SUBTOTAL SFS	59	98	157	56	3	26	91	58%	47	30%
<i>Foreign Service</i>										
01	72	211	283	53	4	20	154	54%	108	38%
02	71	260	331	48	2	12	150	45%	116	35%
03	46	219	265	43	2	9	155	58%	128	48%
04	7	118	125	40	3	7	34	27%	41	33%
05	25	160	185	34	1	5	39	21%	61	33%
06	168	26	194	33	1	2	90	46%	91	47%
Sub-Total FS	389	994	1383	44	3	11	622	45%	545	39%
TOTAL SFS/FS*	448	1092	1540	45	2	12	713	46%	592	38%
<i>Civil Service ***</i>										
EX 02	1	0	1	0	0	0	0	0%	0	0%
EX 04	2	0	2	0	0	0	0	0%	0	0%
ES	25	0	25	53	3	22	13	52%	10	40%
SL	2	0	2	50	2	22	2	100%	0	0%
18	17	0	17	60	3	9	3	18%	2	12%
15	242	1	243	54	5	21	114	47%	86	35%
14	370	0	370	49	5	18	126	34%	166	45%
13	272	0	272	44	3	15	86	32%	142	52%
12	163	0	163	43	3	15	29	18%	101	62%
11	93	0	93	40	2	11	21	23%	77	83%
10	10	0	10	51	6	30	0	0%	8	80%
09	64	0	64	44	3	16	17	27%	51	80%
08	27	0	27	46	3	17	4	15%	17	63%
07	31	0	31	52	10	23	2	6%	17	55%
06	7	0	7	40	9	15	0	0%	4	57%
05	4	0	4	31	2	4	0	0%	6	150%
04	9	0	9	21	0	0	2	0%	2	0%
03	2	0	2	49	11	22	0	0%	2	100%
00	1	0	1	36	0	3	0	0%	2	200%
TOTAL CS**	1342	1	1343	47	4	17	419	31%	693	52%
TOT FS & CS (see comment below)	1790	1093	2883	46	3	14	1132	39%	1285	45%

COMMENT: Number includes Office of Security. Off of Security moved out of OIG in March 1999.

* AVG TIG: Average Time in Grade
 ** AVG TIS: Average Time in Service
 *** Civil Service levels include pay schedules AD, GS, GM, & summer hires. For a breakout of EX, AD and Schedule C Employees please see Table 4.

Designed and drafted by: MHR/PPIM

Figure V-3 and V-4 on the following page compares the staffing levels of overseas and Washington offices from 1990 through 2010. The increases from the DLI and corresponding CS hiring has finally returned USAID's workforce to pre-1995 levels, before the RIF. The most recent data demonstrate the Agency's renewed commitment to providing the resources and workforce needed to achieve the Agency's mission. But with the increase comes the need and capacity to effectively manage a growing workforce.

Figure V-3: Comparison of Overseas and Washington Staffing Levels, without FSLs and CS Surge

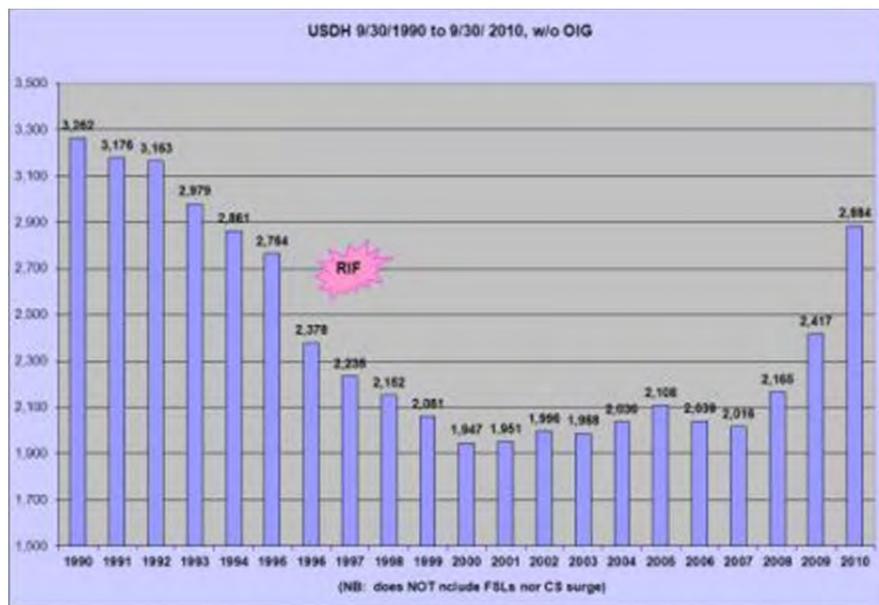


Figure V-4: Comparison of Overseas and Washington Staffing Levels, with FSLs and CS Surge



With FSLs and the CS surge, staffing levels within the Agency are nearly above 1990 staffing levels.

Figure V-5, below, compares 1995 and 2010 staffing levels overseas and in Washington (including FSLs and CS surge). Washington staffing levels have surpassed 1995 staffing levels (before the RIF), while current Overseas staffing levels of 6274 are below 1995's level of 6608.

Figure V-5: Comparison of Overseas and Washington Staffing Levels, with FSLs and CS Surge

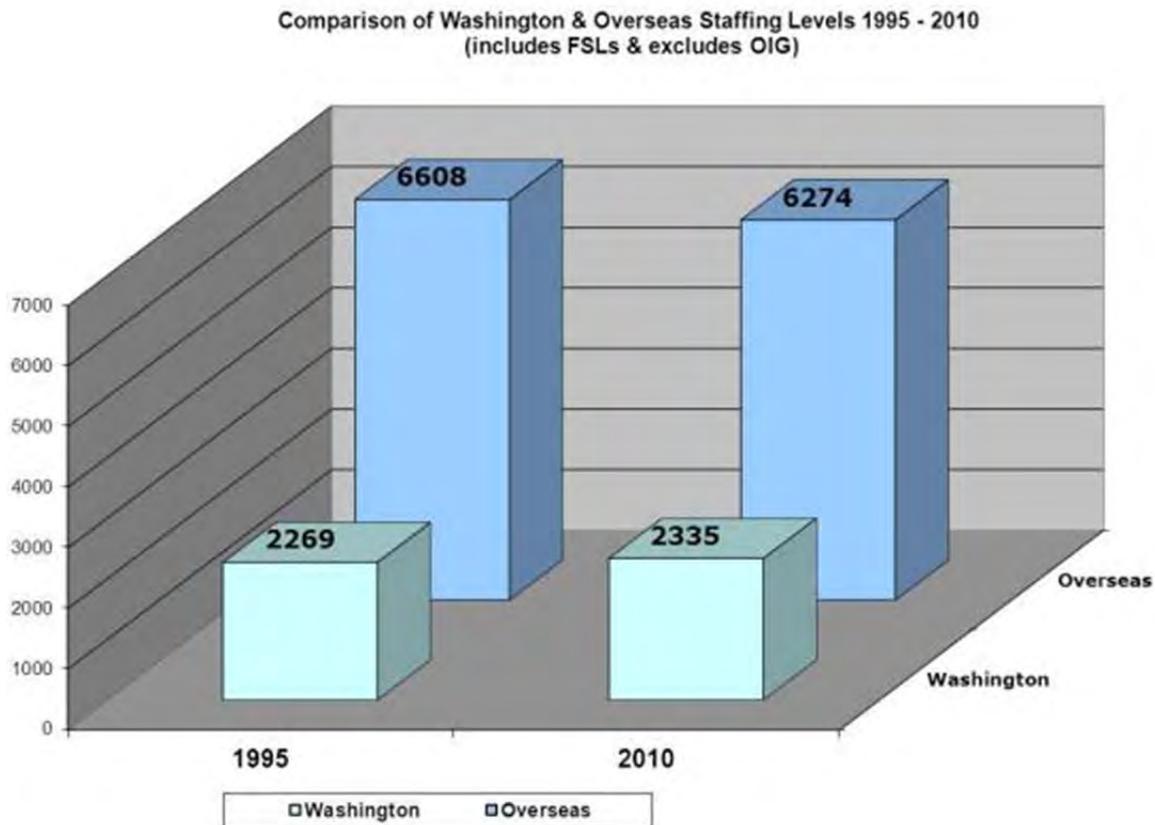
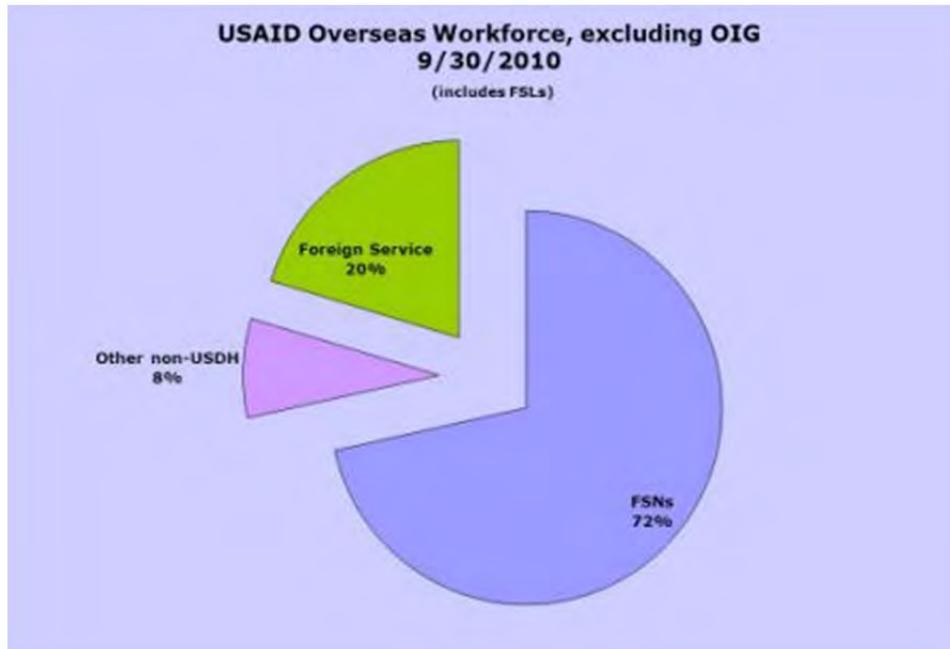


Figure V-6 displays the compositions of the overseas workforce. This shows that FSNs currently dominate USAID's overseas presence, encompassing 72% of the workforce, while FSOs account only 20%.

Figure V-6: Overseas Workforce



Meanwhile, Figure V-7 depicts the compositions of the Washington workforce: the Civil Service comprises 58% of the workforce, Foreign Service comprises 23%, and non-USDH personnel comprise the remaining 19%.

Figure V-7: Washington Workforce

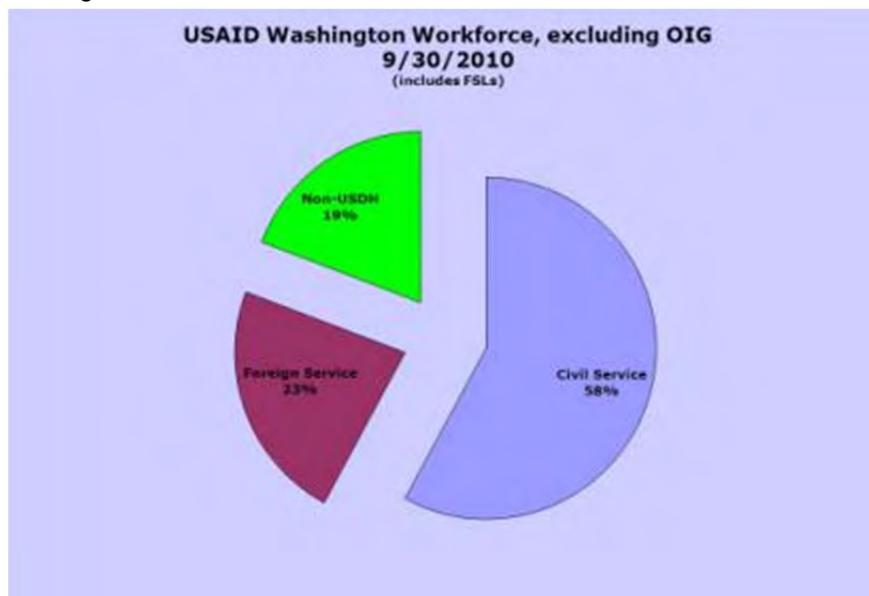
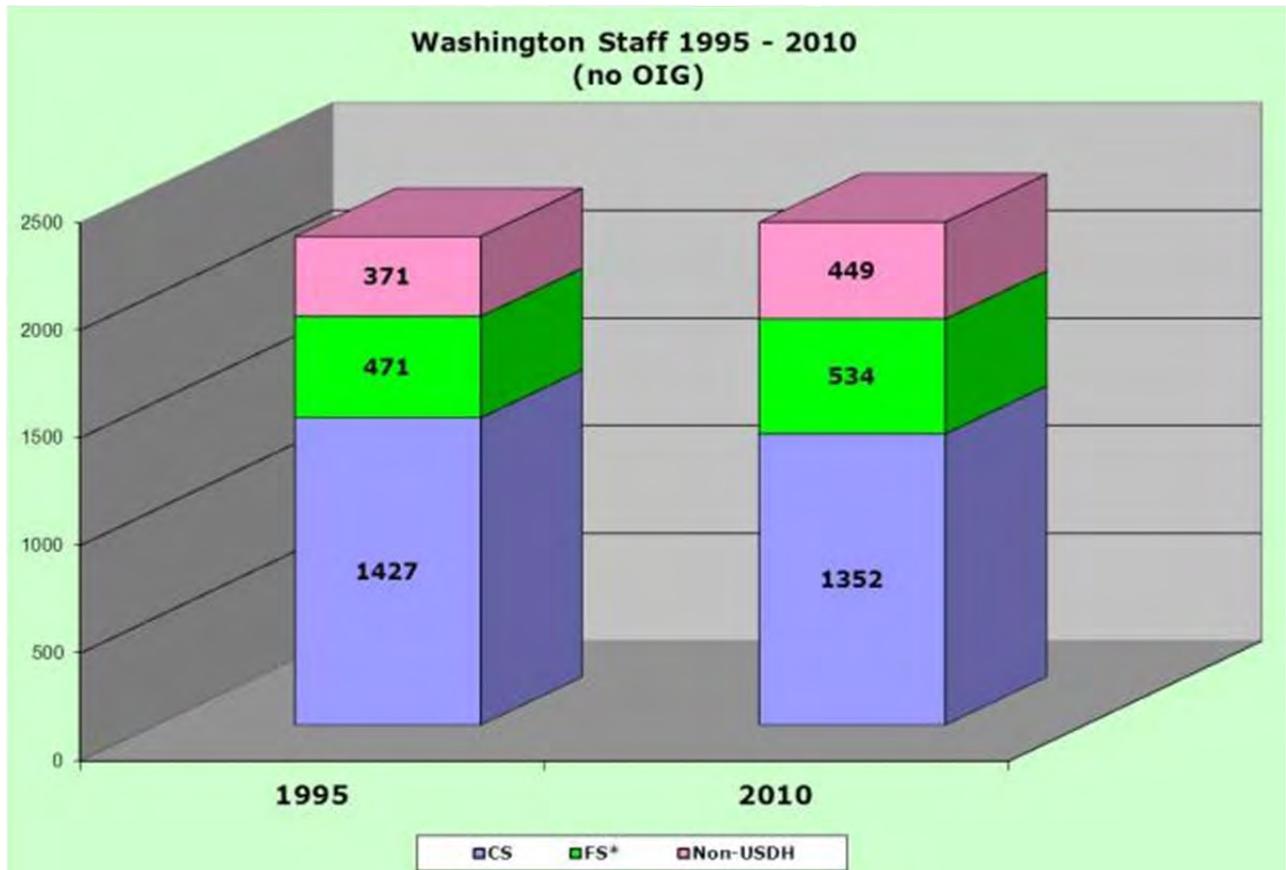


Figure V-8 displays a historical view of USAID staff by employment category from 1995 to 2010. The FS staffing levels have increased from 471 to 534, due in large part to the increased staffing needed for the DLI. The size of the CS workforce, however, remains below 1995 levels, despite the increase of the workforce through DLI and other initiatives.

Figure V-8: Washington Workforce



The data in Figure V-9 (shown on the next page) demonstrate the changes in employment for major categories of USAID's workforce between 1995 and 2010. Overall, the core workforce size has decreased slightly over 4% between 1995 and 2010, despite an increase in the scope of USAID's mission and initiatives.

Figure V-9: Washington Workforce

Workforce Levels: Comparison Between 9/30/1995 and 9/30/2010

The following table shows on-board levels as of September 30, 1995, and September 30, 2010, for major categories of the Agency's workforce and the change between dates. The aggregated changes are summarized below, with the USDH and FSN (Core Workforce) sub-totaled for comparison with the Non-Direct Hire Workforce.

The Office of the Inspector General is excluded from data below.

Year>	1995	2010	Δ	1995	2010	Δ	1995	2010	Δ	1995	2010	Δ	1995	2010	Δ	1995	2010	Δ	1995	2010	Δ	1995	2010	Δ	1995	2010	Δ			
Category>	CS	CS	Δ	FS	FS	Δ	FSN	FSN	Δ	USPSC	USPSC	Δ	PASA	PASA	Δ	RSSA	RSSA	Δ	IPA	IPA	Δ	Fellows	Fellows	Δ	TAACS	TAACS	Δ	Other	Other	Δ
Washington	1427	1352	-75	471	534	63	6	0	-6	130	231	101	11	119	108	11	6	-105	6	0	-6	87	93	6	15	0	-15	5	0	-5
Overseas	0	1	1	866	1277	411	5205	4487	-718	461	472	11	33	12	-21	0	2	2	0	0	0	19	20	1	10	0	-10	14	4	-10
Totals	1427	1353	-74	1337	1811	474	5211	4487	-724	591	703	112	44	131	87	111	8	-103	6	0	-6	106	113	7	25	0	-25	19	4	-15

NB: FS includes 191 FSLs and CS includes zero surge.

Comparison	1995	2010
Total Onboard	8877	8610

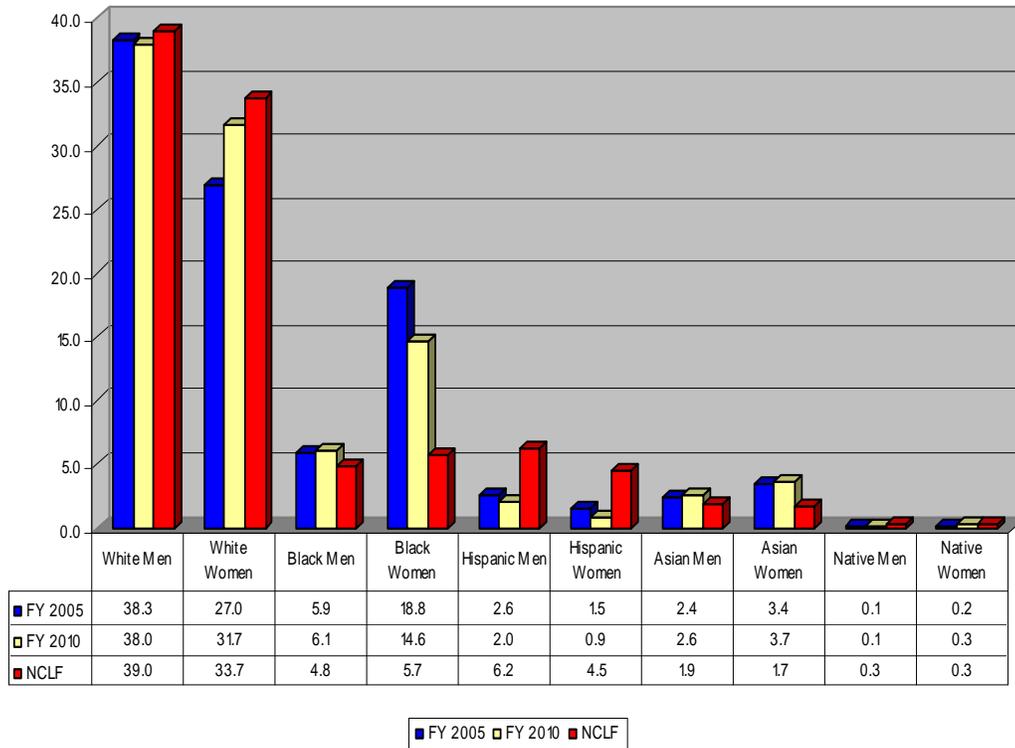
Category	Change
USDH	400
FSN	-724 -324 Change in Core Workforce
USPSC	112
PASA	87
RSSA	-103
IPA	-6
Fellows	7
TAACS	-25
Others	-15 57 Change in Remainder of Non-Direct Hire Workforce
	-267

Core Workforce Change = -4.06%
 Non-Direct Hire Workforce Change (w/o Core) = 6.32%

updated on 09/30/10 HR/PPIM

USAID continues to make great strides in terms of workforce diversity, and consistently outranks the National Civilian Labor Force (NCLF) percentages for many demographic groups. As seen in Figure V-10, the Agency exceeds the NCLF for Asians and Blacks. USAID continues to employ Hispanics and Native Americans at rates below the NCLF, but current outreach efforts are focused on increasing the diversity of the workforce.

Figure V-10: Agency-wide Workforce Diversity Profile as of September 30, 2010



Figures V-11 and V-12 (prepared by OCRD) breakdown USAID’s workforce into the Foreign and Civil Service workforces, and demonstrate similar diversity profiles. The CS and FS distributions are similar, with the exception of the larger number of Black women in the CS. Overall, USAID has a diverse population, but needs to continue working in increasing Hispanics in the workforce. It should be noted, however, specifically with regard to the FS workforce, that comparing USAID to the National Civilian Labor Force (NCLF) is not necessarily indicative of USAID’s success in diversifying the workforce. The FS workforce relies on a highly educated and professional workforce with overseas experience. The NCLF is a snapshot of a much wider applicant pool than the FS can draw from. For that reason, comparisons of the USAID workforce and the NCLF may negatively skew and obscure the success of the Agency’s diversity efforts.

Figure V-11: 2010 Foreign Service Diversity Profile

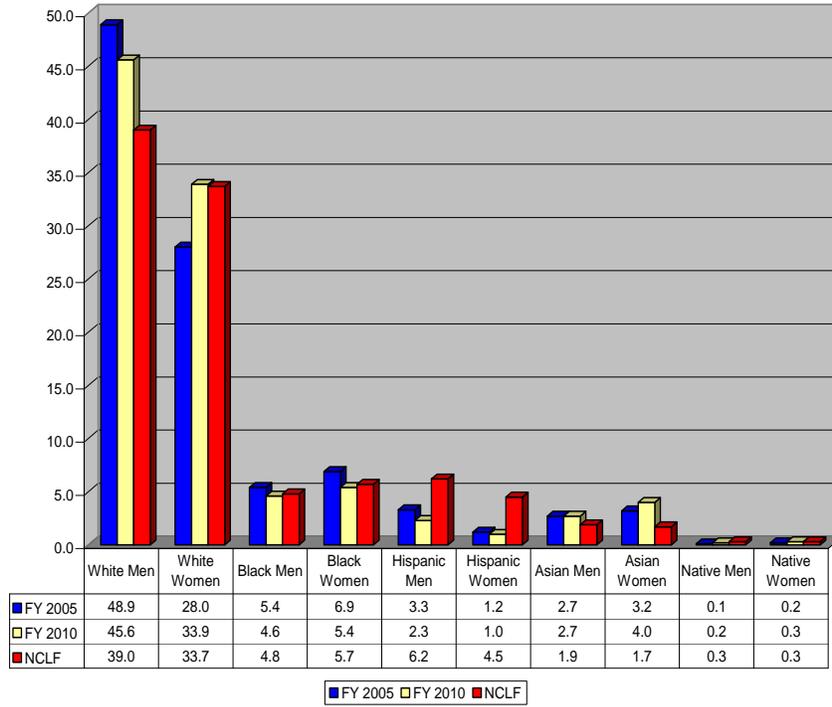
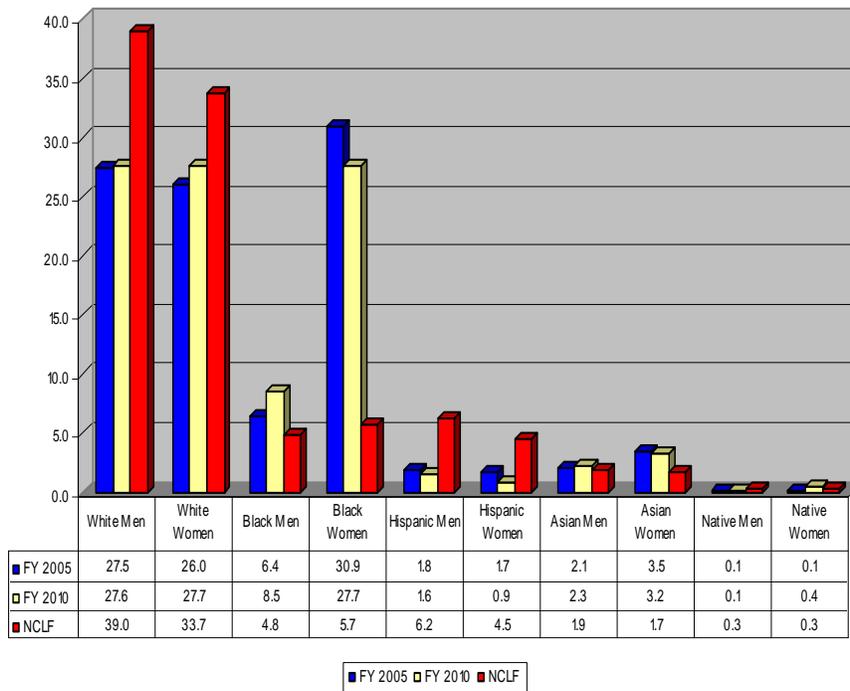


Figure V-12: 2010 Civil Service Diversity Profile



VI. Foreign Service

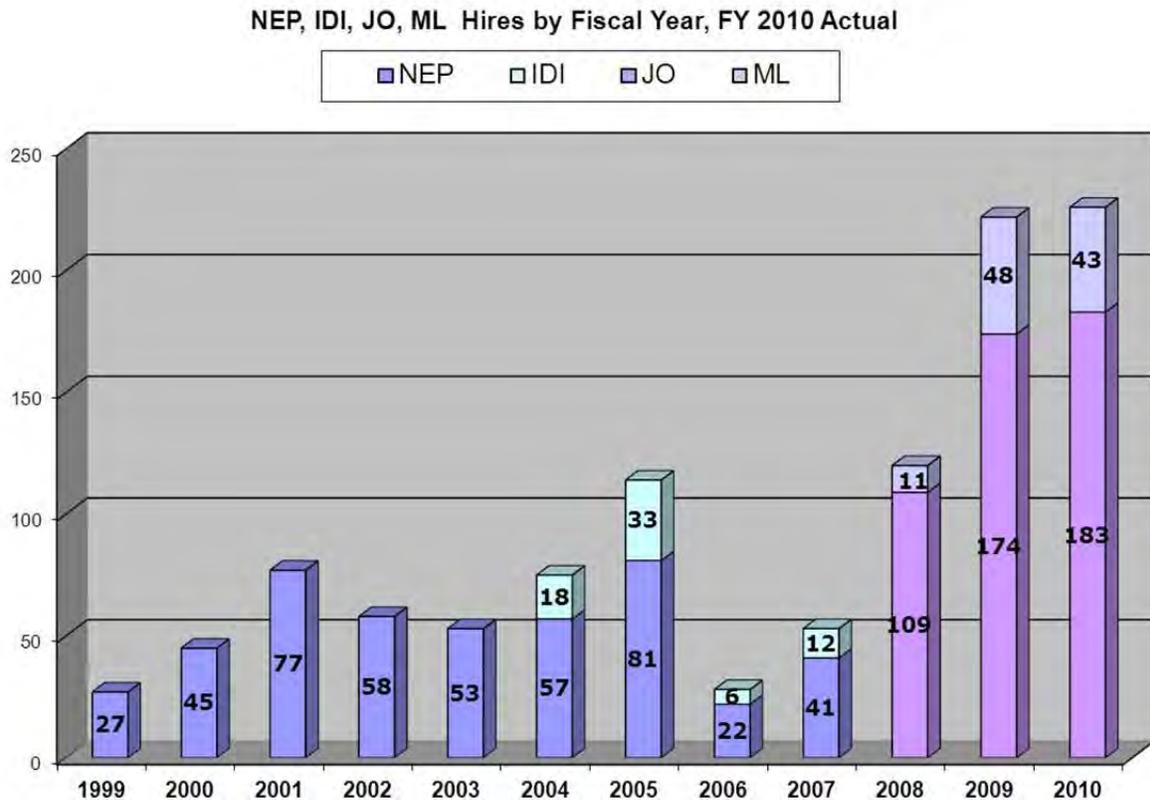
The Foreign Service (FS) is a rank-in-person personnel system (based on the military model) with new employees generally entering at bottom levels. The FS is governed by different tenure, promotion, and retirement rules than the CS. USAID aims to significantly increase the number of FSOs over the next few years, enhancing the Agency's capacity to effectively deliver U.S. foreign assistance. The plan is to increase the number of officers in the following backstops: Program/Project Development, Executive Officers, Controllers, Economic Growth, Health, Education, Crisis Stabilization, Regional Legal Advisors, and Contract Officers. In addition to recruiting and hiring new FSOs, the Agency will focus on effective training for new hires, with a focus on language training.

The Development Leadership Initiative (DLI) is a multi-year effort to rebuild and reposition USAID around the globe as a technical leader in development. The original goal of doubling the Foreign Service by FY2012 has been extended by several years because of budget adjustments. The operational guidance for the processes and procedures for Agency personnel to use when supporting, mentoring, or supervising Foreign Service Officers (FSOs) under the DLI was initially issued in the "Development Leadership Initiative Implementation Guidance" in 2008. This was updated and revised in August 2010.

As of August 2010, USAID hired 565 new Foreign Service Officers (FSO) in thirteen classes; additionally, USAID has a "pre-employment" pipeline of 260 new FSOs who have been selected and are now at various states of the pre-employment clearance and onboarding process. Medical and security clearance processes can require between four months and a year, but with the pipeline and a continuing influx of new applicants, USAID is on course to meet its DLI goals of hiring 1200 new officers. Changes were made to the existing Foreign Service hiring process to handle the significant expansion of intake. OHR has used several contracts to help meet the DLI's ambitious recruitment and hiring tasks, such as applicant processing, orientation and selected training, coaching/mentoring, and logistics support.

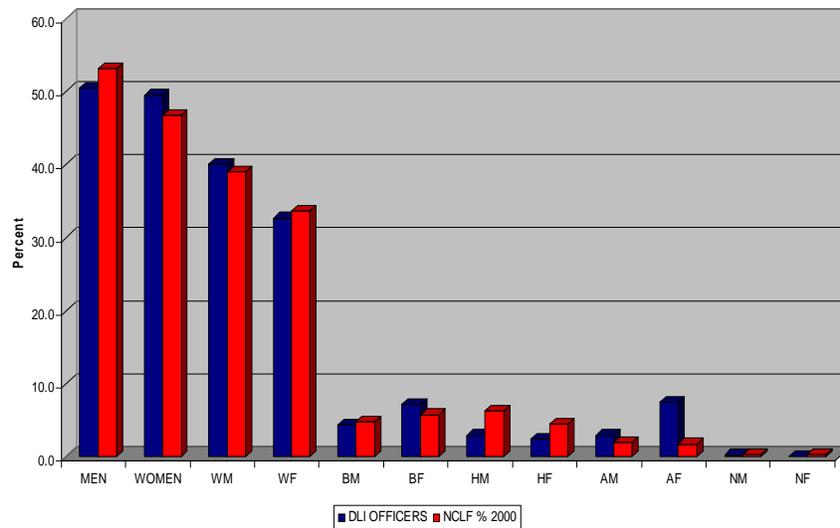
As seen in figure VI-1, there has been a surge in the number of new JOs hired into the FS. Note that the numbers per year are actual numbers brought on board in a given year and not the number of DLI funded in a given year.

Figure VI-1: NEP, IDI, JO Hires by Fiscal Year



Consistent with the Foreign Service Act of 1980, USAID has focused efforts on attracting a more diverse workforce, through its recruitment outreach efforts and by paying candidate travel costs to come to Washington for assessments. Under the DLI USAID has stressed recruitment of diverse candidates and has improved the number of women that joined the Foreign Service making the number of women in the DLI almost equal to those of men. A continuing challenge for USAID is the recruitment of Hispanic and Asian employees. This is a perennial challenge both within USAID and throughout the Federal government. To combat this, USAID continues to pursue several outreach methods to ensure the diversity of DLI classes and will use the resources within the new Office of Civil Rights and Diversity to ensure continued success in the future.

Figure VI-2: DLI Diversity, Classes 1 - 9



	TOTAL	MEN	WOMEN	White Men	White Women	Black Men	Black Women	Hispanic Men	Hispanic Women	Asian Men	Asian Women	Native American Men	Native American Women
	551	278	273	221	180	24	39	16	13	16	41	1	0
	%	50.5	49.5	40.1	32.7	4.3	7.1	2.9	2.4	2.9	7.4	0.2	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

Note: Not all of the 565 new officers hired under the DLI have been captured in diversity data.

A special note is also needed, while the comparison point provided here is the National Civilian Labor Force, individuals in the DLI need to have at least a bachelor's degree and professional overseas experience. This reduces the size of the applicant pool for all groups.

Foreign Service Readiness

In addition to initiatives undertaken specifically for the DLI, USAID made additional strides to improve the functionality of the FSP Division. FSP created a comprehensive set of Standard Operating Procedures (SOPs) to ensure consistency in its operations. These SOPs are discussed further in SO 5. FSP also increased efficiencies due to the expansion of the FSP staff. FSP increased its a limited staff by hiring HR specialists and those with FS experience. This change also allowed for better customer service. FSP now regularly checks HR ROCs to ensure there are no issues left unresolved.

Another large initiative undertaken by FSP in FY 2010 was a position realignment exercise. This exercise reviewed the number of vacant positions and concluded that there were not enough available FSOs to fill all positions. The realignment had positive results and more positions are now being filled. The end result was 547 positions and 469 eligible bidders (including mid-level DLI) for a projected FSO fill rate of 86%. This was a greatly improved figure from the fill rate of 65% from FY 2009, as far more positions were validated than there were bidders, especially in Africa, which previously suffered from a fill rate of 50%.

This realignment ensures that the most critical positions are advertised and thus filled, while less critical positions are postponed. This reduction will allow Missions to explore alternative staffing methods (PSCs, STAR appointments, etc.) earlier in the assignment year, as opposed to waiting until after Update 1 to consider these options. Now missions, bureaus, and offices can be assured that they can fill nearly all of their important positions because the number of positions advertised only slightly exceeds the number of eligible bidders.

USAID continued to staff the critical priority countries (CPCs) of Afghanistan, Pakistan, Iraq, and Sudan. The goal for FY 2010 was 387 USAID FSOs/FSLs in Afghanistan. With only 1,400 total FSOs on staff, with more than one third having already served in a CPC, and Embassy policy of not allowing first tour JOs to be assigned, USAID has had to increase use of non-career appointments (FSLs) to fill the necessary positions. In OHR, a special Afghanistan-Pakistan hiring team has been established headed by a former USAID SFS MD. She is leading an expanded recruitment and outreach strategy. USAID has implemented strategies to increase the appeal of service in CPCs to career FSOs. Officers serving in a CPC receive preference in their next assignment, and special pay and promotions panels are rewarding demonstrated skills with promotions.

Additional changes were made to the bidding process for positions because of the January 2010 earthquake in Haiti. Many FSOs had to curtail their assignment in Haiti due to extenuating circumstances, such as having small children, and a special bidding opportunity arose for new staff to go to this location. This process, aided by a waive in the biweekly pay cap, was completed quickly and efficiently to ensure the resources, especially those in Global Health and Feed the Future, were there when needed. This waive in the pay cap, for all employees covered by Title 5 premium pay provisions whose work in the field and in Washington is directly related to disaster response and reconstruction efforts in Haiti, was announced in an Agency notice titled, "2010 Annual Premium Pay Cap in Effect for Employees Working on Disaster Response and Reconstruction Efforts in Haiti" in March 2010.

In accordance with National Security Presidential Directive-44, the Civilian Response Corps (CRC) was created "to promote security of the United States through improved coordination, planning and implementation of stabilization and reconstruction assistance." USAID, one of eight agencies part of the CRC team, has recruited members of both components of the CRC: Active and Standby to deploy to foreign states and regions at risk for, in, or in transition from conflict or civil strife. These countries include Afghanistan, Haiti, Somalia, Sudan, Sri Lanka, Pakistan and the Democratic Republic of the Congo. The CRC-Actives are newly recruited federal direct hires that receive training for three to four months a year and can be ready to deploy within five days for up to six months. Currently USAID has 36 CRC-As, with a goal of hiring 55 more for a total of 91. CRC-Standbys are current Federal direct hires that simply sign up to be part of the Corp. They receive two to four weeks of training per year and must be able to deploy within thirty days for up to 6 months. Currently USAID has 168 CRC-Ss with a hope of reaching a total of 728. In support of the CRC, USAID also manages the Civilian deployment Center. This center provides storage and distribution of equipment, mission-specific training, and final readiness checks. IN addition to the CRC, USAID also taps its career FSO corps to meet emerging needs, surging staff from all regions to support Haiti-post earthquake.

FSP created new a chapter on the policy directives and required procedures that govern FS appointments. This chapter replaces ADS 414 and was quickly approved by the Union. The changes in

the chapter include guidance on using return appointments to bring back retired Foreign Service Officers to meet critical staffing vacancies, as well as other hiring authorities.

The hiring process was also modified in 2009 to calibrate the intake process with projected demand. Rather than using continuous job opening announcements with 18 different categories, USAID reengineered the advertisement process to open and close advertisements periodically based on the pipeline of applicants. This was a change from the previous hiring process that resulted in large pipelines of candidates beyond expected hiring in the FY. Applicants now get quicker feedback on their application and know when the next round of applications will be accepted. These modified recruitment efforts began in the summer of 2010. Hiring targets now reflect the new Administration's priorities of agriculture, health, and climate change.

Align Staff to Meet Critical Priorities

To ensure that staff is in critical positions that align with the agency mission, USAID developed a defined pipeline for its officers that clearly articulates their career progression. This progression was outlined in the DLI Implementation Guide that provides operational guidance on the processes and procedures for Agency personnel to use when supporting, mentoring, or supervising FSOs under the DLI. The DLI pipeline:

- Ensures staff members are stationed in the four Critical Priority Countries (CPCs): Afghanistan, Pakistan, Iraq, and Sudan. Due to the difficulty of finding volunteers to rotate to these locations, USAID continues to require all Foreign Service Officers (FSOs) to serve at least two years of deployment in one of the four CPCs at some point during their career. In addition, USAID realigned Foreign Service (FS) positions to ensure the adequate staffing of CPCs (see SO 2 for more details).
- Meets staffing needs at the time they arise. On January 12, 2010, a catastrophic earthquake hit Haiti, causing the death of approximately 230,000 people, the injury of 300,000, and the displacement of about 1 million. As a result of this earthquake, many USAID FSOs had to curtail their duty due to personal/family related issues. To meet this need, USAID held a special bidding opportunity for FSOs to bid and deploy to Haiti quickly and efficiently to ensure that necessary resources got on the ground as soon as possible. Resources were provided particularly in the areas of Global Health and Administrator Shah's Feed the Future initiative. This rapidly evolving need was met by the Agency in a quick and efficient manner that is in alignment with the Agency mission.

To ensure the development of a strong leadership succession pipeline, USAID enacted firm policies to ensure that entry-level Officers, hired under the DLI, are not placed in one of the four CPCs on their first mission. This staffing decision was met with challenges both internal and external to the agency. USAID is being repeatedly criticized for sending first-time placements hired under the DLI to Latin America where physical space, supervisors to staff the missions, and resources are readily available. Placements in Latin American countries are meant to provide new Officers with an environment of increased coaching and mentoring as the new Officer completes his or her first placement. Critics cite the importance of sending more FSOs to Africa and CPCs where there are few supervisors to assist newly minted officers. They emphasize a "sink or swim" mentality that is designed to separate those who will succeed in the development community versus those who can and should not. Currently,

Africa has both a staffing need and priority missions. This conflict between locations that “can be staffed” versus locations that “need to be staffed” is creating challenges as the DLI progresses and new FSOs begin to be deployed.

As the program continues, USAID continues to devise innovative strategies that ensure that staffing needs are met in the areas where employees are most needed. One such strategy, developed in FY 2010, was the creation of a comprehensive long-term space plan that includes an analysis of additional space requirements in Washington and overseas. Particularly in regional centers, USAID’s DLI Coordinator worked to determine the number of DLI positions that can be absorbed and developed initiatives to increase space in existing buildings and identified opportunities to procure new space. This will be particularly helpful for staffing the regions where individuals are especially needed. As the lead Agency in delivering humanitarian and development assistance and conveying development knowledge, USAID must have a strong infrastructure that flexes to meet and align with the agency’s mission, goals, objectives, and core values. Simultaneously, the agency must be flexible enough to meet the world’s evolving developmental priorities as they happen, such as the earthquake in Haiti or the need to prepare developing countries for the effects of global warming.

To meet current and future demands, the Agency must forecast which areas (backstops) will require the greatest increase in staffing. To that end, Figure VI-3 details the FY2010 to FY 2014 FS Recruitment Targets by Backstop.

Figure VI-3: FY 2011 - FY 2015 FS Recruitment Targets

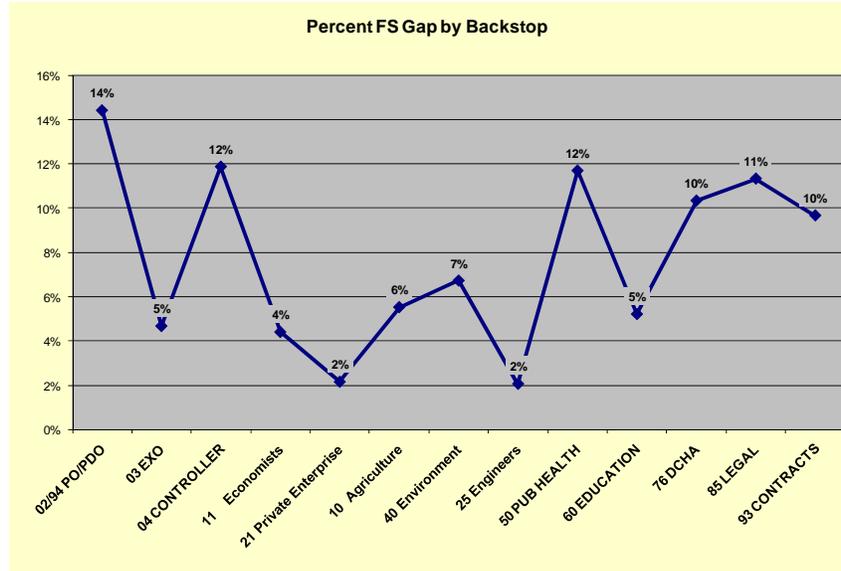
FY 2011 - FY 2015 FS HIRING TARGETS						
BACKSTOP	FY 11	FY 12	FY 13	FY 14	FY 15	TOTAL
02/94 PO/PDO	26	25	24	24	24	123
03 EXO	8	8	8	8	8	40
04 CONTROLLER	21	20	20	20	20	101
sub total - EGAT	40	35	35	34	34	178
11 Economists	9	8	7	7	7	38
21 Private Enterprise	5	3	4	3	3	18
10 Agriculture	10	9	9	10	9	47
40 Environment	11	11	12	11	12	57
25 Engineers	5	4	3	3	3	18
50 PUB HEALTH	19	20	20	20	21	100
60 EDUCATION	9	9	9	9	9	45
76 DCHA	18	17	17	18	18	88
85 LEGAL	19	19	19	20	20	97
93 CONTRACTS	15	17	18	17	16	83
TOTALS	175	170	170	170	170	855
Total Targets	175	170	170	170	170	855
Attrition	75	75	75	75	75	375
DLI Target	100	95	95	95	95	480

Analysis used actual on boards from data retrieved 6/1/11
 Note: Attrition includes those leaving backstops to become SFS
 prepared by OHR/PPIM, 6/14/2011

Final

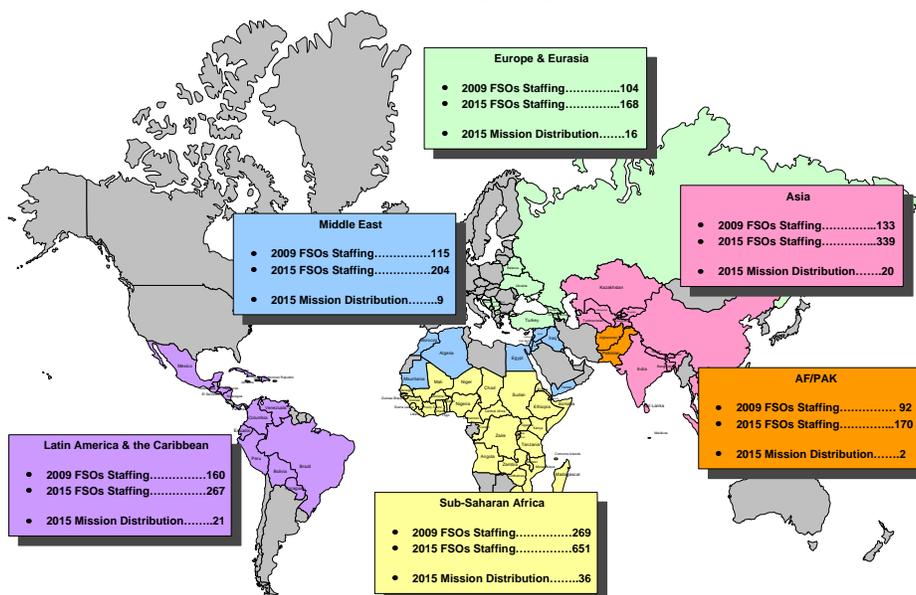
Figure VI-4 illustrates the distribution of backstops that make up the current FS gap that will be filled through workforce planning efforts.

Figure VI-4: FS Gap by Backstop



Using the Consolidated Workforce Planning Model, USAID has calculated projected staffing goals by geographic region. The map in Figure VI-5 illustrates current and projected FSO levels and mission numbers by region. In order to succeed in these varying regions of the world, as well as the increasing technical areas, FSOs are expected to work towards achieving the competencies of the technical positions, which includes strong leadership and managerial skills, responsible stewardship, building public/private partnerships, language training and other valuable skills as well.

Figure VI-5: FSO Levels and Mission Numbers by Region



Final

FS Retirement and Succession Planning

Effective FS succession planning is critical given the high number of USAID's Senior Foreign Service officers who are or will be eligible to retire in the next few years. As seen in the tables below, 94% of Career Ministers and 81% of both Minister-Counselors and Counselors are eligible to retire as of the end of FY 2010. Looking forward, the number for Career Ministers and Minister Counselors remain unchanged, but 86% of Counselors are eligible for retirement at the end of FY 2011. By 2015, 100% of Career Ministers, 88% of Minister Counselors, and 93% of Counselors will be eligible for retirement.

Figure VI-6: Retirement Eligible by Class as of 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	16	62	25	15	94%
Minister-Counselor	43	58	27	35	81%
Counselor	106	56	25	86	81%
FS-1	377	53	18	115	31%
FS-2	450	48	11	35	8%
FS-3	307	43	9	13	4%
FS-4	132	37	6	3	2%
FS-5	185	34	5	1	1%
FS-6	195	34	4	0	0%
Total	1811			303	17%

Figure VI-7: Eligible to Retire on/or before September 30, 2011

USAID Foreign Service by Class: Eligible to Retire on or before September 30, 2011					
Salary Class	Number of Employees	Average Age	Average Time in Service	Number Eligible to Retire	Percent Eligible to Retire
Career Minister	16	62	25	15	94%
Minister-Counselor	43	58	27	35	81%
Counselor	106	56	25	91	86%
FS-1	377	53	18	132	35%
FS-2	450	48	11	41	9%
FS-3	307	43	9	17	6%
FS-4	132	37	6	3	2%
FS-5	185	34	5	1	1%
FS-6	195	34	4	3	2%
Total	1811			338	19%

Data as of 9/30/2010

Figure VI-8: Retirement Eligible on/or before September 30, 2015

USAID Foreign Service by Class: Eligible to Retire on or before September 30, 2015					
Salary Class	Number of Employees	Average Age	Average Time in Service	Number Eligible to Retire	Percent Eligible to Retire
Career Minister	16	62	25	16	100%
Minister-Counselor	43	58	27	38	88%
Counselor	106	56	25	99	93%
FS-1	377	53	18	186	97%
FS-2	450	48	11	97	22%
FS-3	307	43	9	40	13%
FS-4	132	37	6	6	5%
FS-5	185	34	5	4	2%
FS-6	195	34	4	4	2%
Total	1811			490	27%

Data as of 9/30/2010

USAID is facing a potential wave in retirements over the coming years due to the aging of the “baby boomer” population. As seen in Figure VI-9, in FY 2010, the Agency projects that approximately 25% of its career Foreign Service employees will be eligible to retire. Additionally, Figure V-9 shows that despite the high retirement eligibility numbers, actual retirement rates are consistently at or below 5% in the past 4 years, and was only 3% in 2010.

Figure VI-9: Retirement Eligibles in the Foreign Service Compared to Actual Retirements

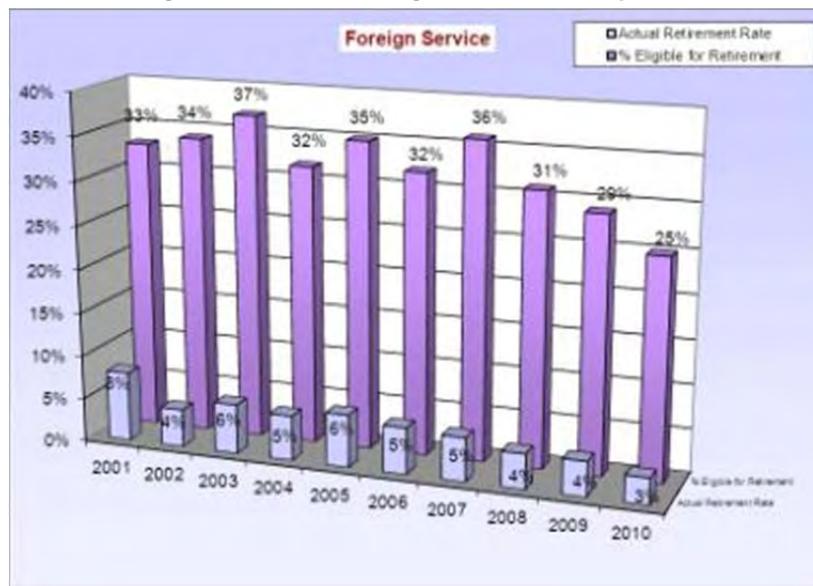
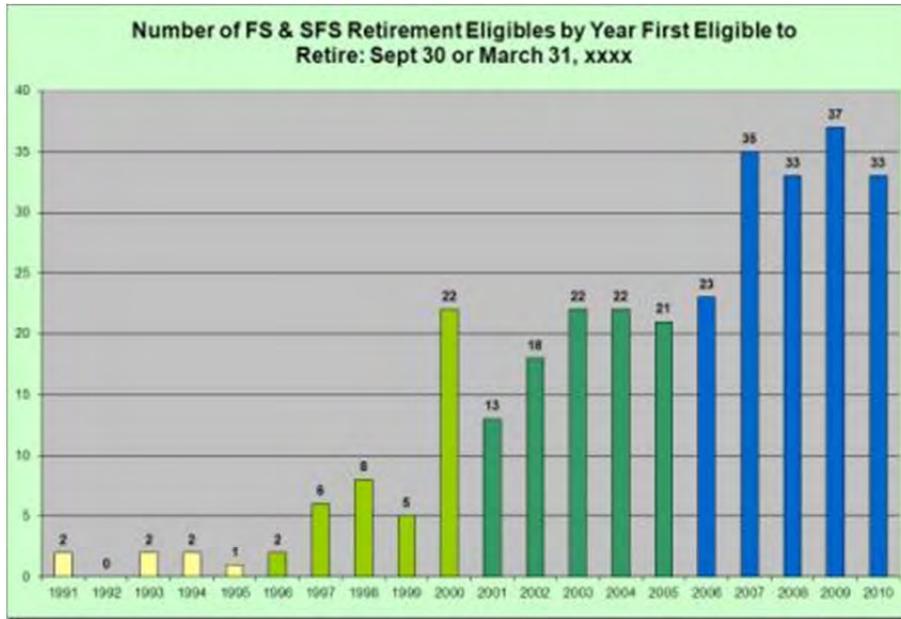


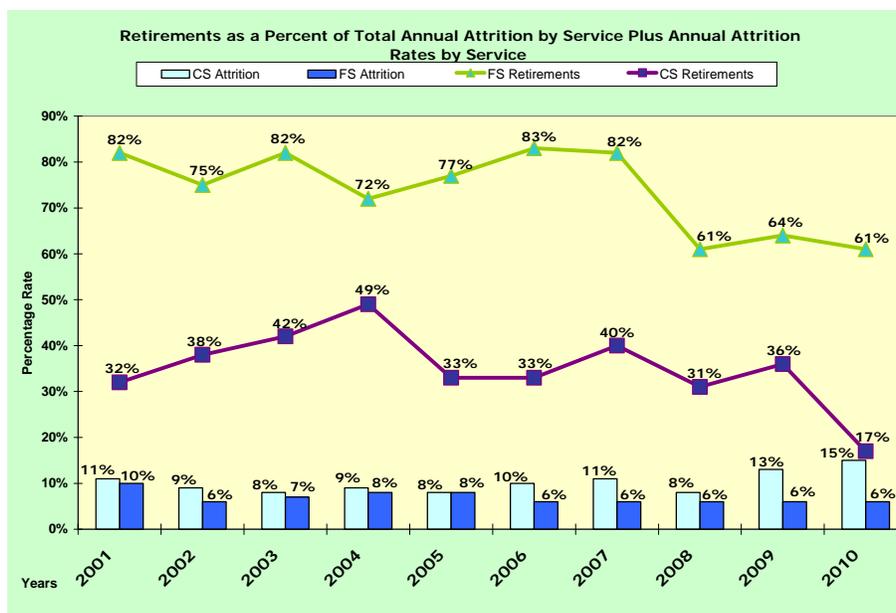
Figure VI-10, additionally shows that the number of Retirement Eligibles has been steadily increasing.

Figure VI-10: Retirement Eligibles in the Foreign Service Compared to Actual Retirements



Furthermore, unlike the CS where retirements only accounted for 17% of attrition, 61% of attrition in the FS was due to retirement.

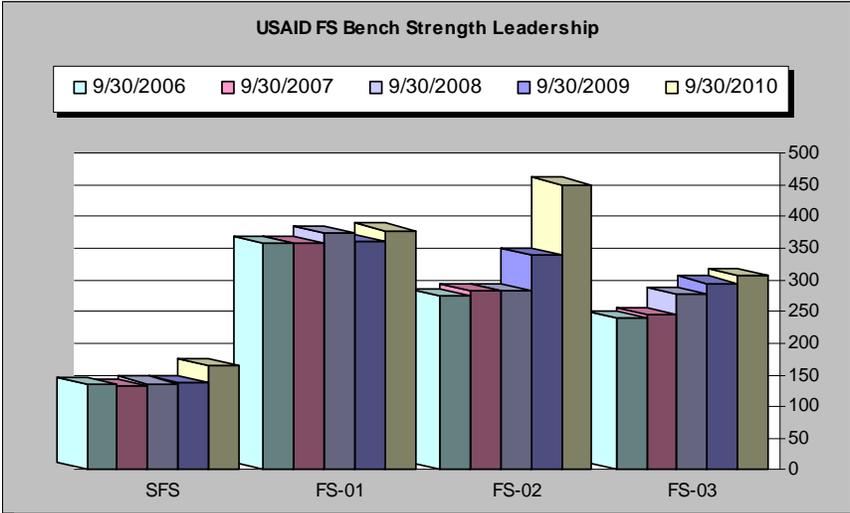
Figure VI-11: Retirement as a Percentage of Total Attrition



To prepare to manage in the event of a large-scale retirement, USAID has developed a succession plan and is currently developing highly qualified mid-level staff to eventually 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. As seen in the table below, USAID increased the size of its FSO leadership benchstrength across the board this past fiscal year.

Figure VI-12: FS Bench Strength Leadership (including FSLs)



VII. Foreign Service Nationals

Foreign Service Nationals (FSN) are citizens of countries where USAID has missions and they provide critical support in carrying out USAID's mission. This group of USAID employees constitutes more than 50 percent of USAID's total workforce and are the overwhelming majority of the workforce overseas, as seen in Figure VII-1 and VII-2. However, as seen in both graphs below, the number of FSNs have decreased from 1995's 5205 to the current 4487. Meanwhile, the size of FS workforce has been increasing.

Figure VII-1: Trends for FSNs and Other Non-USDH Overseas

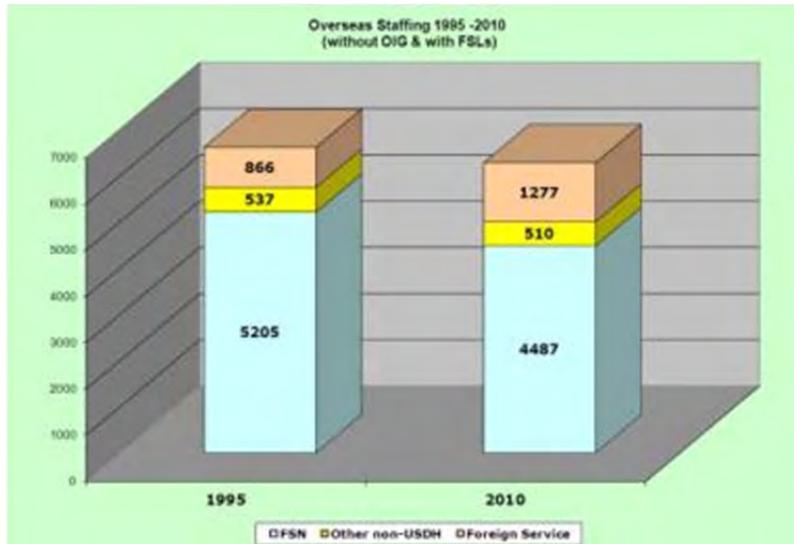
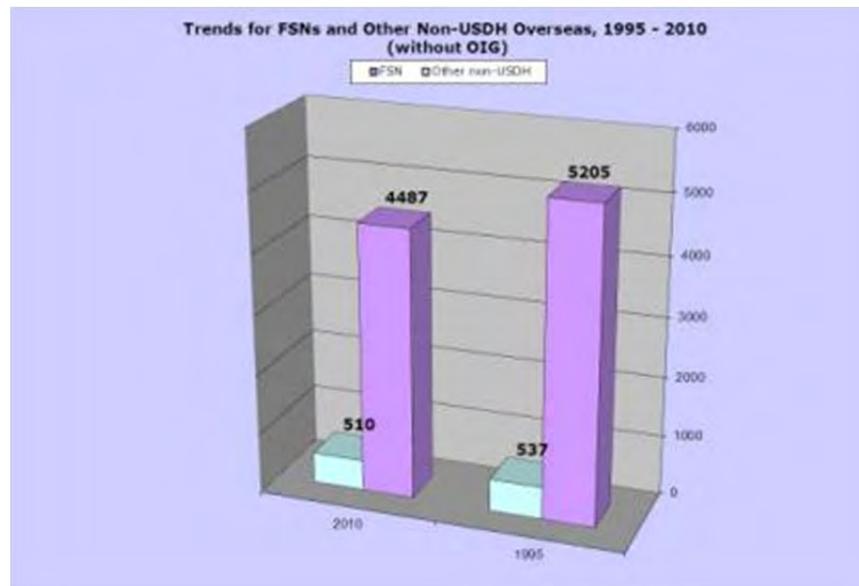


Figure VII-2: Trends for FSNs and Other Non-USDH Overseas



During FY 2010, FSN issues were brought to the forefront of the Agency, and were made more of a priority than ever before. USAID developed a task force, Strengthening the Role of FSNs, to advise USAID managers about FSNs' issues. This task force is currently planning for a worldwide conference to continue knowledge transfer about FSNs.

To better support and address issues impacting this important segment of USAID's workforce, USAID is increasing headquarters OHR staff dedicated to FSNs. Previously only one USAID FTE and one contractor supported FSN initiatives. Now USAID has two Civil Service FTEs and a contractor. OHR is also seeking placement of a Foreign Service Officer in the unit and has structured a TDY/rotational program to bring Foreign Service Nationals to OHR on a rotational basis to support this function.

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 to the field. Engaging FSNs at headquarters has helped to accelerate analytical efforts and elevated senior manager awareness of issues.

While the program was developed in FY 2009 and piloted from late 2008 through 2009, it was institutionalized in FY 2010. In fall 2009, USAID conducted an assessment of the Global Health Fellows Program, a piece of the FSN Fellowship Program Pilot Phase. This evaluation, released in January 2010, found that the FSN Washington Fellowship Program was a resounding success. Overall, these key stakeholders were pleased that the program met the identified professional development need of the FSNs.

The program's key stakeholders all agreed that they would recommend colleagues participate in or support the FSN Washington Fellowship Program, but they also provided feedback to improve the program. Areas for continued program improvement include systematizing follow-up activities and information sharing at the Mission post-fellowship; improving logistical support for the FSNs during their time in Washington; organizing more tailored individual professional development programs for the FSNs; and clarifying the application and review processes for key stakeholders for increased transparency.

The following actions items are suggested as a result of this evaluation:

- To reduce concerns that Missions may invest a lot of time preparing applications that are unlikely to be successful, clarify the review process and selection criteria in the application documents.
- To ensure that fellowships are mutually beneficial, encourage Host Bureau Supervisors to discuss the proposed scope of work with the FSN and the Home Supervisor before the start of the fellowship.
- To ensure that all stakeholders know who to contact for different purposes, share a list of all stakeholders' roles and responsibilities with all parties prior to the start of the fellowship.
- To increase future opportunities to host FSNs, explore the possibility of having a centrally-funded budget for the fellowship.

- To facilitate the timely completion of the necessary logistics, provide key stakeholders with a checklist and timeline for logistical preparations, including sharing housing details and securing workspace for FSNs.
- To increase interaction between the FSN Fellows and their host bureaus, explore mechanisms that would enable FSN Fellows to have desk space in close proximity to their host bureau.
- To maximize the FSNs' opportunity to participate in the FSN Washington Fellowship Program, encourage Host Bureaus to design realistic fellowship scopes of work that are accomplishable in no more than two months.
- To ensure the FSN Fellows do not miss out on valuable professional development opportunities, prior to their arrival provide them with a list of available professional development courses (both at USAID and elsewhere).
- To minimize the impact of USAID/Washington staff's TDYs on the FSN Fellows' mentoring experience, ensure that the FSN Fellows work closely with several members of the host bureau.
- To increase awareness of the benefits of the FSN Washington Fellowship for the home mission, request that FSN Fellows and Host Bureau Supervisors provide feedback to the mission regarding the fellowship experience upon the FSNs' return to post.
- To keep the mission informed of the FSN Fellows' performance during the fellowship, request that Host Bureau Supervisors provide periodic performance updates to the Home Supervisor during the fellowship period.
- To measure the impact of the FSN Washington Fellowship on the FSN's longer-term performance, establish an evaluation process three to six months post-fellowship as part of the overall FSN Washington Fellowship Program.

Finally, in 2011, for the CWPM refinements, OHR will review the drivers for FSNs in particular to ensure they are providing the proportions planned for all missions. Currently, rounding issues seem to be generating fewer FSNs than the analyses indicate are ideal for optimum Mission efficiency and effectiveness.

Better Utilizing Skills of Foreign Service Nationals

To improve the utilization of the wealth of FSN expertise to Meet USAID's mission, in FY 2010 USAID established the Foreign Service National Senior Advisory Corps (FSN SAC). The objective of the FSN SAC is to integrate FSNs into the Agency's global workforce and to ensure that FSN knowledge and expertise is strategically utilized to further USAID's mission and enhance FSN career development. This initiative will strengthen the Agency's technical capabilities and enhance the capacity to effectively deliver U.S. foreign assistance. The FSN SAC is a roster of experienced FSNs that have volunteered to support overseas Mission and USAID/Washington by providing training and consulting services in their areas of expertise. These services are achieved through TDY opportunities that provide support, coverage, and temporary occupancy of short- and medium-term vacancies.

The FSN SAC was announced in March 2010 to be an organized group of experienced FSNs that will support overseas Missions and USAID/Washington by providing training and consultancy services in their areas of expertise. These services are achieved through TDY opportunities that provide support, coverage, and temporary occupancy of short and medium term vacancies.

Specific components of the new program include:

- Short-term assignments - up to 4 weeks;
- Mid-term assignments - up to 3 months;
- Virtual support where the assignment does not require TDY assistance;
- Follow-up consultancy assignments by virtual support to other USAID entities upon completion of the initial TDY assignment; and
- Exchange of FSNs from different regions between Missions

Pay and Compensation

Compensation, including salary and benefits, is a continuing concern for FSNs. In FY 2010, the OHR's FSN unit conducted a benchmarking study to gain information on wages and benefits changes approved versus those that are recommended. USAID FSNs are compensated in accordance with FAM and FAH with State in leadership of the salary survey process. Currently, the U.S. Government pays 75-80% of the rate of those in similar jobs and only 3% of FSNs leave USAID for positions with higher pay or more responsibility. USAID plans to complete a formal compensation review in the third quarter of FY 2011. The bonus system will also be reviewed, specifically for retention bonuses.

Other changes to the FSN benefits package, made by State in consultation with USAID, include the addition of compensation time, which can be used within a year rather than six months, and the allowance of family leave. USAID has also made additional recommendations to State to improve local FSN benefits. For example, in Kenya, it has been suggested that USAID renegotiate the local insurance scheme to include a provision stating that while an individual limit can be maintained, the cover should be amended to allow a family member who exhausted their limit to tap into the total family limit. It was also recommended that specific programs should be developed to provide care and treatment for FSNs that are HIV positive. The FSN survey also brought many other issues to light. A selection of these, and recommendations for resolving these issues, is below. USAID will continue to work with State to ensure FSN compensation and benefits are inline with prevailing practices of responsible employers and enable USAID to recruit and retain the local talent that is invaluable to USAID's mission.

Table VII-1: FSN Survey Results and Recommendations

Issue	Recommendation
Staff Attrition: USAID lost senior FSN staff, including the recipient of an FSN of the Year Award, as they have taken up professional positions of higher responsibility with competitive salaries with other implementing partners and donors.	Develop a CPC Career Development Office (CDO) in Washington. Qualified FSNs with relevant experience can equip prospective US PSC staff with the pertinent local, political, programmatic, and technical knowledge for their rapid deployment into their positions.

Issue	Recommendation
Lack of Communication	<p>Systematic Communication. Institutionalize communication between the Front Office and FSNs. For example, the Office Director can appoint an FSN to come to weekly senior staff meetings.</p> <p>Formalize FSN Monthly Meetings. FSNs should be encouraged by their supervisors to have monthly meetings to discuss engagement with the Administrator, DCM, and MD; report on successes; and report back on issues beyond operational aspects of the organization.</p>
<p>Consolidation: FSN classifications do not take into account the unique responsibility of USAID FSNs. The classification system is erroneously applied across the board without considering the unique role that USAID FSNs play in the implementation of agency goals. USAID FSNs engage with the very high-level host government personalities, represent USAID in high level technical meetings, manage large development programs, and interface with the donor community among other roles.</p>	<p>We recommend that USAID FSN Classifications be handled separately and in such a manner so as to recognize the elevated risk exposure and responsibility requirements posed by the nature of the work they do. This shall ensure that the unique role played by USAID FSNs is not downplayed or lost in a merger or consolidation with State.</p>
<p>Professional Development and Promotion Policies and Practices: The FSN fraternity has great potential for professional development which, if tapped, will help ease the burden in the management of development programs.</p>	<p>We recommend recognizing FSN potential and creating opportunities for professional development. One of the ways is to introduce warrants for FSNs and create more TDYs and training opportunities.</p>

VIII. Civil Service

Success of USAID foreign operations and missions rely heavily on the support drawn from the Civil Service (CS). Therefore, USAID is striving to ensure that all CS workforce gaps are identified and addressed as quickly and efficiently as possible. The CS strategies include a more systematic use of intern programs, including the reinstatement of Student Career Employment Program (SCEP), as well innovative approaches to rapid filling of Mission Critical Occupations (MCOs) positions.

USAID is facing increasing competition for information technology, health (Backstop 50), human resources and contract professionals. To compete in this competitive market place, USAID continued the use of retention, relocation, and recruitment bonuses to targeted mission critical occupations in FY 2010, funding permitting. USAID is currently paying retention incentives to IT employees with certain critical skills. The Agency has continued utilizing the Student Loan Repayment Program (SLRP) and is considering offering retention incentives to Contract Specialists.

OHR is continually working towards a more centralized intern program rather than each Bureau/Office in the Agency managing its own program. The Agency has a Recruitment Coordinator that helps to manage these programs so they can be used to help fill critical shortages in key backstops, as well as to meet some diversity targets.

A key component of the strategy is to use these student programs as feeders into entry-level CS positions, with the goal of attracting the diverse 21st century workforce the Agency strives to achieve. USAID is using non-paid summer interns and has developed the Student Career Experience Program (SCEP) intern program targeted to students currently at universities in the metro area. The Agency will also create a recruitment strategy for those with disabilities by participating in the Workforce Recruitment Program (WRP) for College Students with Disabilities.

Additionally, to foster and reinforce continued succession planning, the Agency expanded its intern program to grow the next generation of FS and CS officers. The intern program specifically sought out students from economically disadvantaged backgrounds, and worked with professional organizations to benchmark what constitutes economically disadvantaged. This initiative not only increases the geographic and socioeconomic diversity of the intern program, but also brings fresh perspectives and ideas on how to combat poverty and related topics that are at the crux of USAID's mission. The intern program expanded the number of minority-serving institutions it works with. The intern program has routinely worked with 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 year it added DC Youth and the International Leadership Foundation, which provides internship opportunities to students of Asian or Pacific Islander descent.

USAID is committed to successfully hiring and retaining Veterans, and believes the operational plan provides the strategic framework necessary for organizations across the Agency to reach, attract, and hire Veterans with the right skills and career aspirations to meet its workforce needs. USAID developed and released an operational plan for the Veterans Employment Initiative. The purpose of the plan is to provide operational guidance on the Veterans Employment Initiative to human resources professionals, administrative officers, managers, and participants. The document identifies strategic goals and

objectives along with a number of options and resources designed to facilitate the hiring process and attract Veterans to USAID.

Within current hiring constraints, efforts are made to continue to ensure veterans full participation. EEO staff, human resource staff, and management officials continued to participate in collaborations and outreach opportunities with each other, other organizations, and the local community in order to continue improving the representation of and the employment opportunities for veterans.

In order to successfully support USAID's foreign operations and missions, OPM has identified three government-wide CS specific Mission Critical Occupations (MCOs): Human Resources, Contracting and Information Technology. USAID's own workforce planning analysis had identified these as such before the OPM determination.

Figure VIII-1 shows the progress from 2009 to 2010 in filling the three MCOs. USAID successfully met the one-year target for closing the gap for all three MCOs.

Figure VIII-1: Mission Critical Occupations Gap Closure Targets

Mission Critical Occupations	STARTING POINT (DATA FROM BEGINNING OF MEASUREMENT YEAR)							BEGINNING OF MEASUREMENT		
	One-Year Target for Number of Employees (Staffing Level to Reach by End of this Measurement Year) 9/30/10	Number of Employees On Board as of October 1, 2009	Projected Attrition for This Year (October 1, 2009 to October 1, 2010)	Targeted Staffing Gap(-) / Surplus(+) to Close This Year (target as set on October 1, 2009)	Long-Term Goal for Number of Employees (e.g., Staffing Level to Reach by End of 5 Years)	Projected Long-Term Attrition	Staffing Gap (-) / Surplus (+) to Close Long-Term (Including Attrition)	Actual Number of Employees On Board on 9/30/2010	Was One-Year Target Met for Closing the Gap/ Surplus?	Staffing Gap(-) / Surplus(+) Based on Long-Term Goal as of September 30, 2010 (Not Including Attrition)
GS CONTRACT SPECIALISTS	108	108	-18	-18	180	-90	-198	108	Yes	-90
GS HUMAN RESOURCES SPECIALISTS	53	45	-5	-13	59	-16	-41	53	Yes	-24
GS INFORMATION TECHNOLOGY SPECIALISTS	54	54	-3	-2	130	-4	-112	55	Yes	-46
Totals:	215	207	-26	-33	369	-110	-351	216		-160

In addition to filling employment gaps, USAID is committed to continual training and development of current and future CS staff, not only to ensure that staff have the proper skills to perform their job efficiently and effectively, but also because the presence of strong training and career development programs have been shown to be powerful work attractors. USAID's participation in the joint State-USAID Civil Service Mentoring Program continued to grow and expand in FY 2009. During the FY 2008-2009 program, there were 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.

Employee development and retention programs are crucial to ensure that USAID has the necessary workforce to support the mission. In the Civil Service workforce, retirement eligibility has been steadily increasing over the past few years. Although, it should be noted that the retirement rate in FY2010 was only 2%.

Figure VIII-2: Retirement Eligible Rate Compared to Actual Retirement Rate

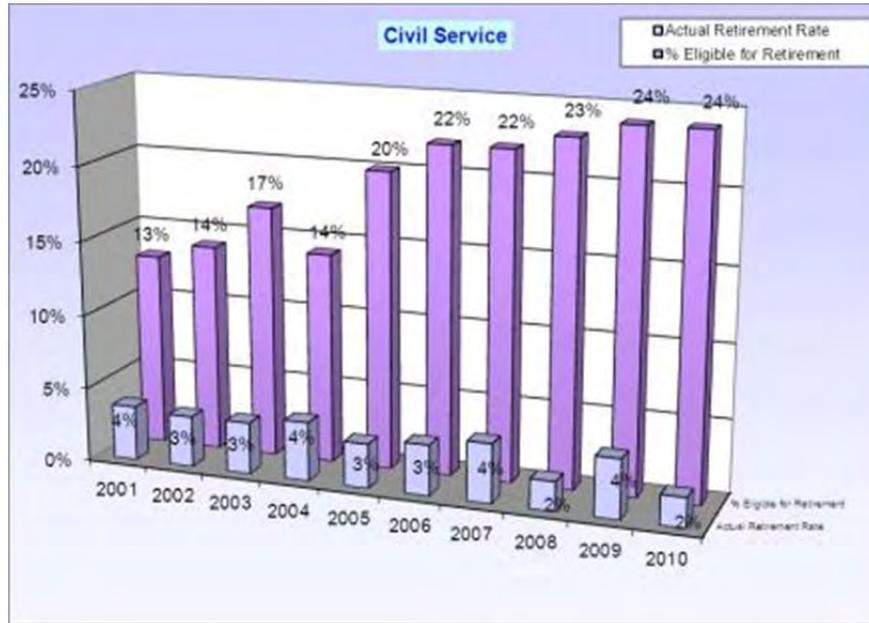
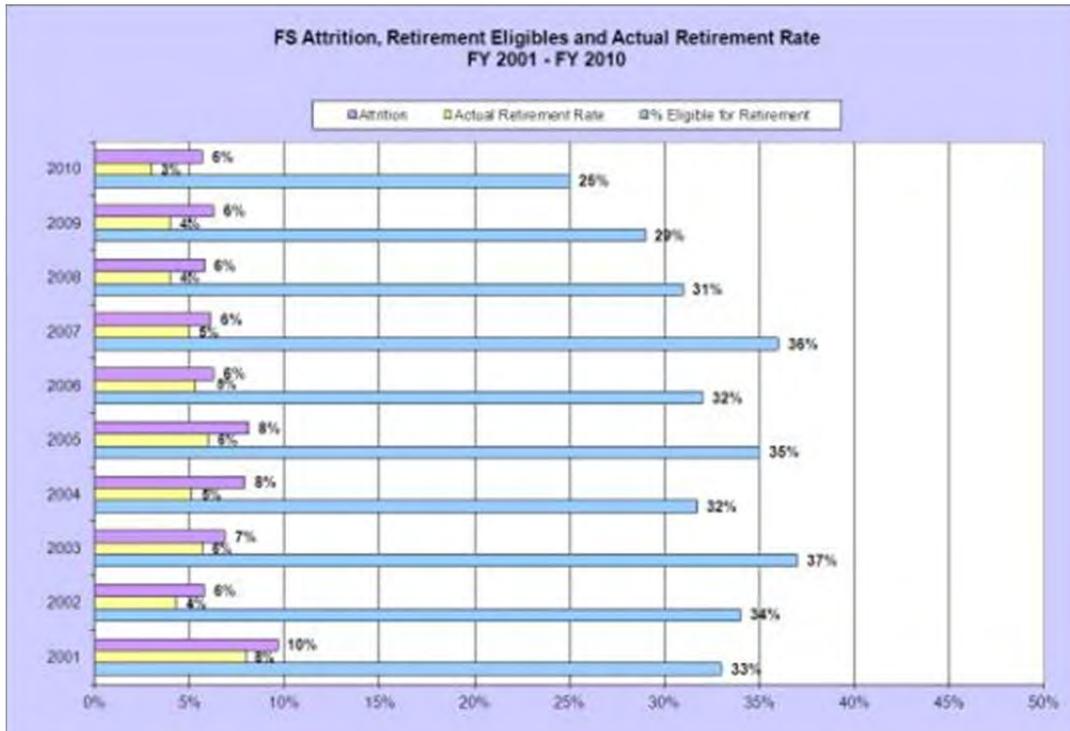


Figure VIII-3 shows that the number of CS employees that are retirement eligible slowly decreased over the past few years. Although the actual retirement rate has remained relatively stable, it is necessary to plan for the eventual retirement of a large number of CS employees.

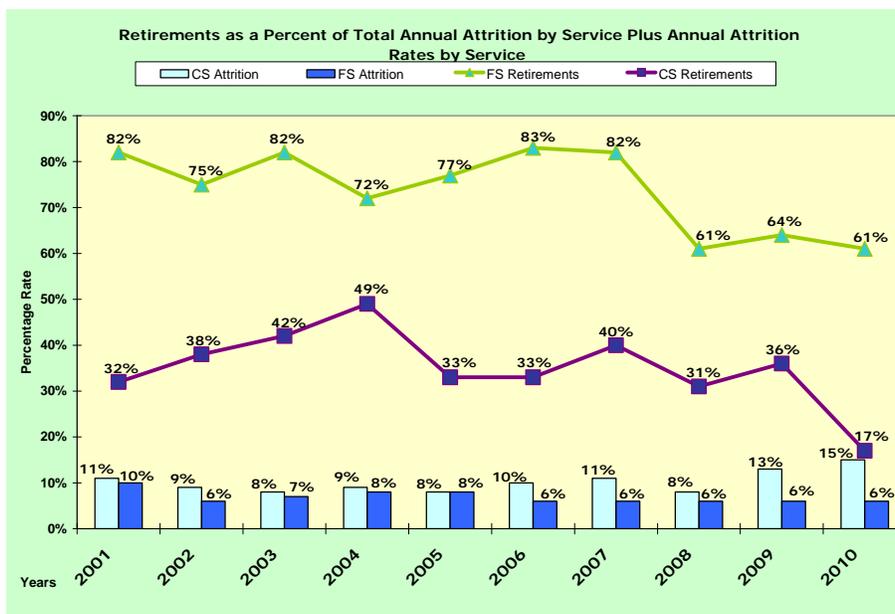
Figure VIII-3: CS Attrition, Retirement Eligibles, and Actual Retirement Rates



Final

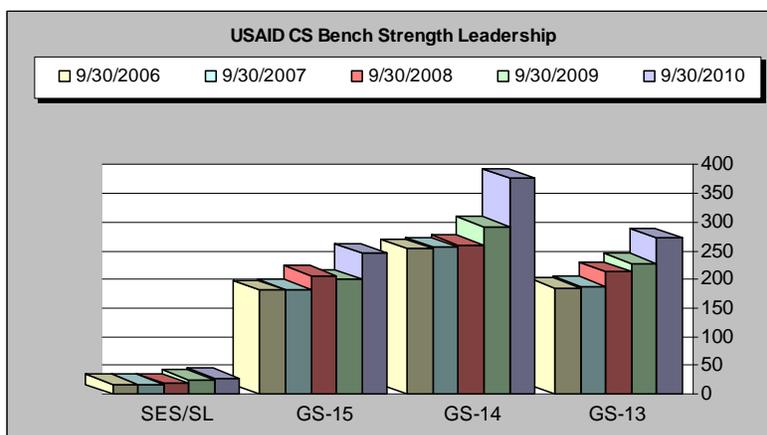
As seen in Figure VIII-4 below, while FS attrition is primarily caused by retirement, CS attrition is largely due to non-retirement separations including resignations, terminations, and transfers to other agencies. One reason for this difference is an increasingly competitive Federal marketplace for talent in the areas of contracting, financial management, IT and human resources.

Figure VIII-4: Retirement as a Percentage of Total Attrition



To prepare for the potential retirement waves and attrition evident in the foregoing graph, USAID's pool approach to succession planning develops highly qualified mid-level staff that can eventually assume the responsibilities of leadership. Figure VIII-5 displays the current composition and numbers of CS leadership. USAID greatly increased its CS Bench Strength, as compared to FY 2009, especially in the GS 13 - 15 ranks.

Figure VIII-5: CS Bench Strength Leadership



VIX. Summary

To accelerate the advancement and development of host countries throughout the world, USAID is currently recreating itself to become a more agile, focused, flexible, and accountable organization that seeks to get the right people in the right place, doing the right work, with the right skills, at the right time. To reach the goal of “getting the right people in the right place, doing the right work, at the right time to pursue U.S. national interests abroad,” USAID is embarking on large and cross-cutting initiatives in the areas of planning, recruitment, and retention. These initiatives include: the Consolidated Workforce Planning Model, the Development Leadership Initiative, the End-to-End Hiring Initiative, the Corporate Training Strategy, the competency management initiative, and succession and leadership management.

By building USAID’s foreign and civil service workforce, the Agency will in-source design and evaluations, improve program oversight and accountability, and reclaim its historical leadership in innovation, science, and technology. USAID is committed to empowering the Agency’s workforce with the tools necessary to successfully carry out their work responsibilities, while improving productivity and retention.

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ADDENDUM

TRAINING AND DEVELOPMENT ASPECTS OF USAID'S LEADERSHIP SUCCESSION MANAGEMENT EFFORTS

TRAINING AND DEVELOPMENT ASPECTS OF USAID'S LEADERSHIP SUCCESSION MANAGEMENT EFFORTS

Introduction

The maturity of USAID's career Civil Service (CS) and Foreign Service (FS) workforce is an asset because it provides the Agency with a steady pool of employees that possess extensive organization-specific subject-matter knowledge and a detailed understanding of issues critical to USAID's success. However, the maturity of USAID's workforce also presents a clear human capital challenge: the majority of USAID's leadership core has the potential to retire within the next five years. The average age and length of service of USAID's senior FS corps present the largest potential loss of expertise and leadership. Therefore, USAID's biggest challenge remains replacing the lost generation of mid-level employees in the FS. This is the generation that would have been able to step-up to fill positions now being vacated by retirements - those positions critical to USAID's long-term success.

The goal of USAID's workforce plan is to develop adequate bench strength in preparation for this impending mass retirement. In order to achieve this objective, USAID must ensure:

- Efficient and effective recruitment mechanisms
- Retention incentives to retain key staff
- Appropriate development of staff at all levels, including development of future leaders

In pursuing this goal, USAID is mindful that it is a dynamic and evolving organization. As a result, USAID's workforce plan must be forward-looking. The Agency's goal is to grow leaders whose experience and skills are broad-based and adaptable to emerging needs, changing roles, functions, and positions.

Development Leadership Initiative (DLI)

The Development Leadership Initiative (DLI) captures a new vision "to accelerate dramatically the advance of democracy, prosperity, and human well-being in the world's developing countries," as well as a new mission "to serve as the U.S. Government's primary instrument for human advancement in the developing world...through a world-class, on-the-ground presence." In support of this new mission and vision, USAID proposes by 2014, to greatly increase the Foreign Service. Thus, the DLI stands for an aggressive recruitment effort to rebuild and revitalize the Agency's workforce, which has significant implications for workforce and succession planning. USAID needs to respond to emerging or new priorities in real time without creating critical vacancies, to provide developmental opportunities while staffing from front-line positions, and to fill staffing gaps caused by attrition. Confronting these challenges, OHR helped develop within the Workforce Planning Model a new business model that includes:

- Large missions to provide positions for Junior Officers (JOs) to grow

- Technical and program officers to regain leadership in development and impact all development in the countries that USAID works
- Support staff in missions to make development happen
- Foreign Service Officers (FSOs) and Foreign Service Nationals (FSNs) but many fewer US non-Direct Hire staff
- Contract Officers in Washington and the field to move programs forward as rapidly as possible
- Adjustment for Mega Missions (Iraq, Afghanistan, and Pakistan) that have special requirements

As of August 2010, USAID hired 565 new Foreign Service Officers (FSO) in thirteen classes and the pre-employment pipeline of selected new FSOs was 260. These individuals in the pipeline have applied, been selected, undergone interviews, had their references checked, and are currently undergoing medical and security clearance processes, that can require between four months and a year. This progress puts USAID on course to meet its DLI goals. As in FY 2009, DLI recruiters also focused on hiring mid-level FSOs for backstops with critical shortages at more senior levels.

The incorporation of new officers into an expanded USAID as envisioned under the DLI is carried forward with the beginning of creation of new positions for graduating DLI officers in FY 2010. This field mission implemented process had been expedited by creating pre-classified Position Descriptions for eleven categories of positions.

Succession and Workforce Planning

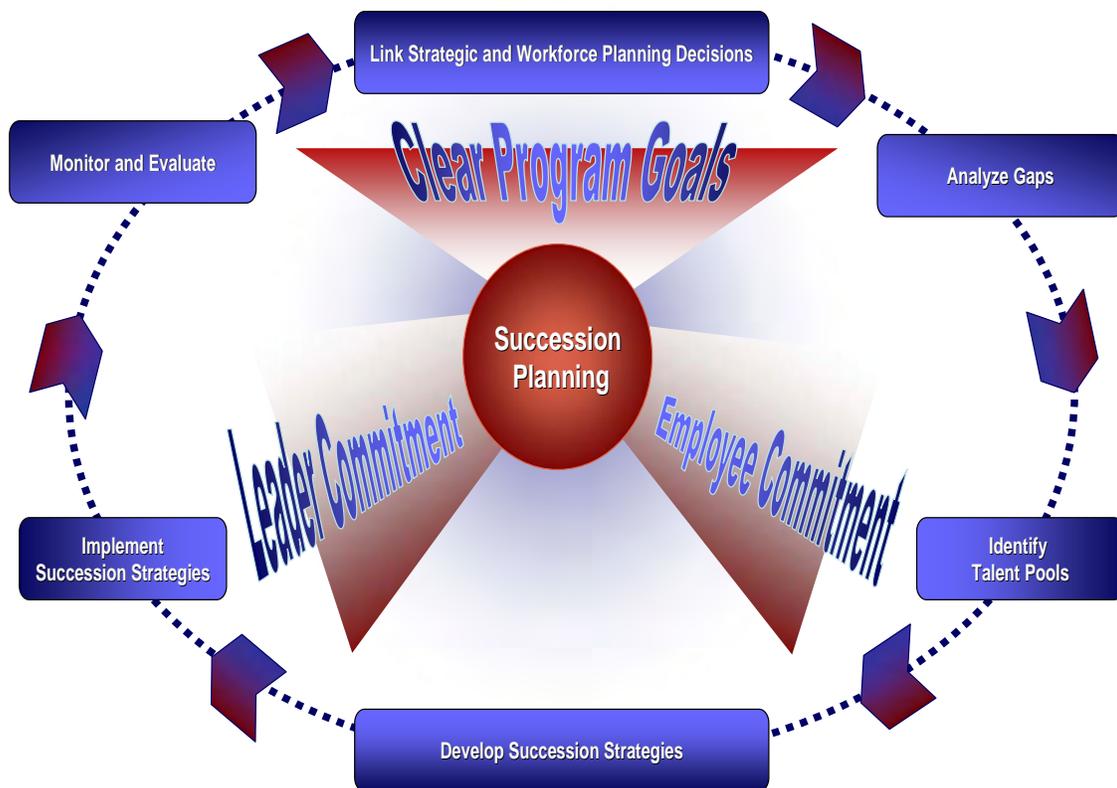
The Agency workforce planning process, of which succession planning is a part, addresses the continuously evolving workforce needs and strategies for meeting those needs. The Consolidated Workforce Planning Model (the Model) represents the demand analysis and, in concert with attrition data (supply analysis), yields the gap analysis from which the agency constructs its recruitment plan and other solution interventions to close the gaps. The Model calculates staffing needs annually looking forward five years. For the FS, the result is a five-year recruitment plan developed by backstop. A backstop is a family of occupations and competencies. For the CS, quantitative data is used to help managers plan for future gaps. The Agency has developed a comprehensive five-year workforce plan, including targets for both FS and CS and this leadership succession management plan.

Succession Planning is subsumed in the Workforce Planning Process and one way to illustrate the key components and phases of the Agency's succession plan is Figure 1 on the next page. Successful succession planning efforts require commitment from organizational leaders, clear program goals, and commitment to learning on the part of employees. Supported by these components, the following steps can be used to prepare the Agency's future leaders:

- Connect to the values and needs of the organization through strategic and workforce planning.
- Analyze competency gaps between the state of the current workforce (including current supply and demand) and compare findings to anticipated competencies and talents needed in the long term. (This requires both a quantitative and qualitative gap analysis, which USAID completes annually.)

- Identify talent pools in the organization through assessment. Define the **scope and size** of the development effort, as well as the levels of staff to be targeted. Apply assessment tools to determine the competencies and skills of current staff and consider the **feasibility of potential external sources of talent** in order to complete a comprehensive assessment of the resources available to fulfill leadership roles.
- Develop succession strategies that incorporate **recruitment, retention, and development** components. This may include determining the scope of the effort (who to develop and when).
- Implement strategies and **link to other human resources processes**.
- Continuously monitor and evaluate efforts, assessing changing organizational needs. This is a subset of the workforce planning process and is completed yearly as part of the budget to be considered valid and vital.

Figure 1: Succession Planning Model



Learning Management System and Competency Management

USAID has recently moved to an agency-wide university approach for training and established the USAID University. The Learning Management System (LMS) is the underlying support for the USAID University, which offers a range of common training options for all employees through both online and classroom trainings. USAID is using the LMS to assist in the management and development of competencies for both managers and supervisors.

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 2010, USAID extended this effort by developing and uploading competencies for all Foreign Service Officers and then conducting competency assessments for all Foreign Service Officers and linking the assessments to creation of e-IDPs. The first round of FS competency assessments closed on June 30, 2010. At this time 805 assessments had been launched. The percentages of FS employees, by Backstop, that completed their assessments are: BS 02/94 and 12, 39%; BS 03, 51%; BS 04, 46%; BS 10, 40%; BS 11, 15%; BS 21, 53%; BS 25, 44%; BS 40, 35%; BS 50, 45%; BS 60, 32%; BS 76, 45%; and BS 85, 40%. For the time being, all FS hired under the DLI complete manual IDPs specific to the DLI program.

The Agency finalized all of the Civil Service competencies in FY 2010 and added them to the Talent Management System in the LMS. At the beginning of FY 2011, OHR will invite all CS employees to do their assessments and create their e-IDPs. To help employees do this, OHR created workshops for both employees and their supervisors. Beginning in FY 2011, OHR will work on competency development for Foreign Service Nationals, in addition to developing proficiency benchmarks that will be mapped to all competencies.

OHR can systematically identify competency gaps across various occupational groups at USAID via a reporting feature of the competency assessments in 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.

In addition to the accomplishments related to the Talent Management System, USAID also created competency catalogs for both the Civil Service and Foreign Service competencies. Each of these catalogs includes leadership, core, and cross-cutting competencies, as well as all relevant technical competencies. OHR has posted these catalogs on the USAID University Webpage for employees to access and reference at their convenience. In addition, OHR provided the catalogs to all AMS officers and Bureau Training Coordinators as a resource for incorporation in their technical training course design and description.

In FY 2010, USAID implemented a communication strategy for the competency management initiative. Briefings were provided at the quarterly Training Quality Assurance Council (TQAC) Meetings to make leadership aware of and keep them abreast of the initiative. A voice-over video presentation to explain the background, purpose, and benefits of competency development to managers and employees was also developed and made available to the missions. Agency-wide general notices were included in the communication strategy and were distributed, as were emails that were sent directly to employees and their managers. The final components of the communication included the competency development brochures that were created and posted throughout the training facilities. These brochures were also provided to all employees during new employee orientation.

Succession Module

The Employee Profile feature of the online Succession Management Module supports the workforce plan. The Agency's initial focus is on the Skills Inventory of the Employee Profile (Expertise Locator) to address the challenge of finding people quickly who have specific **competencies** and required experiences (e.g., served as a Mission Director) or skills such as proficiency in a language. This will allow USAID to monitor and evaluate its employees and prepare for anticipated competency needs, two important components of the workforce plan.

The manager begins by searching for employees by job code, talent pool, career goals, or other such categories. The Succession Management Module displays employees that match the requested competencies and experiences. Managers can then compare employees side-by-side to determine who is most qualified to fill the specific need. The competency library can be customized to include all relevant competencies. Additionally, weights can be assigned per competency, depending on the critical nature of the skill. USAID anticipates all competency libraries will be in place by 2013.

While the expertise locator is not yet in use, in FY 2010 USAID employees began to complete their competency assessments whose information feeds into the expertise locator. When a surge situation arises, OHR, or any other stakeholder is able to search through the information to pull out specific proficiency levels for certain needed competencies.

360 Module

The next piece to be launched is the online 360/Multirater assessment tool for Senior Management Group assignments. The online 360-Assessment is similar to the competency assessment form. The employee nominates all relevant parties for his or her 360 feedback - supervisor, manager, peer, etc. Ratings are anonymous as aggregate scores are displayed graphically. However, the information of any employee who makes a comment can be displayed in administrative access in accordance with the Freedom of Information Act (FOIA). The 360 Module depicts the gap between the employee's rating and others' and provides opportunity to comment on the gap.

Senior Management Group (SMG)

The Senior Management Group (SMG) are the senior-most leadership positions, including mission directors, Deputy Assistant Administrators, and USAID representative officers in Paris, Rome, and Brussels. All positions are at the senior policy level, so SMGs are required to review and create policy. Consequently, USAID requires the best of the best in these critical positions and it is imperative to the Agency's survival that it has the right talent for these jobs. Sags are career employees, typically at the SFS and SES level with some FS-1s.

During the annual assignment process, candidates for the open SMG positions go through an intensive review process. Applicants must submit an executive corps qualification assessment and internal 360 assessments to the SMG panel. The SMG panel is headed by the Deputy Administrator and members

include: Deputy Assistant Administrator for LAC, Counselor to the Agency, Assistant Administrator for DCHA and the Equal Employment Opportunity representative (EEO - a non-voting observer).

The 360 element has been a challenge because employees are reluctant to give feedback, as FOIA dictates employees can see all feedback and who made the comments. USAID is hopeful that the new 360 assessment tool will make employees more comfortable to give their open comments, thus allowing the Agency to more effectively evaluate its candidates for these positions.

In the 2009 cycle, USAID has 80 SMG positions under active consideration. This pool includes employees who are retiring, employees who want to enter the SMG group and are putting their names out there, and employees who have not yet distinguished themselves.

Development and Training

To ensure that the current pipeline of employees is prepared and qualified to fulfill their duties even as the paradigm for leadership within USAID continues to change, USAID has developed a Senior Executive Service (SES) Candidate Development Program (CDP) and the Leadership Development Suite of training opportunities.

USAID's supervisory and leadership training opportunities support individuals as they make the critical transition to becoming a new supervisor, manager, or executive. In an effort to be proactive to staff's career development and responsive to their training needs, USAID conducted the first agency-wide training needs assessment in more than a decade in FY 2010. The training needs assessment was designed as an analysis of the entire spectrum of training and development offerings at USAID and as a universal way to identify organizational skill gaps and ways to meet those gaps. The primary objectives of the assessment were to:

- Establish baseline learning needs information.
- Identify the current skills/knowledge gaps of USAID's staff at the cross-competency (skills and knowledge areas) level.
- Identify strategies for improving skills/knowledge.

The results of the assessment provide a way for USAID to link training needs with training opportunities, which results in a concrete curriculum of courses that serve each competency's needs for each level of the organization. In addition, the training needs assessment provides USAID with a way to identify gaps in existing programs and align training courses to meet USAID staff training needs by either 1) modifying an existing course; or 2) creating a new course.

The agency-wide training needs assessment was particularly advantageous for the agency in that it assessed the training needs of all of USAID's staff including Foreign Service Officers (FSOs), Foreign Service Nationals (FSNs), Civil Service Personnel, and Personal Services Contractors (USPSCs). The training needs assessment also analyzed the training needs of staff in different parts of the organization from the senior-most leaders to administrative support functions.

Figure 2: USAID Leadership Training Mapped to OPM Executive Core Competencies

USAID Leadership Training Mapped to OPM Executive Core Competencies	Supervision Seminar <small>Pre-Requisite: "Competencies For Tomorrow's Managers"</small>	HR Management Workshop <small>Pre-Requisite: Rules and Tools of Federal Supervision*</small>	Emerging Leader Program	Leadership Program	Senior Executive Seminar
ECQs & Competencies					
Leading Change					
Creativity and Innovation				✓	
External Awareness				✓	✓
Flexibility			✓	✓	✓
Resilience				✓	
Strategic Thinking					
Vision					✓
Leading People					
Conflict Management	✓			✓	
Leveraging Diversity	✓	✓	✓	✓	✓
Developing Others	✓	✓	✓	✓	✓
Team Building	✓		✓	✓	✓
Results Driven					
Accountability	✓	✓			✓
Customer Service					
Decisiveness					
Entrepreneurship				✓	
Problem Solving			✓	✓	✓
Technical Credibility					
Business Acumen					
Financial Management					
Human Capital Mgmt	✓	✓			
Technology Mgmt					
Building Coalitions					
Partnering			✓	✓	✓
Political Savvy				✓	✓
Influencing/Negotiating			✓	✓	✓
Fundamental Competencies					
Interpersonal Skills	✓	✓	✓	✓	✓
Oral Communication	✓		✓	✓	✓
Integrity/Honesty					✓
Written Communication					✓
Continual Learning			✓	✓	
Public Service Motivation					✓

Supervisory Competencies

Within USAID, a “supervisor” is broadly defined as anyone with official job functions that include planning, directing, or assessing the performance of other USAID employees, including the completion of AEF performance appraisals. Those serving in team leader positions are also considered for supervisory development. Developing interpersonal and management competencies for those serving in these key positions is critical to the successful performance of new supervisors. USAID developed a matrix of basic supervisory training to guide new and experienced supervisors to appropriate training opportunities. The matrix currently consists of four training opportunities dependent upon the supervisor’s category:

- Competencies for Tomorrow’s Managers (on-line)
- Supervision Seminar (classroom)
- Rules and Tools of Federal Supervision (on-line)
- Human Resources Management Workshop (classroom)

All employees have access to the online learning. The five-day Supervision Seminar is conducted in Washington D.C. and at various locations world-wide to ensure maximum opportunities for those with supervisory responsibilities to attend. This one-week course is designed to teach employees how to transition into their new role as a supervisor and learn about the interpersonal skills necessary to be an effective supervisor. Topics include: delegation, communication, team building, setting expectations, providing feedback, evaluation, incentives and rewards, employee encouragement, and motivation.

Classes are a mix of direct and non-direct hire supervisors from different offices and missions. Between 10 and 12 sessions of the supervision seminar are scheduled for presentation world-wide each year, accommodating approximately 200 new supervisors and team leaders annually. The training is conducted by contractors.

The HR Management Workshop is for supervisors of direct hires and teaches about operating in the unique environment created by working with both the Foreign Service and Civil Service. This course focuses on regulation and policy governing management of human resources.

In addition, USAID has two web-based training courses designed for supervisors: *Competencies for Tomorrow’s Managers* and *Rules and Tools of Federal Supervision*. *Competencies for Tomorrow’s Managers* focuses on how to develop employees, defines essential managerial competencies, provides tools for measuring current competencies, and sets performance expectations and requirements. *Rules and Tools of Federal Supervision* helps supervisors to understand the laws and regulations governing acquisition and the management of human capital, and focuses on foundations of supervision, employee relations and development, managing employee performance, equal employment opportunity and valuing diversity, and supervising in highly stressful environments.

Leadership Development and Leadership Competencies

The USAID Leadership Development suite of courses is conducted in partnership with the Federal Executive Institute (FEI) in Charlottesville, VA. The curriculum for these residential programs has been customized for the USAID audience. It is a three-tiered program (with the addition of a new course, Leadership at Every Level) that provides a unique learning experience for current and future agency leaders:

- Emerging Leader Program
- Leadership Program
- Senior Executive Seminar

During FY 2010, USAID's current Leadership Development Suite was expanded to include two new courses that have been designed, pilot tested, and launched: *Enhancing Personal and Team Resilience* and *Leadership at Every Level*. The development of these two courses as well as the continued success of the other three courses comprising the Leadership Development Suite is particularly relevant given USAID's desire to ensure that leadership training opportunities are offered to every level of the organization. As leaders progress through the USAID pipeline, a leadership training offering is available for him or her to: (1) further clarify his or her projected career path as a USAID leader; and (2) introduce training in new skill areas that are relevant to leaders at that level of the organization, such as resilience.

In addition, USAID's leadership development training opportunities offer staff members and leaders from across the agency the opportunity to interact, network, and learn from each other. Given the highly diverse nature of both the geographical location and job function of USAID employees, this opportunity to network is particularly helpful in fostering a more holistic understanding of the types of work and activities undertaken by the agency to achieve its mission.

A key feature of the Emerging Leader Program, the Leadership Program, and the SES program is the use of an online 360-degree leadership competency assessment. These assessments are completed prior to the training. The participant completes the self-assessment and sends it to their supervisor, direct reports, and other peers to provide feedback used for developmental purposes. The results of the assessments are shared with participants in confidential, individualized reports. Participants also receive one-on-one and group counseling around the results of the assessment and use the information to create action plans for enhancing strengths and competencies.

The eligibility requirements for the leadership training target a wide audience and include those in both supervisory and non-supervisory positions. As USAID is a relatively small and flat organization, individuals are frequently called upon to "lead" teams, programs, and projects and represent the U.S. government in foreign countries. The approach is to provide training to enhance leadership competencies sooner rather than later.

There is a systematic application, nomination, review, and selection process used to develop the class composition for each offering. The mix of direct and non-direct hire participants builds networks and enhances communication across the agency. Through these programs, USAID is creating bench strength of agency staff that has a shared learning experience, that speaks the same leadership language, and that is developing the same required competencies.

Emerging Leader Program (ELP)

The ELP, first piloted in 2003, provides training to develop and enhance leadership competencies. The course is offered for one week at the FEI. The target audience includes:

- FS 2/3 and GS 13-14s and equivalent grades in other employment categories (FSL and PSC)
- FS-4 in supervisory/leadership positions overseas
- Presidential Management Fellows (PMFs) completing their training programs
- Foreign Service Nationals (FSN) 13/12/11

The ELP is a blended-learning approach. Training focuses on leadership competency essentials included in Ohm's Executive Core Qualifications (ECQs). Prior to class, participants complete two online courses in emotional intelligence and mentoring. They must also complete the Myers Briggs Type Indicator (MBTI) and a Leadership Competencies for Managers (LCM) 360 degree competency assessment provided by the Clark Wilson Group.

During the class, participants take additional assessments on intercultural communications. The seven-day class includes a variety of skill-building sessions on:

- Leadership and management
- Presentations skills
- Intercultural competencies
- Effective one-on-one communications

These types of activities are critical in filling USAID's competency gaps, as the ELP targets emerging leaders. The ELP highlights the fact that succession planning starts where workforce development begins - in attracting talented individuals and giving them the competencies needed to ensure the Agency's success. While the program may not address USAID's immediate concern for preparing imminent retirements, it represents USAID's future-thinking model of succession planning.

Leadership Program

This advanced course builds on leadership foundation competencies from the ELP program. The course is open to:

- Nominees at the FS-1 and GS-15 level (and equivalent FSL, PSC, etc.)
- Supervisors in all employment categories (FS-2, GS-14, FSN-12/13 and equivalents) who have completed prior leadership courses

The 13-day classroom session includes online assessments and surveys such as the MBTI, a creativity assessment and Benchmarks, and a 360 degree leadership assessment provided by the Center for Creative Leadership. This program provides experiential hands-on learning in:

- Advanced interpersonal skills
- Coaching skills
- Global leadership
- Leading across generations
- Presentations and media
- Creativity
- 360 leadership feedback
- Self-development planning

Senior Executive Seminar (SES)

The SES Program seminar is designed for new Mission Directors and others in the agency's most senior positions. It is open to SFS, SES, as well as Deputy Missions Directors who have completed prior USAID leadership training. During this 13-day program, participants take a number of personal and organizational assessments. There is experiential training in topics such as:

- Global and organizational leadership
- Media presentation skills
- Executive coaching
- Working with Congress

Participants also have an opportunity to identify agency-specific issues and share lessons learned. At this level, participants take the Cornerstones 360-degree leadership **competency** assessment provided by the Clark Wilson Group. Graduates of the course may opt to receive one-on-one executive coaching services for 9-12 months following the training to further enhance leadership **competencies**.

Furthermore, the Agency developed a Senior Executive Service (SES) Candidate Development Program (CDP). The SES CDP was designed as a leadership development program to prepare leaders to become executives in the highest levels of the organization. After finalizing the program plan and policy, USAID submitted its draft documentation for the SES CDP in March 2010. USAID experienced a slight delay in its scheduled submission to OPM given OPM's newly outlined requirements for SES CDPs in December 2009. OPM's new requirements stated that all SES CDPs must include "substantive development experiences that should equip a successful candidate to accomplish federal government missions as a senior executive."

USAID submitted the following 12-18 month program design to OPM:

- 80-hours of inter-agency training experience
- A minimum of four months in a rotational assignment either in a different part of USAID or outside the Agency.
- A combination of additional learning experiences, which may include specific projects, reading, or other assignments.

On August 6, 2010, OPM approved USAID's SES CDP with the distinction of being the first program aligned with the revised OPM requirements. During FY 2011, USAID will commence the application process and offer the first iteration of the SES CDP.

Leadership at Every Level

Leadership at Every Level was piloted during FY 2009 to cascade leadership development skills and competencies to employees at every level in the organization. USAID offered two one-day programs in Washington, DC for both Civil and Foreign Service staff. This course, designed for participants below the GS-13 level, offers participants the opportunity to gain a basic understanding of the dynamics involved in the operations of successful organizations, learn the organizational system and specific

roles, enhance the ability to communicate and be an effective listener, possess sound emotional intelligence, and apply what is learned to real-life scenarios.

Foreign Service Institute Training

As USAID’s e-Learning provider, the Foreign Service Institute (FSI) obtains online training courseware. Through FSI, USAID obtains access to two widely used, very successful training programs: SkillSoft courseware and GlobalEnglish courseware. USAID has had considerable success utilizing these two programs:

1. SkillSoft – USAID employees have non-stop access through USAID’s Learning Management System (LMS) to about 2,500 online courses focused on a variety of business skills. Between FY 07 and FY 10, USAID employees completed 5,447 training instances.
2. Global English’s *English as a Second Language* (ESL) – Since its inception in FY 04, 2,881 USAID Foreign Service Nationals (FSNs) have utilized the online ESL program to improve their English language skills. During this time, this same group of FSNs completed more than 227,000 learning activities.

Training Targets

The continued success of leadership training for the original three courses in the Leadership Development Suite continues to be evident with a 31.3% participation increase between FY 2009 and FY 2010. With the addition of *Enhancing Personal and Team Resilience* and *Leadership at Every Level*, USAID adds 71 more participants to its training participants.

The table below shows the Leadership Development Suite Targets and Accomplishments for FY 2010.

Figure 3: USAID Leadership Training Targets

Course (# of Classes)	Target (Spaces Available)	# Trained
Emerging Leader Program (6)	192	246
Leadership Program (2)	64	56
Senior Executive Seminar (1)	20	13
Totals (9 classes planned)	276	315
Leadership at Every Level (1)	30	29
Enhancing Personal and Team Resilience (3)	60	42

Demand for USAID’s leadership training opportunities remains high, particularly for the Emerging Leader Program. It is not uncommon to have waitlists of approximately 80 people for USAID’s internal leadership development offerings. As DLI participants become eligible for the Emerging Leader Program in FY 2012, USAID has the potential to have an even larger pool of participants from which to draw. USAID will continue to develop innovative strategies to offer leadership training to as many participants who are interested in taking a course as possible, including the possibility of adding more course offerings.

Evaluating Leadership Training

Each of the supervisory and leadership training offerings are evaluated using an on-line system, Metrics That Matter (MTM) from Knowledge Advisors. MTM has been used since 2003 to capture Kirkpatrick Level I (Reaction) evaluations at the end of each training session. Summary course evaluations can be generated quickly using the on-line system. These evaluations and student comments are shared with presenters and course managers to look for trends and make needed changes to maintain a high level of quality in instruction and content.

When participants log into the MTM to complete their evaluations, they are also asked for the email address of their supervisor. A six-month follow up evaluation is sent to both the participants and their supervisors to gather data to assess the learning and application of skills to the job - Kirkpatrick Level II (Learning) and Level III (Transfer). USAID plans to continue to use MTM to collect evaluation data on its training programs. Annual reports summarizing the evaluations have been prepared for FY-2007, 2008, 2009 and 2010.

Mentoring Program

USAID began a pilot with the Department of State (State) in 2006 to institute a mentoring program for CS employees. This serves a two-fold purpose: it emphasizes the values and needs of the Agency to its employees and fulfills another aspect of competency development. It is a structured, 10-month program where CS employees sign up to be mentored and both CS and FSOs volunteer as mentors. The mentoring program allows the Agency to transfer current and critical tacit knowledge and competencies, establishing a self-sustaining capacity for leadership training, supporting the development piece of the succession plan. The benefits of this program are tremendous, allowing mentees to learn about career enhancement, navigating the organization, professional development, and of course, competency development.

This program helps to mediate the loss of institutional experience and memory that is the result of increased retirement throughout the organization. Senior employees in USAID provide mentoring to create a more robust leadership pipeline, and are seeking to make mentoring a valued corporate process. USAID is actively working to increase awareness of this program through various outlets, including:

- USAID Intranet
 - *Mentoring Matters* - allows employees to learn about the program, including e-learning courses, available reference materials, and monthly updates
- General Notices
- Announcements from State
- Direct Contact
 - USAID contact mentors from the previous year to encourage continued participation
- Word of Mouth
 - USAID encourages CS employees to ask someone to be a mentor for them, increasing awareness of the program
- Personal Recruitment Emails
- Executive Diversity Council

Executive Coaching

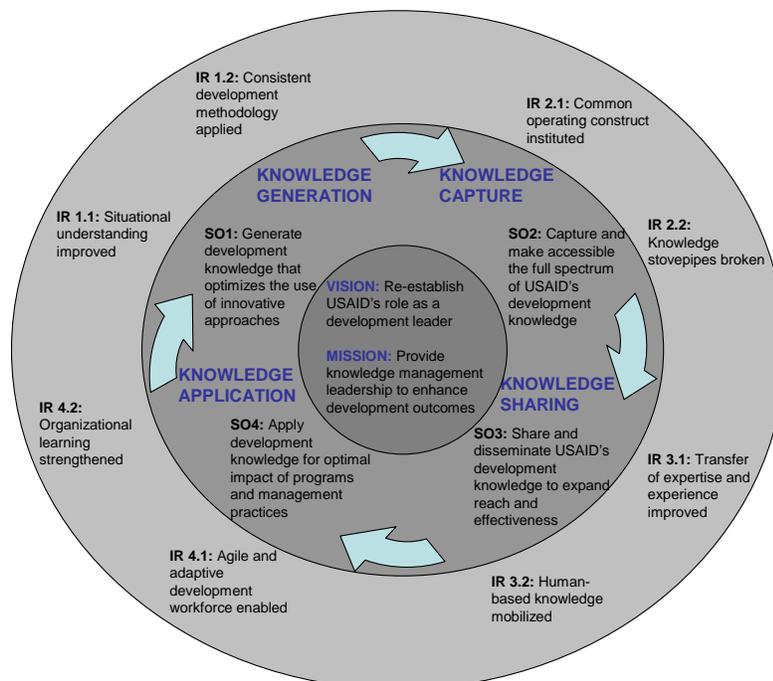
Executive coaching is offered as follow-up to the Senior Executive Seminar, providing one-on-one sessions over the course of 9-12 months after training. Participants include Mission Directors, SFS, and SES. Sometimes exceptions are made for members of the SMG and Deputy Mission Directors who attend the Senior Executive Seminar. In addition, some offices are looking to make coaching available to all of their staff at their own expense. Some executives are also opting to continue executive coaching and either they or their office are funding it.

Knowledge Management

USAID has initiated the "Knowledge Management" (KM) and IWCIO system, and has established a division (IWCIO/KM) responsible for the overall structural integrity and reliability of USAID's knowledge sources. This division aspires to be the central hub for locating, distributing, and distilling USAID's institutional knowledge. In order to meet this goal, USAID created a 2008-2010 Operational Plan aligned with the Agency's IT Strategic Plan, as well as a KM Results Framework, 2008 -2010. The USAID Library is now the comprehensive center for research and knowledge management activities. Within the library is a multimedia center that provides services and resources to supplement USAID training and staff development.

During FY 2009 USAID developed a Knowledge Management Strategic Framework, as seen in the figure below.

Figure 4: USAID Knowledge Management Strategic Framework



The purpose of this framework, with its strategic objectives (SO) and intermediate results (IR), is to help re-establish USAID's role as a development leader and to provide knowledge management leadership to enhance development outcomes.

Commitment and Accountability

USAID understands the importance of commitment to ensure successful completion of its succession strategies. Support is eminent from the top down. Administrator Shah has placed Talent Management as one of the forefront initiatives to help bring **USAID Forward**. By building USAID's foreign and civil service workforce, the Agency will in-source design and evaluations, improve program oversight and accountability, and reclaim its historical leadership in innovation, science, and technology. USAID is committed to empowering the Agency's workforce with the tools necessary to successfully carry out their work responsibilities, while improving productivity and retention.

As a part of USAID's leadership role as the world's premier development agency, the Agency is dedicated to achieving and maintaining a diverse and representative workforce and creating a culture of inclusion, integrity, dignity, and respect that is reflective of the innovation and creativity that diversity can bring to the workplace. OCRD has become the focal point within USAID for programs and activities that will further diversity, inclusion, and respect in the workplace. While USAID is already recognized as a strong performer within the Federal government on diversity recruitment, the OCRD will ensure that USAID sustains and improves in this area, as well as in advancing efforts to improve both staff care and work-life balance. OCRD is committed to empowering USAID's workforce with the tools necessary to successfully meet both work and personal responsibilities, while continuing to improve both productivity and retention.

To clarify accountability, USAID created the table below to summarize action steps for its workforce plan. Figure 5 details (1) **what** the tactic is, (2) **why** USAID has selected it, (3) **who** is responsible for implementation, and (4) **when** the target deadline is for completion.

(Figure 5 displayed on next page)

Figure 5: USAID Accountability Chart

Accountability			
What	Why	Who	When
Continue external recruitment in alignment with recruitment outreach strategy	Ensures recruitment efforts are directed at talent pools most likely to provide USAID with required competencies	Office of Human Resources	Ongoing
Execute use of a human capital monitoring/tracking tool to assess efficiency and effectiveness of recruitment activities	Provides a mechanism to measure the closure of competency gaps and the activities associated with competency gaps, so that USAID's human capital efforts are results-based and continually improving	Office of Human Resources	Annually or Semi-Annually (TBD)
Continue development and finalization of competency management, succession planning, 360, and analytics tools (reside in the LMS)	<ul style="list-style-type: none"> • Focused and aligned competencies allow the Agency to recruit, retain, and develop effectively • These tools support continuous process improvement 	Office of Human Resources	Succession Planning Model - Q# 20## 360 - Q# 20## Analytics - Q# 20##
Continue instructor-led leadership trainings such as the ELP, LP, and SES, on topics relevant to USAID's strategic goals, mission and current transformation; continue 360 assessments as part of training for development purposes	<ul style="list-style-type: none"> • Training refreshes leadership competencies in existing leaders and build leadership competencies in emerging leaders • Assessments and feedback as part of training to allow leaders to identify and focus on areas of greatest growth 	Office of Human Resources	Ongoing
Continue Communications Plan, with a focus on increasing awareness of the joint USAID/Department of State mentoring program and the new JO program	<ul style="list-style-type: none"> • Encourages information sharing and networking, promoting the development of leaders with cross-Agency knowledge • Encourages employees to participate • Reinforces buy-in from the top down • Improves morale, cohesion, and efficiency 	Office of Human Resources	Ongoing

Evaluation Strategies

Because succession planning activities are ongoing, USAID enforces a continuous evaluation process to determine the effectiveness of its initiatives to fill competency gaps and ensure required bench strength. The following evaluation initiatives are enduring to measure success:

- Strategic workforce planning efforts including refined and validated competency needs and the Model.
 - How does participation in the LMS and competency management affect the attitudes, knowledge/skills/abilities, and behavior of employees?

- Competency gap analyses to ensure USAID is continuously recruiting and developing required skills.
- Annual reviews that provide continual updates of information critical to succession and workforce planning efforts.
 - How are the DLI and other recruitment efforts contributing to succession planning efforts?

Workforce Planning Communication Strategies

An effective communication strategy is crucial to ensuring connectedness of USAID's values and needs throughout the workforce planning process across the Agency. This communications strategy provides a roadmap of strategies and tactics for USAID's Office of Human Resources (USAID/HR) to promote the Five-Year Workforce Plan.

Target Audience

The target audiences for this workforce plan communication strategy are USAID direct hires.

Objectives

The objectives of the communications strategy are as follows:

- Inform USAID staff in Washington D.C. and overseas about the workforce plan and the role the Model and **competency** assessments play in the plan's development.
- Educate USAID employees about the importance of succession planning and the role they play in developing USAID's workforce plan in the future.
- Educate employees about the internal and external professional and leadership development opportunities offered through USAID.

Key Messages

The following messages will be incorporated into all USAID/OHR communications regarding the succession planning in the Five-Year Workforce Plan including posting the Plan on the OHR webpage, emails, and presentations to both managers and supervisory staff:

- USAID has developed a new workforce plan to build a stronger workforce for the future.
- USAID's workforce plan is a living document.
- The initiatives outlined in the plan cannot be fulfilled without the input and help from USAID employees.

Strategies and Tactics

The following strategies and tactics are the "heart" of the communications plan, and provide the steps toward reaching the goals set forth in this plan.

Strategy #1

Present information about the workforce plan at USAID senior management and Bureau/Office's weekly staff meetings.

- **Tactics**
 - Cover the plan with Senior Managers when reviewing results of the CWPM.
 - Prepare a Fact Sheet about the Workforce Plan to hand out at the senior management at a weekly staff meeting.

- Prepare Talking Points for the USAID OHR staff to use when discussing staffing issues with Bureaus/Offices.
- Email the Fact Sheet after the meetings so they can present this information to their employees.

Strategy #2

Present information about USAID's new workforce plan and leadership development opportunities offered through USAID at a Human Capital Awareness Fair.

- **Tactics**
 - Organize a one-day fair for all USAID employees to attend.
 - Prepare booths/tables where USAID employees can obtain information and speak to HR staff.
 - Develop a mechanism where employees can offer their suggestions on workforce planning activities for the future.
 - Form an employee workgroup to expand on suggestions.
 - Advertise the fair through print and electronic media.

Strategy #3

Use existing online communication tools to market the benefits of workforce planning.

- **Tactics**
 - Post the Plan on the OHR Webpage and announce the posting via an Agency Notice.