



HUMAN CAPITAL STRATEGIC PLAN

Fiscal Years 2013–2016

Contents

Message from the Deputy Inspector General 1

Introduction 2

Overview 2

Composition of OIG’s Workforce 4

Challenges for the Future 7

Projected Staffing and Skill Needs 8

Objectives and Tactics 9

Summary 12

Message From the Deputy Inspector General

In fiscal year 2012, the Office of Inspector General (OIG) published its 2012–2016 Strategic Plan, which incorporated organization-wide priorities in addressing human capital needs. This revised human capital strategic plan builds upon the human capital objectives and tactics addressed in the overall strategic plan.

OIG maintains a staff of approximately 200 employees who are responsible for overseeing 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, the Inter-American Foundation, and the Overseas Private Investment Corporation.

OIG focuses its resources on programs and initiatives that are of high priority to the organizations for which we provide oversight, as well to the administration and Congress. For example, USAID is now implementing [USAID Forward](#), an initiative that is intended to improve operations and functions within the Agency, as well as its [Policy Framework for 2011-2015](#), which identifies seven core development objectives. OIG tailors its oversight efforts to review programs and operations so that they will have the greatest impact on these high-priority areas.

In carrying out these duties, some OIG employees must serve in critical priority country posts or otherwise hazardous locations. Accordingly, 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 are provided with appropriate mentoring and training to be as effective as possible in their positions.

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 full value for the funding provided to foreign assistance programs.

Michael G. Carroll
Deputy 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 and 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, D.C., 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 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, (2) increased use of telecommuting, and (3) payment of recruitment and retention benefits, as appropriate.

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

Pathways Programs provide federal internships for students and recent graduates and provide career development opportunities for those beginning a career in the federal government.

OIG applies these and other human capital authorities in support of its oversight mandate. To this end, OIG aligns its efforts under the five strategic goals identified in its strategic plan:

- **Strategic Goal 1:** Strengthen the ability of the organizations for which OIG provides oversight to manage and deliver foreign assistance efficiently and effectively through audit products and activities.
- **Strategic Goal 2:** Deter and detect fraud, corruption, criminal activity, and misconduct in the programs, operations, and workforce of the organizations for which OIG provides oversight.
- **Strategic Goal 3:** Provide useful, timely, and relevant information to enable stakeholders to make informed decisions.
- **Strategic Goal 4:** Continually improve the efficiency, effectiveness, and quality of OIG operations and outputs.
- **Strategic Goal 5:** Recruit, develop, and retain a highly qualified, motivated, and diverse workforce with the necessary tools and training to fulfill OIG's mission.

Under strategic goal 5, OIG strives to meet the following performance targets:

Measure	FY 2013 Target
Percentage of vacancies with qualified candidates accepting an offer of employment within 120 days	100%
Percentage of highly performing employees retained	80%
Percentage of OIG employees expressing satisfaction with management policies and procedures, opportunities to improve their skills, their ability to use their talents, recognition for good performance, and personal empowerment in work processes and their jobs	55% ¹
Percentage of employees completing required core curriculum training for their level	100%

Our human capital priorities are to ensure that we have a sufficiently skilled workforce to support OIG's strategic goals and to retain those employees. We are working to expedite our hiring processes and, beginning in fiscal year 2013, began conducting annual surveys of employees to assess our progress in achieving employee satisfaction with OIG management, the work they conduct, and opportunities for development. We need 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 comprises auditors, criminal investigators, evaluators, attorneys, management and program analysts, and specialists in the fields of information technology, human capital, and budget and finance. Staff members hold numerous educational degrees and professional certifications.

¹ Target references government-wide averages in response to related questions from the 2011 Employee Viewpoint Survey administered by the Office of Personnel Management. Target may change in light of baseline data received from OIG's annual employee satisfaction survey.

As of September 30, 2012, the Office of Inspector General had 194 full-time direct-hire employees. The following charts provide snapshots of the demographics of the organization.

Distribution of Personnel Onboard by Office			
Office	Foreign Service Personnel	Civil Service Personnel	Total Full-Time Employees
Immediate Office	1	8	9
Management	0	29	29
Audit, including MCC	73	49	122
Investigations	21	13	34
Total	95	99	194

Distribution of Overseas Resources <i>September 30, 2012</i>	
Office	Direct-Hire Employees
Baghdad	4
Cairo	12
Dakar	4
Islamabad	9
Kabul	9
Manila	5
Port-Au-Prince	4
Pretoria	11
San Salvador	8
Tel Aviv	2
Total	68

Distribution by Gender				
Location	Total Employees	Male	Female	Total
HQ	126	48%	52%	100%
Overseas	68	62%	38%	100%

Distribution by Grade							
	GS-7 or lower	GS-9	GS-12	GS-13	GS-14	GS-15	SES
Civil Service employees	2	9	10	28	30	13	7
	FS-6 or lower	FS-5	FS-4	FS-3	FS-2	FS-1	SFS
Foreign Service employees	1	7	16	27	19	20	5

Employee Demographics							
Location	Total Employees	Hispanic	African American	Caucasian	Asian	American Indian	Total
HQ	126	4%	45%	43%	7%	1%	100%
Overseas	68	7%	19%	52%	22%	0%	100%

Years of U.S. Government Service							
Location	Total Employees	Under 6 years	6–10 years	11–20 years	21–30 years	More than 31 years	Total
HQ	126	21%	16%	19%	35%	9%	100%
Overseas	68	39%	19%	22%	19%	1%	100%

Age Distribution								
Location	Total Employees	Average age	Under 31	31–40	41–49	50–60	60+	Total
HQ	126	49	7%	13%	33%	34%	13%	100%
Overseas	68	42	14%	38%	21%	25%	2%	100%

Educational Profile						
Location	High school diploma/GED	Some college	Bachelor	Master	Doctorate	Total
HQ	14%	7%	44%	32%	3%	100%
Overseas	1%	Not applicable	46%	52%	1%	100%

Projected Attrition and Retirements

Over the past 5 years (FY 2008-2012), OIG's attrition rate has averaged 11.5 percent. According to a November 2010 study, the average federal attrition rate in 2009 was 5.85 percent,² making OIG's average about twice that number. Within the next 12 months, OIG will have 37 employees eligible to retire, or 19 percent of the workforce. Of these employees, 51 percent are Foreign Service and 49 percent Civil Service. Those eligible to retire include 26 auditors, 3 criminal investigators, and 8 others in management and analytical positions.

Challenges for the Future

As 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 also having appropriate 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, employees have fewer opportunities to cycle 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. These restrictions 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.

OIG monitors results from Office of Personnel Management Employee Viewpoint Surveys, which highlight areas of concern across the government in recruiting, developing, and managing the federal workforce. In addition, OIG has conducted internal surveys and information-gathering sessions with employees to solicit input about impediments they experience in conducting their duties. The results of those efforts have identified a number of areas on which OIG will focus its improvement efforts over the next year, including:

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

- Leadership communication
- Training and development
- Employee recognition
- Access to human capital information

Other areas that will need to be addressed in the future include supervisory preparedness, workplace flexibilities, and internal customer satisfaction.

Projected Staffing and Skill Needs

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

Overall, survey results pointed to a need for OIG to improve its customer-service orientation and increase the emphasis it places on teamwork and creative thinking skills at all levels. Oral and written communication 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 in the 2011 survey as positions that have been especially difficult to fill and may require the use of alternative means of recruitment and incentives to attract candidates. OIG is operating 30 percent below optimal staff levels for positions that perform mission-critical network and application support functions. However, we have made progress in hiring information technology auditors in the past year and are now nearly fully staffed.

Our 2013 employee satisfaction and customer service survey emphasized the requirement for OIG to address supervisory preparedness to ensure effective leadership in the organization. We have begun offering leadership development training for all supervisors tailored to identified needs and hope to continue offering similar training annually.

Objectives and Tactics

Overview of objectives and tactics

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

Objective 5.1: Attract highly skilled candidates in all required disciplines.

We will—

- Align recruiting efforts with annual planning and budgeting processes and determine staff levels and mixes by workload requirements.
- Target candidates for recruitment who are likely to be successful in the OIG environment, including candidates with experience in hardship environments, candidates with language skills, and candidates with education and experience that are relevant to foreign assistance and to OIG work in particular.
- Conduct nationwide recruitment, making use of social media and specialized publications that focus on skill groups of interest to OIG.
- Study the recruiting practices of other federal offices to benchmark our practices and ensure that we are competitive.
- Use incentives—which could include reimbursement of relocation costs, student loan repayments, tuition assistance, and signing bonuses for difficult-to-recruit specialists such as information technology auditors and specialists—fairly and transparently.
- Promote the use of internships, the Presidential Management Fellows Program, and special hiring authorities (e.g., personal services contracts and “when actually employed” appointments).

- Use simulations and skill tests to assess candidates' abilities and problem-solving approaches.
- Negotiate with candidates fairly and transparently, recognizing that negotiations with prospective employees can strongly influence or set the tone of a long-term employer-employee relationship.
- Maintain contact with recruits as they obtain security clearances, meet medical requirements, and complete other onboarding processes.

Objective 5.2: Address employee development needs by providing relevant training.

We will—

- Ensure that our employees are supported with high-quality supervision, mentoring, on-the-job training, and classroom training.
- Design a formal mentoring and training program with specific learning expectations at each stage of training and ensure that all employees receive a similar training base.
- Encourage staff rotations between OIG organizational units to develop employee skills and expand their working knowledge of organizational programs and activities.
- Make better use of individual development plans (IDPs).
- Make a greater effort to identify and publicize cost-effective training opportunities for OIG employees and take advantage of low-cost and no-cost training opportunities, including training offered by the agencies included in OIG's jurisdiction.
- Use OIG staff members as instructors for many training courses and adapt off-the-shelf courses for use in OIG whenever that would be cost-effective.
- Continue to provide language training for employees stationed at French- or Spanish-speaking posts.

Objective 5.3: Retain highly performing and motivated employees.

We will—

- Commit to high levels of performance and accountability, including maintaining fair systems for employee evaluations and promotions.
- Promote a positive work environment by recognizing high performers through appropriately publicized awards and informal recognition and by ensuring a respectful office environment.
- Ensure that employees at all levels in every part of OIG understand that their contributions are valued.
- Benchmark employment and management practices against those of similar organizations to make sure that ours are competitive with other employers.
- Promote telework and flexible schedules.
- Increase efficiency and customer service and eliminate roadblocks in our internal operations.

Objective 5.4: Promote a culture that develops leadership and responsibility for managing people and producing results.

We will—

- Seek cost-effective opportunities for supervisory and leadership training.
- Evaluate the effectiveness of current supervisors in providing mentoring and on-the-job training.
- Provide all OIG employees with opportunities to exercise managerial and leadership skills.

Objective 5.5: Proactively plan to position resources to balance workload and oversight needs appropriately.

We will—

- Seek a legislative extension of hiring authorities for reemployed annuitants.
- Use short-term hiring authorities (for example, personal services contracts and “when actually employed” appointments), but only to meet needs that cannot be met by permanent employees.
- Monitor changes in contingency operations, congressional priorities, U.S. foreign policy initiatives, and foreign assistance levels and risks and provide appropriate oversight through regional offices, country offices, satellite offices, or temporary duty assignments.
- Expand investigators’ presence overseas and work to increase their profile.
- Strengthen the policy, planning, and training functions performed by the Office of Audit.
- Acquire subject matter expertise relevant to foreign assistance programs.
- Evaluate OIG/Washington operations to look for opportunities to achieve efficiencies and synergies.

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