



# **HUMAN CAPITAL STRATEGIC PLAN**

***Fiscal Years 2012–2016***

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# MESSAGE FROM THE ACTING INSPECTOR GENERAL

The Office of Inspector General (OIG) maintains a staff of approximately 200 employees who are responsible for overseeing nearly \$27 billion in foreign assistance funding worldwide in programs implemented by the U.S. Agency for International Development (USAID), the Millennium Challenge Corporation (MCC), the United States African Development Foundation (USADF), and the Inter-American Foundation (IAF).

USAID has been increasing funding and staffing in key areas—such as governance and infrastructure programs in Pakistan and Afghanistan; humanitarian assistance and rebuilding in Haiti; activities to slow the spread of HIV/AIDS, malaria, and tuberculosis; and initiatives to ensure food security worldwide. MCC programs have focused most recently on programs in Africa, the Middle East, Eurasia, and Latin America. These have included projects involving improvements in transportation, health and education, water supply and sanitation, governance, and energy. OIG must provide sufficient oversight of these and other programs to safeguard taxpayer dollars, a task that is especially crucial given the limited availability of federal resources.

As a greater proportion of OIG employees are placed in critical posts—or are otherwise asked to carry out duties in hazardous locations—we must be mindful of the challenges we face in recruiting and maintaining highly qualified employees who are willing to make personal sacrifices in order to carry out our important mission. We must continue to examine our practices for hiring, developing, and maintaining personnel in a competitive environment. Moreover, we must ensure that newly hired employees—a group that is larger than our cadre of experienced personnel—are provided with appropriate mentoring and training to be as effective as possible in their positions. We also recognize that that we need to collectively make the most effective use of senior and junior staff members, particularly in critical priority countries (CPCs).

OIG is committed to addressing its human capital challenges and developing a robust, well-equipped workforce so that U.S. taxpayers can be confident that they are receiving value for the funding provided to foreign assistance programs.

Michael G. Carroll  
Acting Inspector General

# INTRODUCTION

With the anticipated changes in the U.S. Government over the next decade (e.g., retirements of large numbers of senior personnel, limited appropriations to hire new staff) and the challenges of overseeing foreign assistance programs in parts of the world that are critical to national security, OIG must properly plan to ensure that it can recruit, develop, and maintain a highly talented, motivated staff.

In this plan, we outline our human capital goals as they relate to our overall strategic plan, we discuss internal and external challenges, and we provide a synopsis of the steps we will take to recruit and develop the workforce of the future.

# OVERVIEW

OIG maintains a staff of Foreign Service and Civil Service personnel, located in Washington, DC, and in ten other locations throughout the world. OIG employs several specialized hiring programs to bring qualified employees on board expeditiously:

**Special appointing authorities for veterans** consistent with the Veterans Employment Opportunities Act of 1998.

**Appointment of Foreign Service employees**, including noncompetitive assignment to career or career-conditional appointments of current and former Foreign Service employees who meet certain criteria.

**Noncompetitive conversion** to allow for employees in excepted service or temporary appointments to convert to career or career-conditional appointments.

Additional flexibilities that may be considered to attract applicants include (1) payment, as funds permit, of training and examination costs associated with job-related credentials and licenses and (2) increased use of telecommuting.

**Intermittent Service** allows OIG to engage employees with specialized skills on a part-time basis with no prescheduled tours of duty. Employees are utilized only when their services are required.

OIG operates under five strategic goals:

- Strategic Goal 1—Keep senior agency officials and Congress fully informed of the status of USAID, MCC, USADF, and IAF administration and operations and the need for and progress of corrective actions.
- Strategic Goal 2—Promote improvements in the way that USAID advances sustainable development and global interests.
- Strategic Goal 3—Help USAID achieve management and organizational excellence.
- Strategic Goal 4—Promote better management of significant and unplanned matters.
- Strategic Goal 5—Preserve and protect USAID program and employee integrity.

Ensuring that we have a sufficiently skilled workforce to support these goals is an OIG priority. The need to provide oversight of programs in critical posts—such as Afghanistan and Pakistan—requires us to explore all avenues for recruiting qualified and interested personnel, to enhance their skills, and to create a working environment that provides opportunities for professional growth and the ability for employees to have a positive effect on USAID’s programs and operations.

## **COMPOSITION OF OIG'S WORKFORCE**

The OIG workforce is comprised of auditors, criminal investigators, evaluators, attorneys, management and program analysts, and specialists in the fields of information technology, human capital, and budget and finance. The staff holds numerous educational degrees and professional certifications.

As of September 30, 2011, the Office of Inspector General had 194 full-time direct-hire employees.<sup>1</sup> The following charts provide a snapshot of the demographics of the organization.

***Distribution of personnel by office:***

<b>Office</b>	<b>Onboard Foreign Service Personnel</b>	<b>Onboard General Service Personnel</b>	<b>Total Full-Time Employees</b>
Immediate Office	1	7	8
Management	0	25	25
Audit and the Millennium Challenge Corporation (MCC)	82	45	127
Investigations	20	14	34
<b>Totals</b>	<b>103</b>	<b>91</b>	<b>194</b>

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<sup>1</sup> Note that staffing totals in several of the demographic charts that follow equal 194 employees, which include intermittent and part-time employees.

**Distribution of overseas resources:**

As of September 30, 2011, 72 direct-hire employees were assigned to overseas posts:

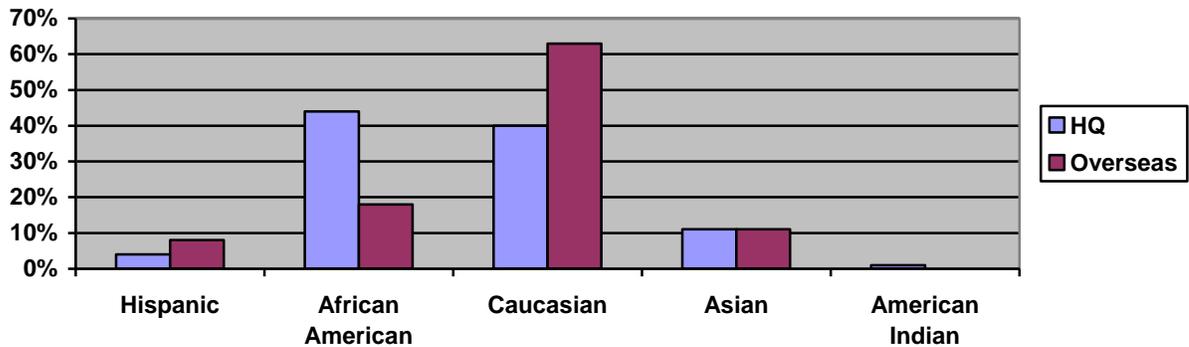
Office	Onboard
Baghdad	6
Cairo	9
Dakar	7
Islamabad	9
Kabul	10
Manila	7
Port-Au-Prince	4
Pretoria	12
San Salvador	6
Tel Aviv	2
<b>Total</b>	<b>72</b>

**Gender distribution:**

Location	Total Employees	Male	Female	Totals
HQ	122	48%	52%	100%
Overseas	72	65%	35%	100%

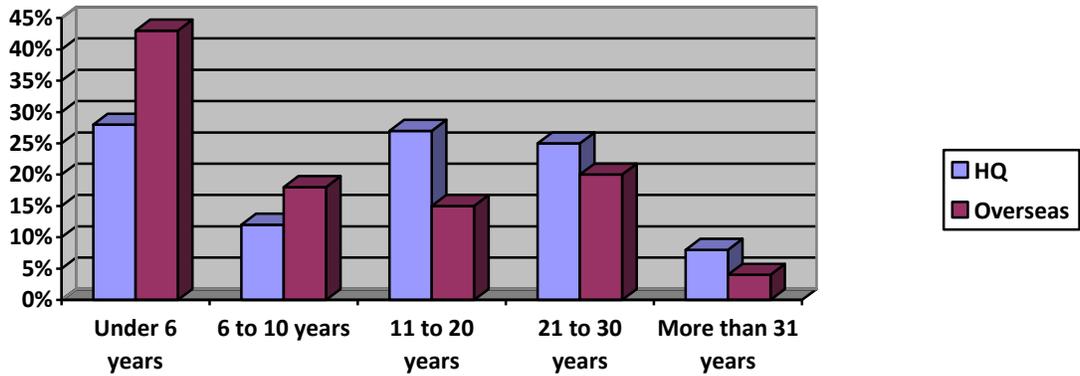
**Employee demographics:**

Location	Total Employees	Hispanic	African American	Caucasian	Asian	American Indian	Totals
HQ	122	4%	44%	40%	11%	1%	100%
Overseas	72	8%	18%	63%	11%	0%	100%



**Years of U.S. Government service by employees:**

Location	Total Employees	Under 6 years	6 to 10 years	11 to 20 years	21 to 30 years	More than 31 years	Totals
HQ	122	28%	12%	27%	25%	8%	100%
Overseas	72	43%	18%	15%	20%	4%	100%



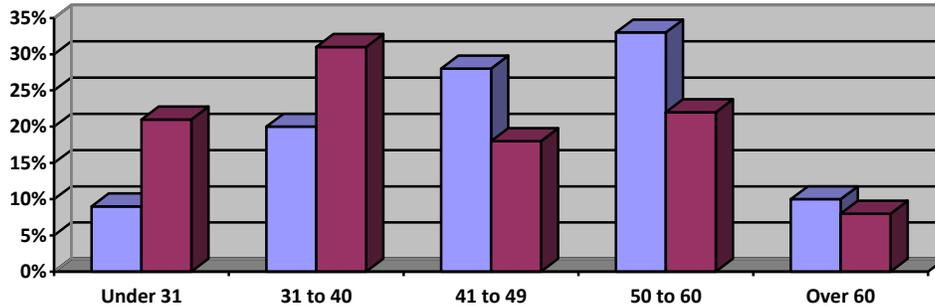
**Grade distribution of workforce:**

	GS-7 or lower	GS-9	GS-12	GS-13	GS-14	GS-15	SES
Civil Service employees	2	9	8	24	29	11	7

	FS-6 or lower	FS-5	FS-4	FS-3	FS-2	FS-1	SFS
Foreign Service employees	10	5	10	32	19	23	4

**Age distribution of workforce:**

Location	Total Employees	Average age	Under 31	31 to 40	41 to 49	50 to 60	Over 60	Totals
HQ	122	47	9%	20%	28%	33%	10%	100%
Overseas	72	42	21%	31%	18%	22%	8%	100%



**Educational profile:**

Location	High school diploma/ GED	Some college	Bachelor	Master	Doctorate	Totals
HQ	14%	12%	46%	26%	2%	100%
Overseas	—	—	49%	49%	2%	100%

## PROJECTED ATTRITION AND RETIREMENTS

OIG has historically lost 10- to 13-percent of its workforce each year to attrition and retirement. Within the next 12 months, OIG will have 32 employees eligible to retire, or 16 percent of the workforce. Of these employees, 50 percent are Foreign Service and 50 percent Civil Service. Positions include 21 auditors, 2 criminal investigators, and 9 other management and analytical positions. According to a November 2010 [study](#), the average federal attrition rate in 2009 was 5.85 percent.<sup>2</sup>

<sup>2</sup> *Beneath the Surface: Understanding Attrition at Your Agency and Why it Matters*, Partnership for Public Service, Booz Allen Hamilton, November 2010.

## CHALLENGES FOR THE FUTURE

From the perspective of an agency with an international mission, one of our greatest challenges for the future will be staffing critical posts—not only hiring qualified employees who are willing to work under often difficult conditions, but having sufficient rotation plans in place. With an increasing proportion of staff and other resources being directed toward hazardous posts, where employees are generally expected to serve limited tours, there are fewer opportunities to cycle employees through other posts. As a result, employees must often serve multiple tours in dangerous locations. This situation has the potential to lead to decreased morale and difficulties with personnel retention.

Budgetary restrictions are expected to remain a significant challenge for years to come, which will exacerbate the difficulties of having sufficient personnel to rotate through high-priority posts. Moreover, these limitations will create challenges for providing mentoring opportunities for new employees. In addition, reliance on contractor and other temporary employees in lieu of hiring permanent employees will impact the organization's ability to develop historical knowledge and provide consistent program direction.

OIG monitors results from Office of Personnel Management Human Capital Surveys, which highlight areas of concern across the Government in recruiting, developing, and managing the federal workforce. In addition, OIG has conducted informal information-gathering sessions with employees to solicit input about any impediments they might have in conducting their duties, as well as a formal human capital survey of OIG managers. As a result, the following are areas that the Office of Inspector General will examine more closely:

- Recruitment
- Training and development and staff retention
- Program, organizational, and leadership issues
- Overseas presence and rotation issues

## PROJECTED STAFFING AND SKILL NEEDS

OIG's 2011 internal human capital survey identified several areas that are most critical to its operations and, in some instances, involve functions for which recruitment and development have been particularly challenging: (1) management/supervision, (2) performance auditing, (3) information technology, (4) program integrity investigation, and (5) financial auditing.

Overall, survey results demonstrate a need for OIG to move toward a more customer-service oriented organization that values teamwork and creative thinking skills at all levels. Oral and written communications skills were rated as important for all positions, but particularly for performance auditors, whose products must clearly convey findings and recommendations related to the programs for which they provide oversight.

Information technology specialists and information technology auditors were identified as positions that have been especially difficult to fill and may require the use of alternative means of recruitment and incentives to attract candidates in these fields. OIG is operating at 20 percent below required staffing in functions that maintain mission-critical network and application support functions. Likewise, information technology auditors, who are responsible for implementing statutory requirements, are operating at 50 percent below optimal staffing levels. Historically, criminal investigator positions have been difficult to recruit, and we may need to explore alternative means of recruitment.

## OBJECTIVES AND TACTICS

### ***Overview of objectives and tactics***

To create the optimum workforce, OIG has identified several areas on which we need to concentrate.

- **Promoting innovation in recruitment to ensure that critical positions are filled with highly skilled candidates.** OIG will need to explore

recruitment options that will allow the organization to address shortages in vital occupations, such as information technology auditors and specialists and criminal investigators. Recruitment will need to focus on acquiring employees who are strongly committed to customer service and who possess exceptional skill in writing and creative thinking. (Oversight of USAID, MCC, USADF, and IAF.)

We will:

- Use all available statutory means to recruit employees, as resources allow, so that we have a sufficient number of skilled employees to carry out the mission as well as an appropriate proportion of experienced personnel to those in the developmental process.
- Endeavor to hire a diverse workforce through participation in career fairs and other recruitment programs.
- Continue to work with career centers at local universities to conduct mock interviews with students, both to encourage interest in OIG's work and to prepare the students for actual interviews.
- Attract candidates through:
  - Advertisements in professional journals and publications
  - Presentations at professional gatherings (luncheons, conferences, etc).
  - Automatic computer forwarding services (e.g., the OIG listserv and RSS feeds) to advertise vacancy announcements
  - Use of private-sector employment services to help distribute announcements to candidates with specific skills
- Use flexible hiring authorities, as appropriate (reemployed annuitants and personal services contractors) to staff hard-to-fill positions. For example, OIG's 2011 human capital survey identified information technology

specialists and information technology auditors as critical positions for which qualified candidates are often scarce. These positions are especially difficult to fill because of competition with other government agencies to attract a small pool of skilled employees.

- Pursue authorities to provide competitive incentives that other agencies offer—such as recruitment bonuses, a viable student loan repayment program, relocation costs, and reimbursement for applicants to travel to interviews—and develop policies guiding their use.
- Conduct a study to determine why it is having difficulty filling key positions to be able to better target its recruitment efforts.

- **Developing and maintaining highly performing and motivated employees.** For employees to be effective, they need to have suitable skills and tools to carry out their responsibilities. At the outset of their careers with OIG, we will provide employees with orientation training so that they will become familiar with OIG’s internal operations as well as the programs and operations of the organizations for which we provide oversight. (Oversight of USAID, MCC, USADF, and IAF.)

We will:

- Implement formal and informal mentoring programs to help train newly hired employees, essential to the success of OIG programs.
- Increase informal training programs to provide wider coverage of instruction in needed skills.
- Strive to provide employees with the resources and tools needed to work most efficiently. We will continue to promote language training for employees to be assigned to overseas offices designed as “language posts,” as

well as other State Department and developmental training, to help prepare them for those assignments.

- Provide employees with remote computer access capabilities and other communications devices so that they can work at a variety of locations. The worldwide nature of our responsibilities and the hazardous environments in which employees often work necessitate flexibility in accessing information systems and communicating with employees. In addition, we will provide employees with access to an online information sharing site to share best practices.
- Pursue changes in staffing models in the field and at Headquarters to ensure a sufficiently frequent rotation of personnel, as appropriate, allowing employees to receive cross-training in multiple program areas, to engage in interesting assignments, and to avoid “burnout” from being assigned to CPC posts. These changes will also be necessary to ensure that new employees are able to be tenured without having to engage in multiple tours in CPC posts.
- Address work/life concerns by expanding the use of telework and alternative work schedules wherever appropriate. We will also develop a wellness program, in addition to services offered by USAID, to reduce stress and promote health in the workplace.
- Create additional opportunities to publicly recognize highly performing employees through internal awards and recommend them for awards given by external organizations (e.g., Council of the Inspectors General on Integrity and Efficiency).
- Formalize our exit interview process to gain valuable feedback on how to maintain employees in the future.

- **Promoting a culture that encourages leadership and responsibility for producing results.** We will strive to promote a culture that encourages leadership within the organization and a focus on results. (Oversight of USAID, MCC, USADF, and IAF.)

We will:

- Encourage increased leadership training at all levels of management.
  - Solicit feedback from employees at all levels to help improve programs and make strategic decisions.
  - Ensure that all employees understand OIG’s strategic mission, goals, and objectives and their role in furthering them.
  - Develop a work culture that values the perspectives of employees at all stages in their careers.
  - Favorably consider employees who exhibit high performance and innovation in their work for promotion and leadership positions in the organization.
  - Conduct internal reviews of OIG operations in comparison with best practices established by the Council of the Inspectors General on Integrity and Efficiency.
- **Developing and maintaining a strong overseas presence to be able to provide quality oversight for priority foreign assistance initiatives.** OIG will need to maintain its overseas presence and familiarity with Agency programs to provide effective oversight, including promoting incentives to staff posts in CPCs. (Oversight of USAID.)

We will:

- Maintain a leadership role in providing foreign assistance oversight by locating sufficient personnel close to the programs for which OIG provides oversight, particularly to address high-priority Administration and Agency initiatives.
- Promote staffing in CPCs and retain staff willing to serve overseas. To the maximum extent possible, we will give priority follow-on assignments to personnel who are willing to serve in CPC posts.
- Provide a greater range of assignment opportunities overseas by establishing minimum staffing levels at each of our regional offices.
- Make greater use of highly qualified Foreign Service National personnel to conduct audit and investigative support activities, particularly in CPC areas.

## **SUMMARY**

This plan provides an outline through which OIG will build upon existing efforts to improve its overall human capital management. We recognize that we have significant challenges in our efforts to recruit, retain, and develop our workforce—challenges that all Government agencies are facing along with those particular to OIG because of our unique mission to provide worldwide oversight of foreign assistance programs.

Our goal is to ultimately produce the most professional, highly functioning workforce possible to carry out our important oversight responsibilities and promote economy and efficiency in foreign assistance programs.