



ADS Chapter 401

USAID's Human Capital Framework

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ADS 401 – USAID’s Human Capital Framework
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ADS 401 – USAID’s Human Capital Framework

401.1 OVERVIEW

Effective Date: 10/11/2018

The USAID human capital (HC) accountability system was approved by the Office of Personnel Management on October 27, 2006. This chapter provides the policy directives and objectives that supersede the October 27, 2006 approved human capital accountability system and establishes USAID’s Human Capital Framework (HCF) with updated provisions in accordance with [5 CFR 250](#), dated December 12, 2016. 5 CFR 250 applies to the governance of USAID’s civil service.

USAID is committed to the accomplishment of its mission, supported by sound human capital planning, and a rigorous human capital accountability system to measure the effectiveness of its management strategy. USAID’s human capital accountability system is now referred to as the Human Capital Framework in accordance with [5 CFR 250.203](#). The HCF provides comprehensive guidance on the principles of strategic human capital management (HCM) in the Federal Government. The framework provides direction on human capital planning, implementation, and evaluation. The framework also promotes results-driven performance, continuous improvement, adherence to the Federal Merit System Principles, and other personnel laws and regulations in alignment with the Agency’s mission.

The HCF is aligned with the Joint U.S. Department of State and USAID Strategic Plan (2018-2022), as well as [USAID’s Human Resources \(HR\) Transformation Strategy](#). It also addresses human capital management and business process improvement. USAID is committed to becoming more efficient, effective, transparent, and flexible while maintaining accountability to the American people in managing government resources. The Agency continues efforts to implement HCM strategies, and regularly reviews existing policies, programs, business practices, and processes to identify areas for improvement and innovation.

401.2 PRIMARY RESPONSIBILITIES

Effective Date: 11/08/2021

- a. **USAID’s Administrator**, or their designee, is responsible for:
1. Ensuring USAID’s strategic plan includes a description of the operational processes, skills, technology, and HC information required to achieve the Agency’s goals and objectives.
 2. Allocating resources.
 3. Ensuring that USAID incorporates applicable priorities identified within the [Federal Workforce Strategic Priorities Report](#) and work to close government-wide and Agency-specific skill gaps.

4. Establishing and communicating the Agency's commitment to the merit system principles and USAID's HC Framework.
5. Providing leadership and direction to implement the Administration's goals and providing overall direction for transformational activities, especially those activities related to HCM.

b. The Assistant to the Administrator is responsible for:

1. Serving as USAID's chief policy advisor on all human resources management issues;
2. Selecting, developing, training, and managing a high-quality, productive workforce;
3. Ensuring that the workforce supports the Administrator's vision for the Agency.

c. The Chief Human Capital Officer (CHCO) is responsible for:

1. Designing, implementing, and monitoring USAID human capital policies and programs that:
 - Ensure HC activities support merit system principles;
 - Use the OPM designated method to identify and close government-wide and Agency-specific skill gaps;
 - Demonstrate how USAID is using the HCF to address strategic HC priorities and goals;
 - Establish and maintain an evaluation system to evaluate HC outcomes that is formal and documented, and approved by OPM; and
 - Maintain an independent audit program that is adequately resourced (people, time, funds, materials) to review all HCM systems and human resources transactions to ensure legal and regulatory compliance.
2. Directing the development and implementation of the Agency's Human Capital Strategy and Human Capital Operations Plan (HCOP).
3. In coordination with the Performance Improvement Officer (PIO), located in the M Bureau, leading HRStat reviews at least quarterly.

4. Implementing the HRStat maturity guidelines specified by OPM.

d. The Office of Human Capital and Talent Management, Policy Planning Systems Management (HCTM/PPSM), Policy and Accountability Branch is responsible for:

1. Providing leadership, oversight, guidance, coordination, and technical expertise in all HCF systems as identified in [5 CFR 250](#).
2. Directing, providing assistance, and issuing policy interpretation and guidance to all USAID Bureaus and Independent Offices on all new and existing laws, regulations, and initiatives affecting HCM and evaluation. Ensuring regular communication with Chief Administrative Management Services Officers and Executive Officers to work with HR staff throughout USAID to achieve outcomes.
3. Developing, implementing, and interpreting HC policies, procedures, standards, and systems for effective utilization and management of HR to accomplish the overall USAID mission.
4. Developing and implementing audit schedules and evaluation priorities for conducting independent audits, including auditing the administration of USAID's Delegated Examining authority, performance management system(s), and future talent acquisition demonstration project(s) in order to complete evaluation of each of the HCF systems within a three-year cycle or other alternative cycle based upon OPM requirements.
5. Ensuring that USAID takes action to improve HC policies and programs and correct deficiencies based on data-driven analysis and audit results.
6. Working with HCTM's Office of Employee and Labor Relations (ELR) to initiate appropriate corrective and/or adverse action to personnel responsible for violations of merit system principles and/or the commission of prohibited personnel practices (PPP) within required timeframes. Findings for potential PPPs will be forwarded to the Office of Special Council.
7. Working with the Office of Civil Rights (OCR) to ensure managers, supervisors, and staff are informed about and merit system principles, and that appropriate actions are taken to prevent and address violations of merit system principles.

e. USAID Leadership, Hiring Managers, and Supervisors are responsible for:

1. Integrating HC goals and other HCF initiatives into Agency Performance Plans for individual employees.

2. Attending quarterly CHCO-led HRStat meetings.
3. Adjusting HCM strategies and practices in response to outcomes identified during HRStat quarterly data-driven reviews of human capital performance to improve organizational processes.
4. Promoting the merit system principles and ensuring compliance in all HR decisions and actions.
5. Working with ELR to ensure that decisions on disciplinary or adverse actions proposed for violations of merit system principles and/or the commitment of prohibited personnel practices are communicated and executed in a timely manner. Findings for potential PPPs will be forwarded to the Office of Special Council.

f. The Bureau for Management, Office of Management Policy, Budget and Performance (M/MPBP) is responsible for:

1. Attending quarterly CHCO-led HRStat meetings and sharing quarterly performance information related to measures documented in the HRStat.
2. Monitoring HC coordination from a budgetary standpoint.
3. Identifying and communicating roadblocks to accomplishing the stated HC, performance or fiscal goals, and coordinating with Agency leadership to make corrections or adjustments as needed.
4. Using the government-wide and agency-specific HC strategies to evaluate resource requests (e.g., staff full-time equivalents, training, analytical software, etc.) into the annual budget process.
5. Improving strategic human capital management by using performance goals, indicators, and business analytics to assess results of the HCM strategies, planned and implemented.

g. The Accountability Program Manager (HCTM/PPSM) is responsible for:

1. Participating in the development, implementation, management, and monitoring of the USAID's Human Capital Evaluation System; identifying and communicating needed changes or modifications to maintain maximum effectiveness and efficiency throughout USAID.
2. Ensuring that the evaluation system clearly communicates data and provides analyses of performance results against key measures.

3. Ensuring that the three HC evaluation mechanisms (HRStat, Independent Audit Program, and Human Capital Reviews) are appropriately integrated throughout USAID.
4. Participating on the OPM Accountability Council Evaluation Systems working groups and related government-wide initiatives that pertain to the HCF's evaluation system.

h. The **Bureau and Office Administrative Management Services (AMS) Staff** are responsible for serving as liaisons between HCTM and management officials by providing advisory and technical services to line managers on a broad range of HR issues.

i. The **Office of the Inspector General (OIG)** conducts audits of USAID programs and operations, including the Agency's financial statements, related systems, and procedures; and Agency performance in implementing programs, activities, or functions. OIG uses the audit process to help Agency managers improve the effectiveness and efficiency of operations and programs. OIG issues the Agency Financial Report, an annual statement summarizing the most serious management and performance challenges facing the Agency as well as an assessment of the Agency's progress in addressing those challenges.

401.3 POLICY DIRECTIVES AND REQUIRED PROCEDURES

401.3.1 Human Capital Accountability at USAID

Effective Date: 11/08/2021

USAID leadership plays a critical role in establishing and maintaining an effective evaluation system. Leadership accountability is present in the civil service and foreign service personnel systems as well as the Senior Executive Service (SES) and the Senior Foreign Service (SFS) Performance Systems. These systems link performance requirements to USAID's strategic management objectives. Performance requirements for HCTM and merit system principles are integrated through all levels of management and supervision.

The following roles and responsibilities of USAID leaders are key to maintaining a highly functional evaluation system.

Under [5 USC 1401](#), the CHCO advises and assists the Administrator, **the Assistant to the Administrator**, and other Agency officials in carrying out the Agency's responsibilities for recruiting, selecting, developing, training, and managing a high quality, diverse, productive workforce in accordance with merit system principles ([5 USC 2301 \(b\)](#)). [5 USC 1402](#) addresses the functions of the CHCO, which includes aligning the Agency's human resources policies and programs with its mission, strategic goals, and performance outcomes, and identifying best practices and benchmarking studies.

The CHCO has broad responsibility for strategic human capital management and is responsible for developing and implementing innovative and transformational human resource policies, procedures, and programs that serve all staff. The CHCO:

- Oversees the development and implementation of HC goals and priorities;
- Determines results measures;
- Tracks and evaluates results; and
- Develops improvement plans accordingly.

The CHCO is assisted in this role by the Deputy CHCO (a Civil Service Senior Executive Service member) and the Senior Deputy Assistant to the Administrator (a Foreign Service Officer). The Deputy CHCO is the Chief Human Capital Officer's' alter ego in the CHCO Council and OPM-related matters.

Maintaining a rigorous continuous improvement process requires coordination and deliberative discussions among key management entities including the CHCO and HCTM senior leaders, all USAID Bureau/Independent Office heads, and Mission Directors including negotiating proposed changes in conditions of employment with the union, as appropriate. This coordination is accomplished through the Agency strategic planning and budget process and various Agency activities, such as the Executive Management Council on Risk and Internal Control (EMCRIC), the monthly AMS meeting with HCTM (facilitated by the Deputy CHCO), the Federal Employee Viewpoint Survey (FEVS), ad hoc working groups, and management assessment activities.

401.3.1.1 Purpose and Scope

Effective Date: 10/11/2018

This ADS chapter establishes USAID's policy and assigns responsibility to implement and maintain an effective Agency-wide HCF evaluation system that contributes to Agency performance by:

- a. Aligning HC goals and programs with USAID's mission and priorities, thereby ensuring effective human capital management in support of the Agency's strategic plan, consistent with merit principles;
- b. Systematically monitoring and evaluating the operation of human resource management programs including the Agency's use of HR authorities and outcomes of HCM strategies, policies, programs, and activities to assess legal and regulatory compliance as well as impact on organization performance;
- c. Systematically assessing progress towards the goals contained in the HCOP;

- d. Analyzing efficiency, effectiveness, and compliance with merit system principles through independent audit processes; and
- e. Using data to identify necessary improvements and promote best practices.

The HCF is Agency-wide in scope. The system oversees HC operations and human resources management programs, both civil service and foreign service personnel systems.

401.3.2 Intent and Desired Outcomes of the Human Capital Framework

Effective Date: 10/11/2018

The following objectives describe the intent and desired outcomes for the HCF:

1. HC goals and programs are aligned with and support USAID's mission statement and Agency Strategic Plan;
2. HC planning is guided by data-driven, results-oriented processes, and documents an approach that periodically analyzes HC data to assess results or progress toward goal achievement;
3. Managers and HR practitioners are held accountable for their HC decisions and actions;
4. HC/HRM programs, activities, and practices adhere to merit system principles and other pertinent laws and regulations;
5. HRM processes and operations are efficient and effective;
6. Issues or deficiencies identified during accountability audits and reviews are identified and corrected, as appropriate; and
7. HC strategies and priorities are adjusted, as necessary, to support the needs of the Agency.

To determine the effectiveness of the human capital accountability system, HCTM/PPSM's Policy and Accountability Division conducts accountability activities that document the extent to which HC goals and objectives are met. The CHCO and Agency senior leadership use the results of the accountability activities to drive continuous improvement in HC initiatives, HRM programs, and HR processes.

HCTM provides much of the infrastructure for the accountability system (with assistance from Bureau and Independent Office AMS Offices, as needed), as well as staff support and advisory services. USAID's senior leadership establishes accountability as a priority that is essential for continuous improvement of HC results in support of accomplishing USAID's mission.

401.3.3 General Operation of the Human Capital Framework

Effective Date: 10/11/2018

The USAID HC lifecycle of activities work together to achieve optimum results in HCM. The HC lifecycle of planning, implementing programs, and evaluating for results provides a continuous framework for the achievement of major program outcomes and process improvement.

Propelling the HC Planning and Goal Setting phase is the Agency Strategic Plan (ASP), which articulates the Agency's highest priority goals and objectives, and overarching program initiatives. The ASP provides the foundation for the identification and alignment of broad HC goals and objectives. The Annual Performance Plan (APP) is derived from the strategic goals and objectives in the ASP. The APP:

- Describes the strategies the Agency will follow in making progress towards achieving strategic goals and objectives (including HC goals),
- Identifies priorities among the goals, and
- Explains how the Agency will monitor progress.

The Human Capital Operating Plan (HCOP) is the Agency's human capital implementation document, which describes how the Agency will execute the human capital elements stated within the ASP and APP.

On an annual basis, the CHCO uses the HCOP report to help ensure a high quality and diverse workforce with appropriate skillsets for today and tomorrow's global context supported by modern, secure infrastructure and operational capabilities. The HCOP would also include consideration for proper resources and budget.

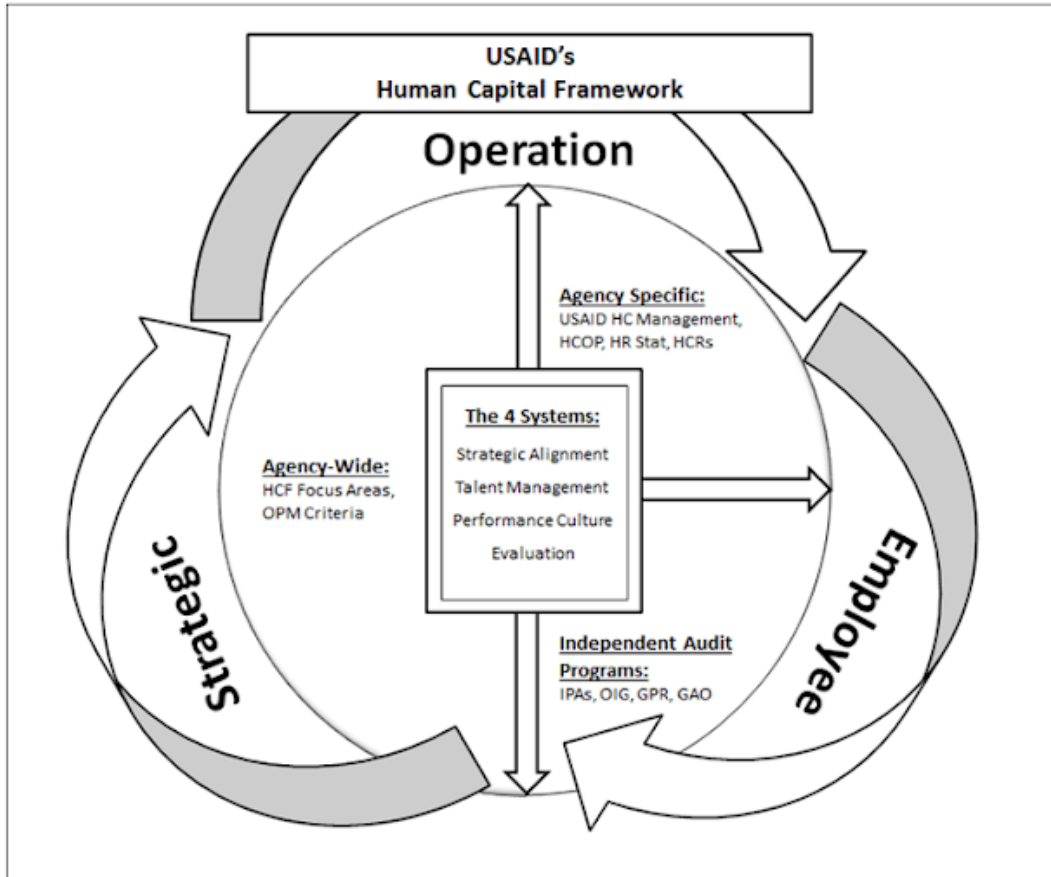
1. The implementation phase focuses on the execution of the accountability plan and reviews of various HR programs and activities, included in the human capital framework, on scheduled and random bases. Oversight reviews may also be conducted by OPM, with Agency participation.
2. The evaluating phase provides both historical and forward-looking management analysis of accountability results with recommendations, if any, for continuous improvement or to institutionalize good practices. Evaluation and audit findings produce measures to ensure continuous and sustained improvement of organizational effectiveness. Updating and revising the accountability plan annually "restarts" the process as part of an unbroken cycle.

The Agency constantly evaluates the system not just to ensure systems and processes are in place, but to meet programmatic and personnel objectives and results. By undertaking integrated goal setting and planning coupled with accountability and review,

HCTM can better orchestrate placing the right workforce, with the right skills, in the right jobs, at the right time.

401.3.4 Agency HCF Activities and Methodologies

Effective Date: 10/11/2018



USAID implements requirements of 5 USC 1103(c) and adopts the HCF from U.S. OPM focusing on four key focus area systems:

1. Strategic Planning and Alignment,
2. Performance Culture,
3. Talent Management, and
4. Evaluation.

The Strategic Planning and Alignment focus area and the evaluation focus area serve as the two management systems allowing HCTM to assess the Agency's development, measurement, and management of its human capital agendas.

Performance Culture and Talent Management focus areas allow HCTM to assess people, organization activities, and programs at USAID.

For details describing the subcomponents of each HCF focus area, see the U.S. Office of Personnel Management's description of the HCF and diagnostic tool at: <https://www.opm.gov/policy-data-oversight/human-capital-management/>.

HCTM/PPSM's Policy and Accountability staff conducts the Agency Specific HRStat Reviews, HC reviews, and participates in OPM-led reviews. These HR Stat and HC reviews may focus on all or any one of the HCF focus areas and aligned subcomponents. HCTM/PPSM/PA prepares a three-year evaluation schedule which is reviewed annually and modified, as necessary. Accountability activities and methodologies include the following:

1. Activities

a. Cyclical review of the following Human Capital Framework systems:

i. Strategic Planning and Alignment

- Agency Strategic Planning
- HR as Strategic Partner
- Annual Performance Planning
- Strategic HC Planning
- HC Best Practices and Knowledge Sharing
- Organizational Development
- Change Management
- Customer Service

ii. Talent Management

- Recruitment and Outreach (delegated examining annual review external hiring activity, e.g., Pathways Programs, other excepted service, reinstatement, transfers from other federal agencies)
- Merit promotion activities (reassignments and internal placements)
- Retention (employee compensation flexibilities, e.g., recruitment, relocation, and retention incentives)
- Workforce Planning
- Employee Development (Training and Leadership Development Programs)
- Knowledge Management

iii. Performance Culture

- Performance Management (Performance Appraisal System - alignment of performance appraisal plans with organizational goals, accountability for achieving results, credible measures, and distinctions in levels of performance)
- Awards program – assess whether the program is adequately resourced and that significant individual and team accomplishments are appropriately recognized
- Labor and Management Partnership
- Continuous Learning
- Diversity and Inclusion
- Engaged Employees
- Work-life

iv. Evaluation

- Business Analytics
- Data Driven Decision Making

2. Methodology:

- Data collection and analysis relevant to HC/HRM goals and related objectives, including government-wide metrics (e.g., time to hire), FEVS, program evaluations, information from EMCRIC and audit results conducted by OPM, the Government Accountability Office, and OIG.
- Review of standard operating procedures related to the audit scope and objectives to determine compliance with applicable laws, regulations, and Agency policies, and whether they contribute to the overall efficiency and effectiveness of office operations.
- Sampling of activities to validate regulatory compliance.
- As necessary, interviews or written questionnaires to a sampling of selecting officials, other key management officials, program managers/leads, union officials (if appropriate) and employees, relevant to the audit scope and objective.

401.3.5 Reporting and Corrective/Improvement Actions

Effective Date: 10/11/2018

HCTM/PPSM's Policy and Accountability (PA) Division through the PPSM Office Director, presents the results of the specific accountability activities to the CHCO within 60 business days after completion of the audit. The report includes any deficiencies or violations identified during the review, as well as any required and recommended actions to correct the identified deficiencies and violations, or to improve efficiency and effectiveness. The pertinent HCTM Center or object of the audit must acknowledge

receipt and address or resolve audit findings within 60 business days. PA works closely with the Center or Office in question to resolve or correct deficiencies identified during the audit. PA also tracks completion of the corrective actions and closes out the audit after the deficiencies have been adequately addressed.

The results of the accountability activities are used to drive continuous improvement to the Agency's strategic HC program, including modifying HC strategies and plans, as appropriate.

PA provides copies of formal audit results to OPM, which assesses the effectiveness of the Agency's HC Framework on an annual basis.

401.3.6 Evaluation of the Accountability System

Effective Date: 10/11/2018

The CHCO oversees the evaluation of the HCF by reviewing the results of activities in the aggregate, assessing the state of the strategic Agency-wide HC and HRM, and directing any necessary follow-up actions and system improvements. The HC Accountability Program Manager collects the data that will help determine how well USAID has performed against specific measures.

The annual assessment of the HCF ensures continuous improvement of HC business processes. It also determines the extent to which the following year's accountability activities will address up-to-date HC goals and objectives with the most appropriate measures to track mission alignment, effectiveness, and merit system compliance.

401.4 MANDATORY REFERENCES

401.4.1 External Mandatory References

Effective Date: 10/11/2018

- a. [5 CFR 250 and Part 250 Subpart B, Strategic Human Capital Management](#)
- b. [5 USC 305, Systematic Agency Review of Operations](#)
- c. [5 USC 1104, Delegation of Authority for Personnel Management](#)
- d. [5 USC 1402, Authority and Function of Agency Chief Human Capital Officers](#)
- e. [5 USC 2301, Merit System Principles \(See Appendix A\)](#)
- f. [5 USC 2302, Prohibited Personnel Practices \(See Appendix B\)](#)
- g. [31 USC 1115, Performance Plans](#)
- h. [Civil Service Rule X, as codified in 5 CFR 10.2](#)

- i. [Foreign Service Act of 1980, as amended](#)
- j. [The Homeland Security Act of 2002 \(Pub.L. 107-296 – CHCO Act\)](#)
- k. [Interagency Delegated Examining Agreement, \(AID-1\), dated 12/10/10](#)
- l. [Public Law 107-296, Chief Human Capital Officers Act of 2002, codified in 5 USC 1103\(c\)](#)

401.4.2 Internal Mandatory References

Effective Date: 10/11/2018

- a. [ADS 101, Agency Programs and Functions](#)
- b. [ADS 401maa, Appendix A, Merit Systems Principles and Appendix B, Prohibited Personnel Practices](#)
- c. [Department of State and USAID Strategic Plan](#)

401.5 ADDITIONAL HELP

Effective Date: 10/11/2018

- a. [ADS 401saa, List of Acronyms](#)

401.6 DEFINITIONS

Effective Date: 10/11/2018

See the [ADS Glossary](#) for all ADS terms and definitions.

accountability system

A system that contributes to agency performance by monitoring and evaluating the results of its human capital management policies, programs, and activities; analyzing compliance with merit system principles; and identifying and monitoring necessary improvements. (**Chapter 401**)

audit

A systematic, independent process of reviewing and evaluating documents and processes to determine the extent to which criteria are fulfilled; i.e. merit system principles; veterans' preference rules; and laws, regulations, and policies enacted to prevent prohibited personnel practices. [The Independent Audit Program is a component of USAID's evaluation system designed to review all Human Capital (HC) management systems and select HR transactions to ensure efficiency, effectiveness, and legal and regulatory compliance.] (**Chapter 401**)

Chief Human Capital Officers' Act of 2002 (CHCO Act)

The Act that established the agency CHCO, strategic human capital management systems, the relationship of strategic human capital management to agency

performance plans and reports, and HR flexibilities. The Act clarifies expectations and management's responsibility for managing HR. (**Chapter 401**)

delegated examining

Authority delegated from OPM to USAID allowing USAID to advertise and examine applicants for positions in the civil service when a) the applicant is applying from outside the Federal workforce, b) the applicant is a Federal employee but does not have competitive status, or c) the applicant is a Federal employee and does not have competitive service. Appointments made through delegated examining authority are subject to civil service laws and regulation in order to ensure fair and open competition, recruitment from all segments of society, and selection on the basis of the applicant's merit (competencies, knowledge, skills, and abilities (5 USC§ 2301). (**Chapter 401**)

evaluation system

USAID's overarching system for evaluating the results of all planning and implementation of HC strategies to inform the Agency's continuous process improvement efforts. This system is also used for ensuring compliance with all applicable statutes, rules, regulations, and Agency policies. The three HC evaluation mechanisms are: HRStat; Independent Audit Program; and Human Capital (HC) Reviews. (**Chapter 401**)

HRStat

A strategic human capital performance evaluation process that identifies, measures, and analyzes human capital data to inform the impact of an agency's human capital management on organizational results with the intent to improve human capital outcomes. HRstat, which is a quarterly review process, is a component of any agency's strategic planning and alignment and evaluation systems that are part of the Human Capital Framework. (**Chapter 401**)

Human Capital Evaluation Framework

The central evaluation framework composed of three HC evaluation mechanisms of (1) HRStat, (2) Independent Audit Program, and (3) HC Reviews that integrates the outcomes from each to provide USAID and OPM with an understanding of how human capital policies and programs support the Agency's mission. (**Chapter 401**)

Human Capital Framework (HCF)

The OPM framework that establishes and defines the four human capital systems, including standards and metrics, that provide the single, consistent definition of Federal human capital management. The HCF provides comprehensive guidance on the principles of strategic human capital management in the Federal government, and direction on human capital planning, implementation, and evaluation in the Federal government. (**Chapter 401**)

Human Capital Operating Plan (HCOP)

The HCOP is USAID's human capital implementation document which describes how the Agency will execute the human capital elements stated in the Agency's Strategic

and Annual Performance Plan. The HCOP clearly executes each of the four HCF systems and is authored by the CHCO. (**Chapter 401**)

Human Capital (HC) Reviews

OPM's annual, evidence-based review of an agency's design and implementation of its HCOP, independent audit, and HRStat programs to support mission accomplishment and HC outcomes. (**Chapter 401**)

merit system principles

The nine principles codified in 5 U.S.C. 2301, by which Federal personnel management is to be implemented. The merit system principles provide supervisory guidance on managing HR. These principles are foundational to the Federal human capital management system and ensure that selections for Federal jobs are fair, open, competitive, and free of political coercion or illegal discrimination. (**Chapter 401**)

metrics

Standards of measurement that provide a basis for comparison, Strategic human capital management requires a reliable and valid set of metrics that provide an accurate baseline against which progress can be assessed. (**Chapter 401**)

Performance Improvement Officer (PIO)

Advises and assists USAID's leadership to ensure that the mission and goals of the agency are achieved through strategic and performance planning, measurement, analysis, regular assessment of progress, and use of high-quality performance information and other evidence to improve results. This includes driving performance improvement efforts across the organization by using goal-setting, measurement, analysis, evaluation and other research, data-driven performance reviews on progress, cross-agency collaboration, and personnel performance appraisals aligned with organizational priorities. As such, the PIO and CHCO coordinate extensively to report USAID performance on key HC measures agreed upon in the Agency HRStat and other human capital reports impacting strategic human capital efforts. (**Chapter 401**)

program assessments

One of the independent audit components of the USAID Human Capital Evaluation System that monitors and evaluates progress to meet standards associated with the HCF systems. Assessments are based on a cyclical review schedule that identifies specific measures, methods, and timeframes for assessing results. (**Chapter 401**)

program compliance audits

One of the independent audit component of the USAID Human Capital Evaluation System that establishes a structured and formal method for conducting independent compliance audits of HR office operations. Audits are based on a cyclical review schedule that identifies specific audit sites, scope, methodologies, and close out procedures. (**Chapter 401**)

Prohibited Personnel Practices (PPPs)

These 13 practices codified in 5 U.S.C. 2302 are to be avoided and describe results of outcomes of poor (illegal) management practices that never should occur. Executives, managers, supervisors, and HR practitioners are held accountable for making HR decisions free of prohibited personnel practices. The U.S. Office of Special Counsel (OSC) has the authority to investigate and prosecute violations of the 13 PPPs.
(Chapter 401)

Strategic Human Capital Plan

A plan that ensures the alignment between human capital strategies and the USAID mission, goals, and objectives through analysis, planning, investment, and management of human capital programs. The plan describes Agency procedures to ensure that its employees have the mission critical competencies required to carry out the Agency's strategic goals including workforce planning and analysis and deployment; succession management and planning; talent management; identification of performance measures and milestones; and addressing unique programmatic challenges. The plan is an instrument that supports the Human Capital Evaluation Framework of the Agency.
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