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Sent: Mon, Feb 24, 2020 2:52 pm  
Subject: Control Number 2019-FPAC-FSA-01026-F  
Control Number 2019-FPAC-FSA-01026-F

This is in response to your Freedom of Information Act (FOIA) request (copy attached), assigned control number 2019-FPAC-FSA-01026-F.

Your request states the following:

“I request a copy of each report and presentation produced under contract AG3151D150131 issued by FSA to “Your Recruiting Company, Inc.””

In response to your request, we are releasing one file in PDF format to you in full.

If you have any questions about your request, you may contact Barbara McLean at 202-720-6788; by email at [barbara.mclean@usda.gov](mailto:barbara.mclean@usda.gov); or by mail at 1400 Independence Avenue, SW, Room 6618-S, STOP 0506, Washington, DC 20250.

Sincerely,

Patrick McLoughlin  
FOIA Officer  
Farm Production and Conservation

#### Attachments

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# Federal Human Capital Accountability

Overview



# The YRCI Accountability Team

|   |  |
|---|--|
| <p><b>Polly Grago</b><br/><a href="mailto:PGrago@yrci.com">PGrago@yrci.com</a><br/>703-259-9386</p>       | <p>28 years of Federal HR experience. Most recently with FHFA as the Manager for Human Capital Innovative Solutions. Prior to that Deputy HR Officer for the Minerals Management Service (MMS). Established and managed the first HC Accountability Program for FHFA and the first HC Accountability Program for MMS.</p>      |
| <p><b>David Spinale</b><br/><a href="mailto:DSpinale@yrci.com">DSpinale@yrci.com</a><br/>703-259-9395</p> | <p>Spent the past 9 years coordinating business process improvement, strategic planning, and change management initiatives across HR, IT, and Management Support for the US Department of State. More than 20 years of government and private sector management experience.</p>  |
| <p><b>T.J. Rice</b><br/><a href="mailto:TRice@yrci.com">TRice@yrci.com</a><br/>703-259-9337</p>           | <p>Has over 10 years of Federal government experience leading strategy, compliance, and organizational management initiatives in the areas of IT, HR, and Facilities. Oversaw business engineering and global support for the USAID Office of Inspector General and spearheaded comprehensive HC workflow reviews at FHFA.</p> |



# Supporting the FSA Mission



## **Mission Statement**

Our mission is to deliver timely, effective programs and services to America's farmers and ranchers to support them in sustaining our Nation's vibrant agricultural economy, as well as provide first-rate support for domestic and international food aid efforts.

## **Vision Statement**

We shall transform into a more diverse and innovative Agency.



# A Little Background on Human Capital Accountability

- Contentious Politics - It started in 1829 with Andrew Jackson, 7<sup>th</sup> President – but not in the way you would think!
- Thievery - When Ulysses Grant, 18<sup>th</sup> President, nearly gave away Fort Knox – we knew we had a problem!!
- Murder – A dead president and a smoking gun!!!



# History Continued

- **1889 Benjamin Harrison, 23<sup>rd</sup> US President, appoints Theodore Roosevelt as Commissioner of the US Civil Service. Based reform on 3 principles:**
  - **Opportunities should be made equal for all citizens.**
  - **Only those who had merit should be appointed to Federal jobs.**
  - **Public servants should not suffer for their political beliefs.**
- **1901 Theodore Roosevelt, 26<sup>th</sup> US President focuses on the modernization, expansion, and reform of the Federal Government.**
- **1978 Civil Service Reform Act signed into law. Most significant reform effort since the 1883 Pendleton Act**
- **1993 Government Performance and Results Act signed into law.**



# Tenets of Modern HC Accountability

- 2001 - E.O. 13197, Codified at 5 CFR Part 10 – Civil Service Rule X
- 2002 – Passed Chief Human Capital Officers Act of 2002 (CHCO Act). Codified at 5 U.S.C. 1103 (c)
- 2008 - CHCO Act requirements defined by Human Capital Assessment & Accountability Framework (HCAAF), implemented through 5 CFR 250 Subpart B
- 2010 – Passed Government Performance and Results Modernization Act. OMB Circular A11 – Part 6 outlines HC management responsibilities
- 2013 – HCAAF updated to the Human Capital Framework (HCF), not yet codified

# What Is Required?



## COMPLIANT HC ACCOUNTABILITY PROGRAMS:

- Annual assessments
- Agency formalized process
- Evaluation of mission alignment, effectiveness, efficiency, and compliance with merit system principles, laws, and regulations
- Independent audit with periodic review of HR transactions to ensure legal and regulatory compliance
- Action plan to improve HC programs and processes and correct deficiencies
- Results analyzed and reported to agency management and OPM (via the annual Human Capital Management Report)

# Why is it Important?



- **Unmasks systemic shortfalls and workplace gaps that can be closed only by implementing effective agency strategies**
- **Shortfalls manifest as operational problems, but their causes are traceable almost always to the lack of an implemented human capital strategy that puts the right people in the right place at the right time with the right skills**
- **Mission accomplishment is dependent on people, the agency's human capital**

# Roles & Responsibilities



- **OPM: Develops and enforces regulations, requirements, and reports**
  - **Accountability activities include:**
    - Full compliance audits
    - DEU Audits (County to Fed for example)
- **USDA: Establishes Agency guidance & roll-up reports to OPM**
  - **Accountability activities include:**
    - HCF audits
    - Coordinating OPM audits
- **FSA – HRD: implements HC initiatives and programs in concert with ELC, HC Standing Committee, and FSA leaders.**
  - **Accountability activities include:**
    - Reporting on FSA HCAAF (HCF) program requirements to USDA, including the required specific systems, standards, and metrics.
    - Participating in mandated OPM, USDA, and DEU audits and evaluations.
    - Conducting Accountability Program “self” audits
    - HRD serves as “OPM” for County HR



# **Human Capital Accountability at FSA**

**A Customized Approach**



# The Accountability Program For FSA

## More Than a SCORING System

- Tools to ensure that human capital is managed to drive mission success and the success of individual employees
- Helps ensure that human resources practitioners have the tools (e.g., technology) and training needed to support best-in-class human capital management
- Promotes compliance with regulations/requirements
- Supports high-quality and timely delivery of HR services to customers



# Accountability Program Outcomes

- **Dynamic framework supporting flexibility, effective communication, engagement, and meaningful metrics**
- **Clear linkage between all HC programs & initiatives and how they promote effective and efficient HC operations**
- **Metrics that demonstrate HC programs & initiatives support the FSA mission and performance objectives (or don't)**
- **Transparent reporting and scorecard capability to provide agile, up-to-date HC performance status to inform decision-making**



# Summary of Deliverables

- **Accountability Program Policy**
- **Internal Accountability (Self-Audit) Operations Plan**
  - **Scope, Required Metrics, Voluntary Metrics, Audit Tools, Audit Schedule, Self-Audit Teams**
- **Initial baseline analysis (pre-audit)**
- **Action plan from the pre-audit, highlighting diagnosis & remedies**
- **Accountability Scorecard**



## Cooperation and Collaboration

- Build program with input from the ground-up, based on regulatory requirements, **meaningful metrics**, and actual business reality
- Understand HRD requirements/regulations
- Meet directly with HR practitioners in the field (AOs) to ensure that tools, processes, and policies support county/state mission responsibilities and priorities
- Tools we will use: workgroups, assessments (surveys), data/information analysis
- Frequent communications and opportunities to help shape/contribute to the final deliverables :
  - Accountability Program Policy
  - Implementation Guide/Operations Plan



# FSA Self Audits

- **FSA HRD: With the FSA HC Accountability Program, future activities include:**
  - **Voluntary Compliance Audits: formal, structured, cyclical reviews of HR operations, focus on assessing compliance with Merit System Principles and other applicable laws, rules, and regulations and Department policies.**
  - **Deeper Program Assessment Audits that go beyond the USDA reviews and prescribed HCAAF (HCF) requirements.**
- **FSA – AOs and State/County HR Practitioners**
  - **Together, during this workshop, we will begin to define this role**



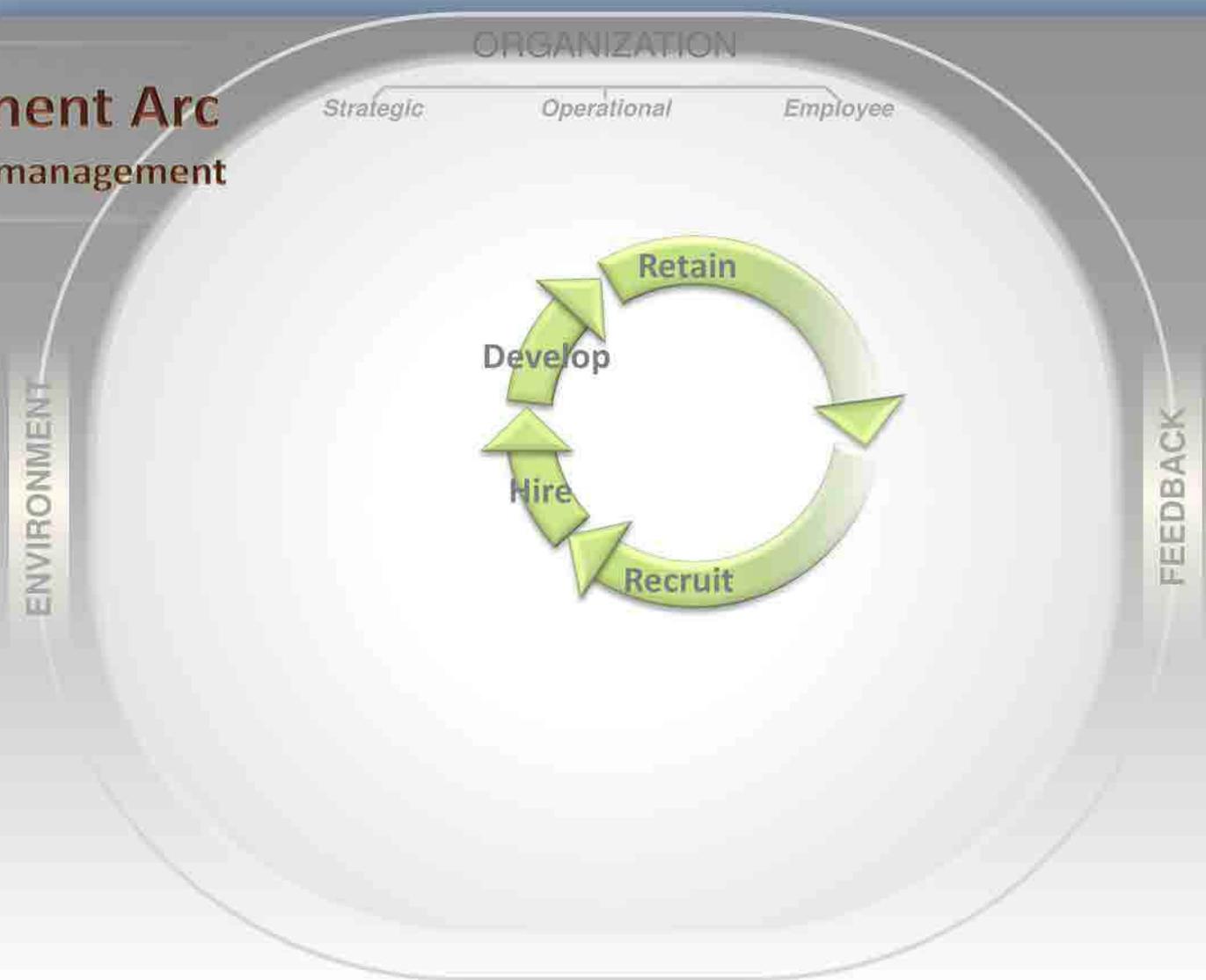
# Self Audits & the Human Capital Framework (HCF)

- **Four HC “systems” that together provide a consistent, comprehensive roadmap for effective HC management**
- **Fuses HC management to the merit system principles and other civil service laws, rules, and regulations**
- **Fulfills requirement to have systems and standards, including metrics, for assessing HC management in Federal agencies**
- **Defines an ongoing process of HC planning and goal-setting, implementation, and evaluating results**
- **Makes mission accomplishment the end goal!**



# The HCF Systems

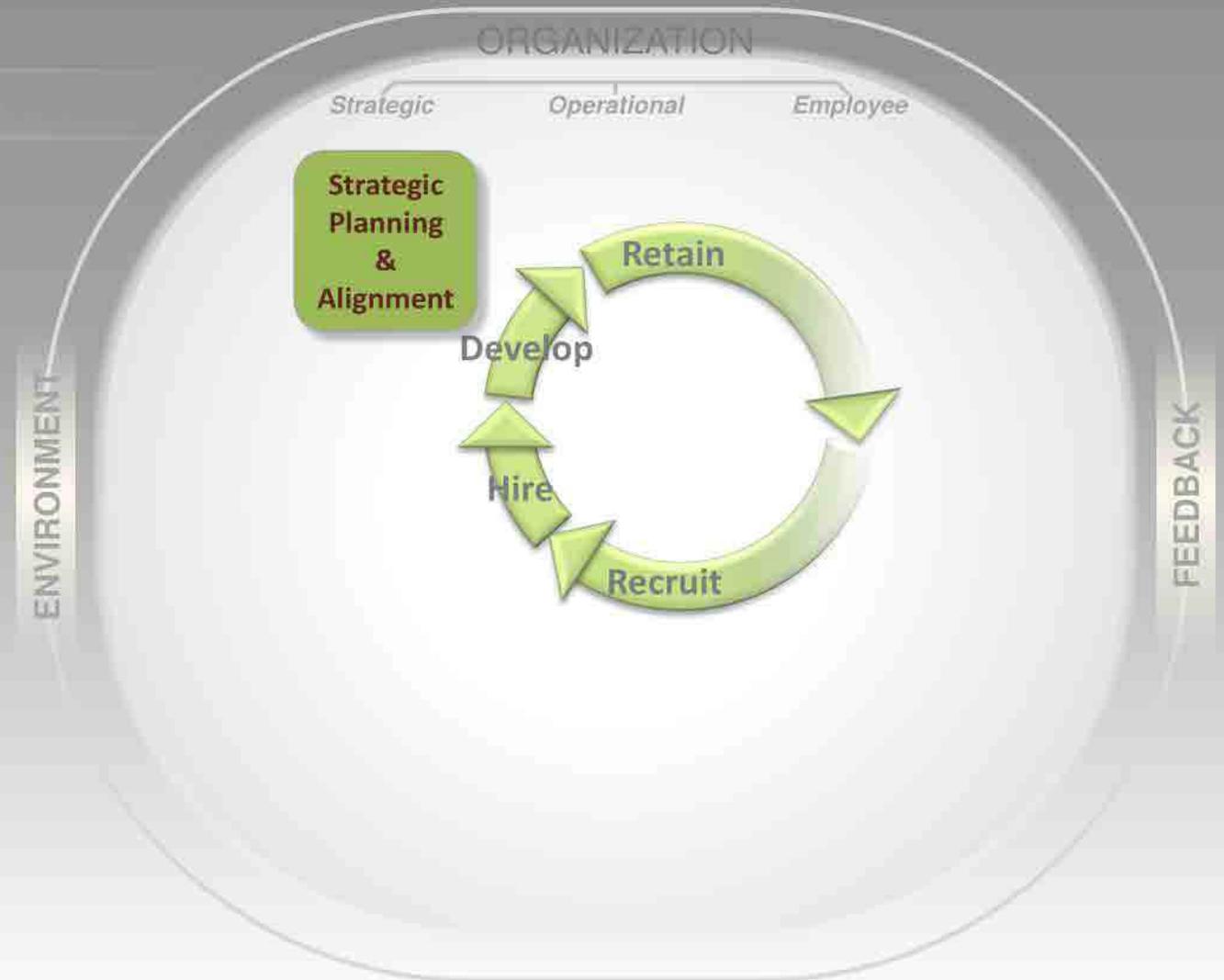
## The Employment Arc At the center of HC management





# The HCF Systems

## The Systems



A silhouette of a group of people sitting around a table in a meeting, with a bright light source behind them, creating a glow. The background is a light blue gradient.

# Strategic Planning & Alignment System

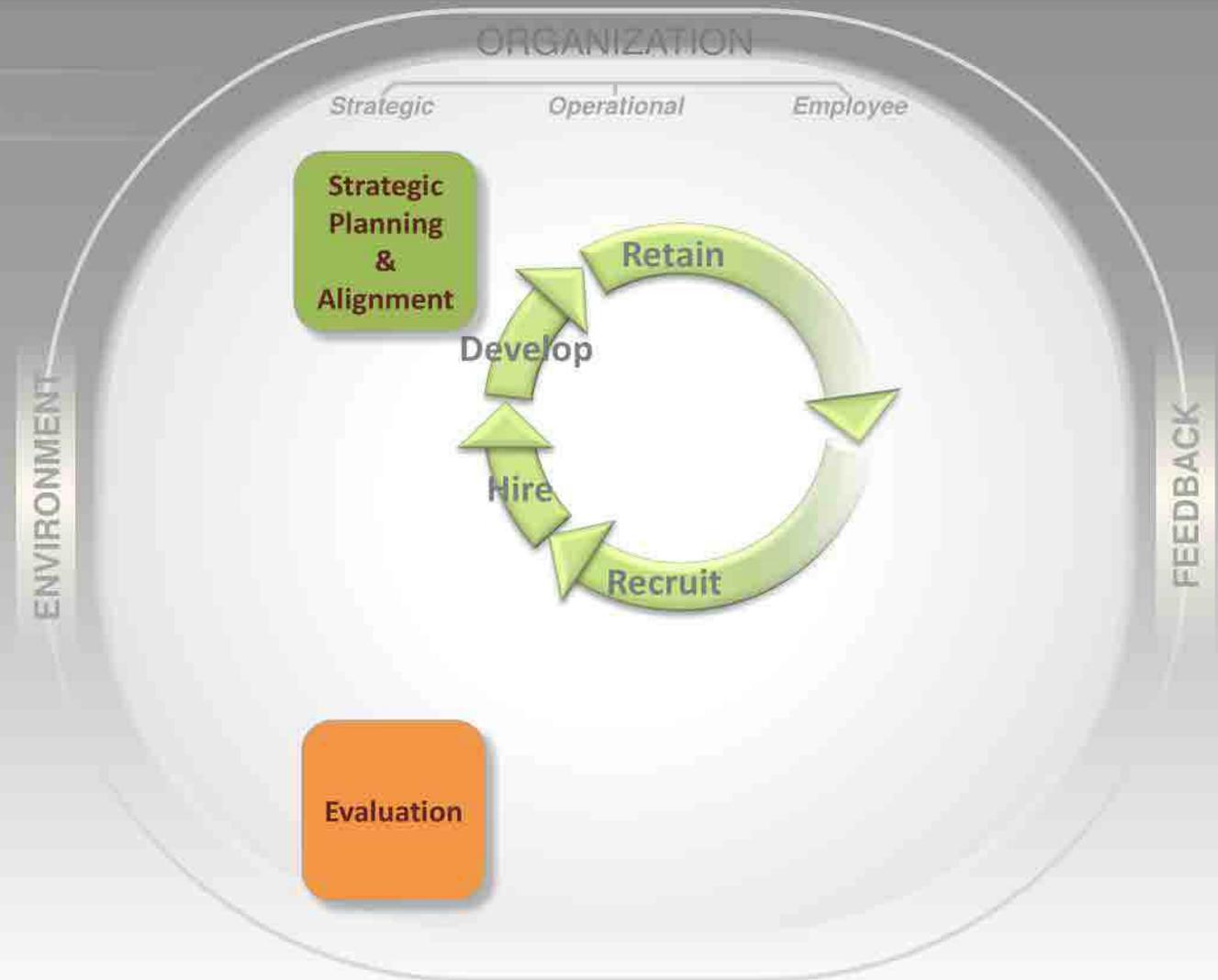
Strategic Planning & Alignment is the HCF's planning and goal setting system.

- Agency Strategic Planning
  - Strategic Human Capital Planning
  - **HR as a Strategic Partner**
  - Annual Performance Planning
  - Organizational Development
  - Change Management
- 
- Requires agencies have a HC management plan and performance measures and milestones
  - Requires HC goals, objectives and strategies be aligned with the agency's mission and performance goals



# The HCF Systems

## The Systems





# Evaluation System

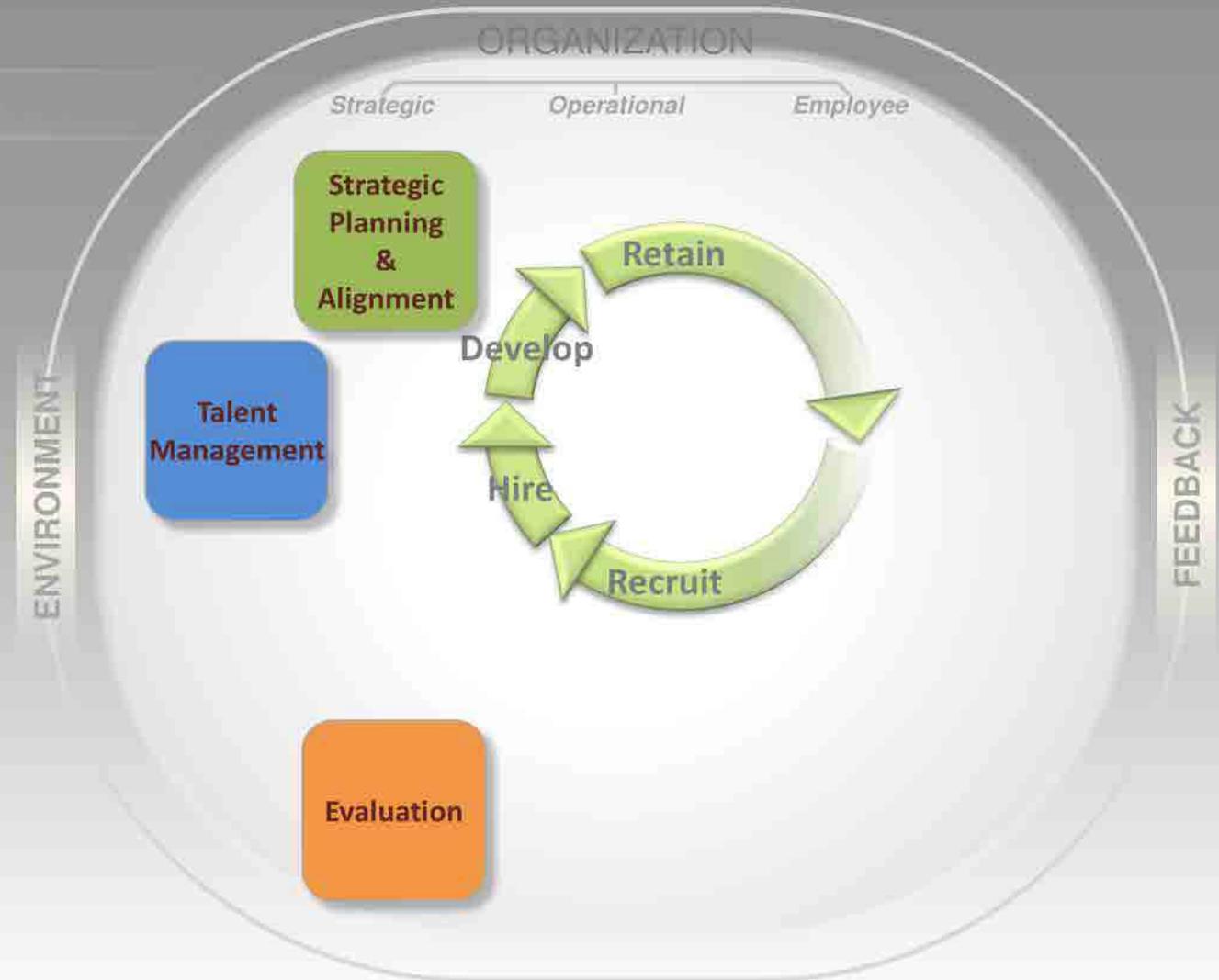
**System for evaluating results and analyzing agency performance on all aspects of HC management policies, programs and activities, which must support mission accomplishment and be effective and efficient.**

- **Business Analytics (Effective & Efficient)**
- **Data Driven Decision Making**
  
- **Agency HC management decisions are guided by a data-driven, results-oriented planning and accountability system**
- **Results inform the development of the HC goals and objectives, in conjunction with the agency's strategic planning and performance budgets**
- **Effective application of the Accountability system contributes to agencies' practice of effective HC management in accordance with the merit system principles and in compliance with Federal laws, rules, and regulations**



# The HCF Systems

## The Systems





# Talent Management System

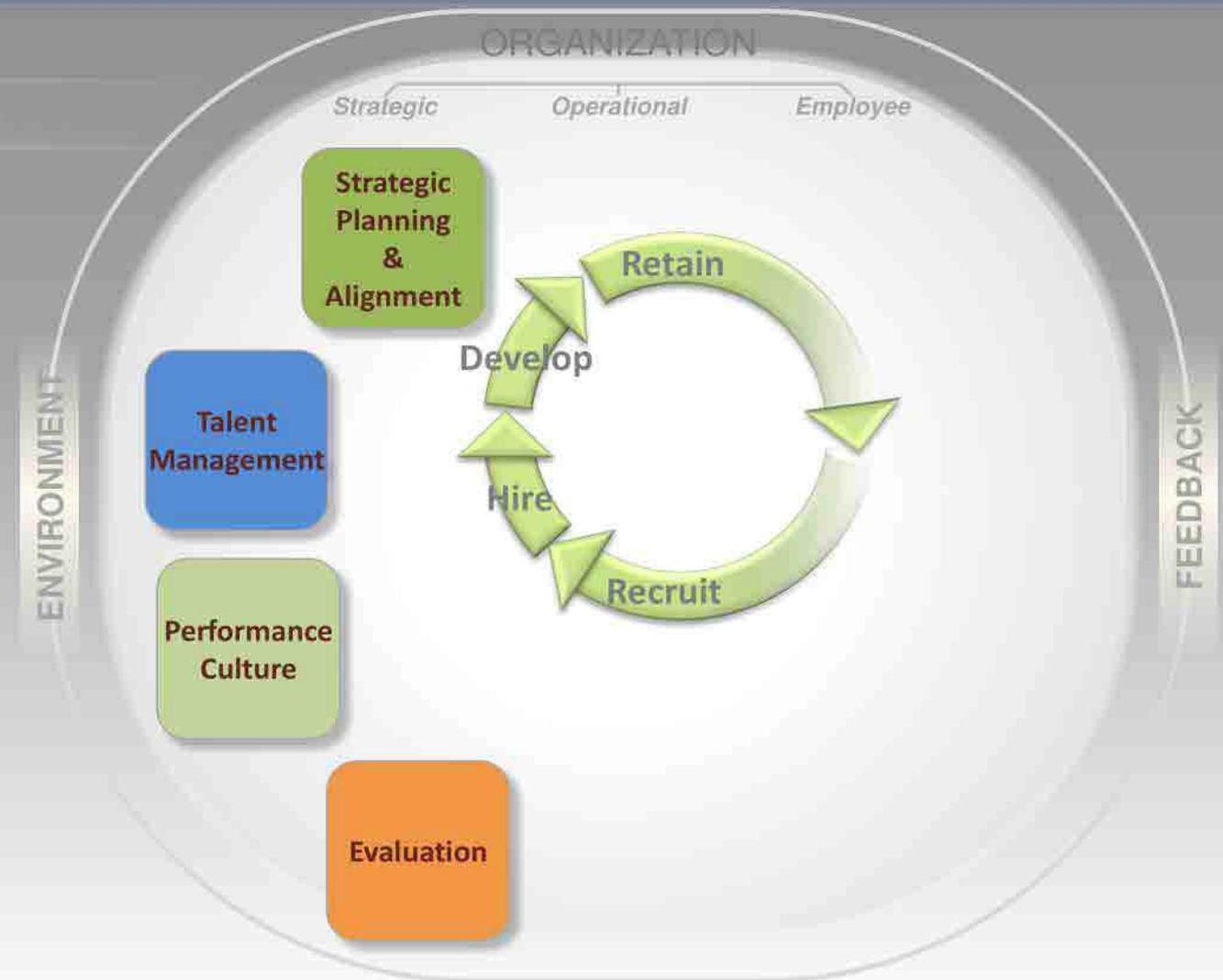
System focused on agencies having quality people with the appropriate competencies now and for the future.

- Workforce Planning
  - Recruitment and Outreach
  - Employee Development
  - Leadership Development
  - Retention
  - Knowledge Management
- 
- Supports implementing and maintaining programs to attract, acquire, promote, and retain quality talent
  - Requires closing competency gaps, particularly in mission-critical occupations
  - Identifies and addresses potential gaps in effective leadership
  - Implements and maintains programs that capture organizational knowledge and promote learning



# The HCF Systems

## The Systems





# Performance Culture System

**System that promotes a diverse, high-performing workforce by implementing and maintaining an effective performance management system and awards programs.**

- **Continuous Learning**
  - **Performance Management**
  - **Diversity and Inclusion**
  - **Engaged Employees**
  - **Collaboration**
  - **Labor/Management Partnership**
  - **Work Life**
- 
- **Supports a diverse, results-oriented, high-performing workforce**



# The HCF Systems

## Business Process





# The HCF Systems

## Business Process





# HCF Systems in Summary

## TALENT MANAGEMENT

- Workforce Planning
- Recruitment & Outreach
- Employee Development
- Leadership Development
- Retention
- Knowledge Management

## PERFORMANCE CULTURE

- Continuous Learning
- Performance Management
- Diversity & Inclusion
- Engaged Employees
- Collaboration
- Labor/Management Partnership
- Work Life

## STRATEGIC PLANNING & ALIGNMENT

- Agency Strategic Planning
- Strategic Human Capital Planning
- HR as a Strategic Partner
- Actual Performance Planning
- HC Best Practices & Knowledge Sharing
- Organizational Development
- Change Management

## EVALUATE

- Business Analytics
- Data Driven Decision Making

# Exercise



- **Pause for practical exercise.**



# Understanding Connections



**HR Activities – Where do they fit?**



# HR Activities & the HCF Systems

## Strategy & Alignment

- HC Strategy Program
- HC Strategic Plan
- Support Mission Workforce Initiatives
- Analytics driven decision making

## Talent Management

- Classification
- Express Lane
- Recruitment
- Onboarding
- Processing Personnel Actions
- Leadership Development
- Retention

## Efficient & Effective Ops.

- KC HROC
- Analytics driven decision making
- Improved efficiencies (cert utilization)
- Customer Service (SED POCs)
- Express Lane

## Performance Culture

- Employee Onboarding
- Benefits
- Performance Appraisals
- Awards
- Diversity & Inclusion
- Training
- Work-life Programs

## Evaluation

- HC Accountability Program
- Analytics driven decision making



# Accountability Program Outcomes

## FSA Managers

- Identify relationship between upcoming mission requirements and human resource needs; target areas where change is needed to support mission. Improve understanding of the constraints and flexibilities that apply to those needed changes and that will support the organization mission.

## FSA Employees

- People are the number one enabler of high performance; accountability helps ensure that compensation/benefits programs, flexibilities, and work/life arrangements help the agency compete for and retain the best talent.

## FSA HR Practitioners

- A fact-based approach that demonstrates the effectiveness of human capital policies and practices—thereby improving the ability to maximize the value of human capital investments while managing the related risks. Required for compliance with federal regulation.

## FSA Mission

- Emphasizes investment to enhance the value of individual employees and the whole agency workforce; and whether the agency has aligned its resources to support a clearly defined shared mission, vision for the future, and core values. As the value of people increases, so does the performance capacity of the organization, and therefore its value to clients and other stakeholders.

# Best in Class HC Management



Accountability Program  
will support human capital  
management excellence.