

# Welcome to Session 1



## People—Our Greatest Asset: How the Human Capital and KfD Strategies Interact

Ron Olsen, HR &  
Susan Wallace, PPC

Tuesday, June 29, 2004



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# People—Our Greatest Asset

- Agenda:
  - Ron Olsen, Chief, M/HR
    - Human Capital Strategy overview
  - Susan Wallace, PPC/DEI
    - KfD Strategy overview
  - Discussion and Questions
  - Closing



# The HR Story

- The Human Capital (HC) Crisis in USAID
- Partnership with PPC
- The HC Strategy Approved by the Administrator
- Goals Under the President's Management Agenda



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# Quantitative Information Regarding Agency HR

The Office of Human Resources (M/HR) and the Bureau for Policy and Program Coordination (PPC) have collaborated during the past year to produce analytical and quantitative information that presents the USAID human capital challenges empirically.

These data aim to show that USAID is serious about addressing its human capital (HC) challenges, and that, through an increased understanding of the workforce issues facing USAID, the need for urgent resources will be self evident. USAID is committed to take on its new role in the triumvirate of foreign policy (defense, diplomacy and ***development***). A new Marshall plan is on the horizon in the Middle East and USAID is dedicated to having the human resources to successfully lead the way.

David Eckerson

Director of the Office of Human Resources



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# USAID Human Capital

- Development of the Joint Strategic Plan with the Department of State, to be implemented through the Joint Management Council. HR issues are addressed through a HC working group.
- President's Management Agenda
  - Workforce Planning
  - Development Readiness Initiative (DRI) and Other Recruitment
  - Overseas Template & HQ Re-alignment
  - OMB/OPM Scorecard for HC



# USAID Human Capital

## Business Transformation

- Presidential Management Agenda
  - Strategic Human Capital Management
    - Comprehensive Workforce Analysis and Workforce Planning
    - HC Strategy
  - Budget and Performance Integration
- Overseas Template
- Business Model Review
- Washington to Field Alignment



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# JMC Working Group on Human Capital Third Quarter FY-2004

- 1) Employee Training: on schedule: training officials working on plan to develop a joint license for distance learning once USAID is on State's OpenNet.
- 2) Cross Assignments: on schedule: one State officer assigned to USAID and one USAID officer assigned to State.
- 3) Diplomatic and Development Readiness: on schedule: cross training of recruiters continuing and website links under development.
- 4) Overseas Employment: on schedule: joint policy on hiring and developing FSNs under discussion; 5 USAID FSNs participating in annual State FSN conference in June.
- 5) HR Systems and IT Applications: on schedule: USAID considering feasibility of adapting State's WebPASS for its Post Personnel module; ongoing discussions on adopting other State HR applications.
- 6) Performance Evaluation: completed for 2004, with similar cooperation planned for 2005.



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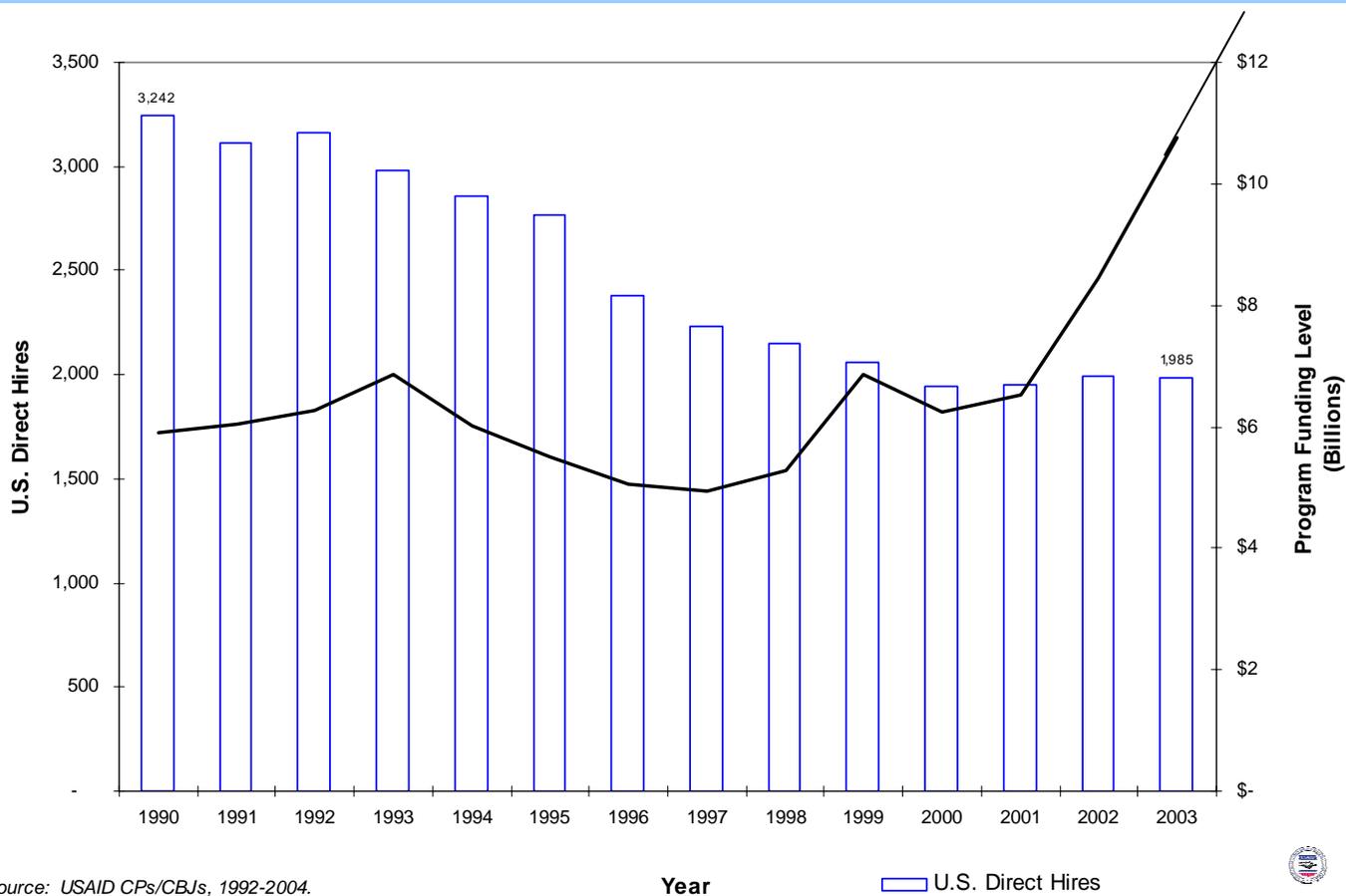


# President's Management Agenda–USAID

		Current Status (As of June 30, 2004)		Progress in Implementing the President's Management Agenda	Comments
<b>Initiative</b>					
<b>Human Capital</b>  <b>Agency Lead:</b> <b>John Marshall</b>  <b>CHCO:</b> <b>Dave Eckerson</b>  <b>RMO Branch Chief :</b> <b>Michael Casella</b>  <b>OPM HC Officer:</b> <b>Roger Knadle</b>	 Red  Next ↑ est. by FY 2005	<ul style="list-style-type: none"> <li>Comprehensive human capital plan 3 developed on Q2 FY 04, __ results analyzed&amp;used Q3 FY 04.</li> <li>Organizational structures ✓ current structure analyzed and restructuring begun on Q1 FY 02, structures optimized &amp; process in place to address future challenges on Q2 FY 2005.</li> <li>Succession strategies 3 implemented Q3 FY 04, __ continuously updated talent pool assured on est. Q4 FY 05.</li> <li>Performance appraisal plans link, differentiate, and provide consequences for ✓ SES, SFS &amp; mgrs Q2 FY 04, __ 60%+ of agency est. Q3 FY 04.</li> <li>Under representation __ implemented strategies to address on est. Q2 FY 05, __ reduced &amp; established process to sustain diversity on est. Q3 FY 05.</li> <li>Skill gaps_ workforce planning system implemented est. Q2 FY 05, __ significant reduction in mission critical gaps est. Q3 FY 05.</li> <li>Accountability system _system developed est. Q4 FY 04, used to make decisions est. Q2 FY 05.</li> </ul>	 Green	<b>Actions Taken Since March 31, 2004</b> <ul style="list-style-type: none"> <li>Developed draft agency accountability system using metrics to evaluate performance on HC standards.</li> <li>Conducted study to incorporate affirmative employment goals into recruitment strategies and designed strategies to address under representation.</li> <li>Initiated collection of workforce planning data as a basis to identify and address gaps in mission critical occupations and competencies.</li> <li>Developed draft succession strategies through Development Readiness Initiative (DRI) and workforce planning initiative to address skill gaps.</li> <li>Revised SFS promotion precepts policy and related regulations and guidance.</li> <li>Revised 'Proud to Be' document.</li> </ul> <b>Planned Actions for Q4 FY 2004</b> <ul style="list-style-type: none"> <li>Finalize the HC accountability system using metrics to evaluate performance and initiate implementation strategy.</li> <li>Complete study to incorporate affirmative employment goals into recruitment strategies and develop ways to address under-representation.</li> <li>Collect and utilize initial mission critical workforce planning data and begin identifying and addressing gaps in mission critical occupations and competencies.</li> <li>Finalize revisions of 'Proud to Be' document.</li> </ul>	USAID's progress score remains Green. USAID has moved up to yellow in succession strategy this quarter.. Due to ambitious targets set forth in their Proud to Be document, USAID has experienced slippage in meeting some of their goals and did not achieve a Yellow in status this quarter as originally intended. After the retirement of the USAID Director of Human Resources and CHCO this quarter, Agency management took decisive action to quickly fill the vacant position. <b>Change to yellow status would require implementation of the following milestones the Agency has begun:</b> Completion of an initial workforce and skill gap analysis. Implementation of agency strategies to address under representation. Implementation of an accountability system.



# USAID U.S. Direct-Hire Workforce and Program Funding Levels 1990–2003



Source: USAID CPs/CBJs, 1992-2004.

Note: Program Funding Level includes all supplemental appropriations thru 2001.

Does NOT include aid to Israel (cash transfers) of approximately \$1 billion annually.

Year

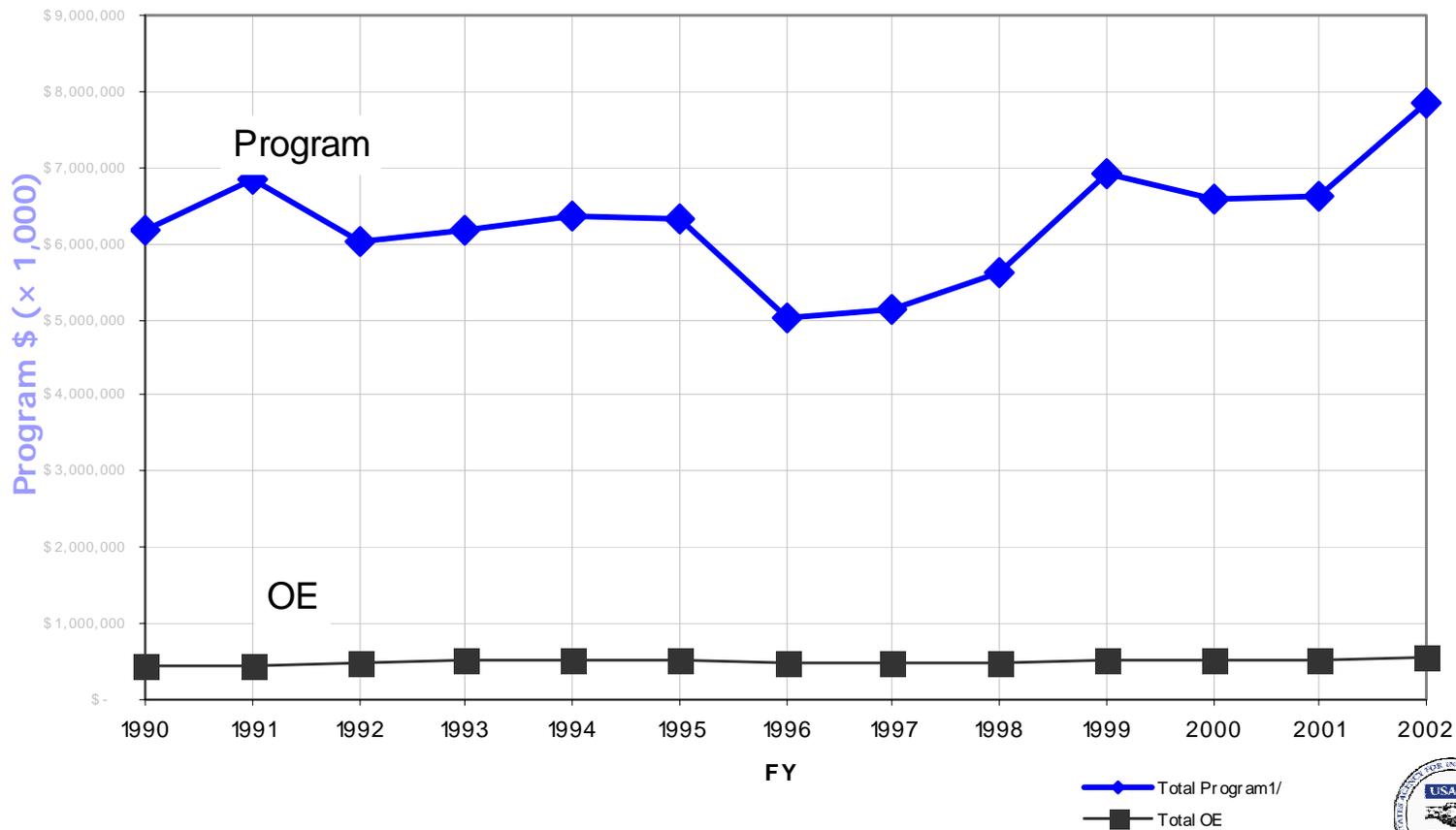
U.S. Direct Hires  
Program Funding Level



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# 13-Yr USAID Program & OE Comparison Chart



Prepared by PPC/ SPP/ SPA  
 Source: USAID CBJs/ CPs, 1976 - 2003

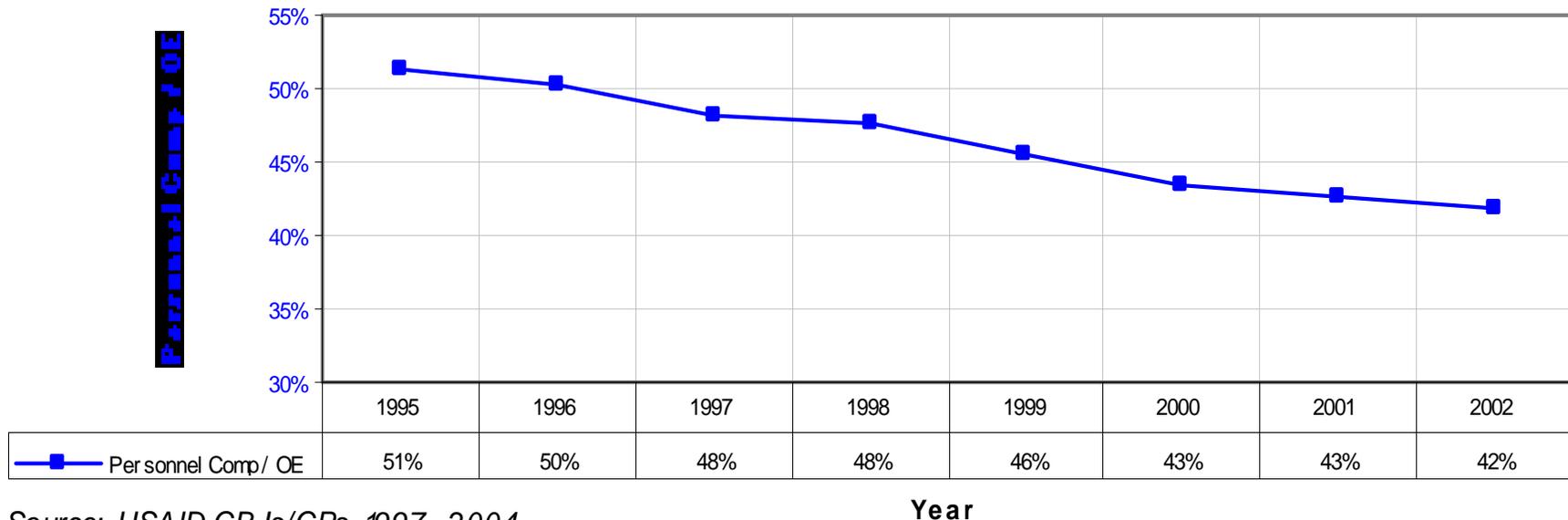


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# Declining Amount of OE Dedicated to Personnel Salaries

USAID Personnel Compensation / OE  
OCC 11x  
(1995-2003)



Source: USAID CBJs/CPs, 1997 - 2004

Note: Data does NOT control for inflation in either the U.S. or in foreign countries.

Prepared by PPC

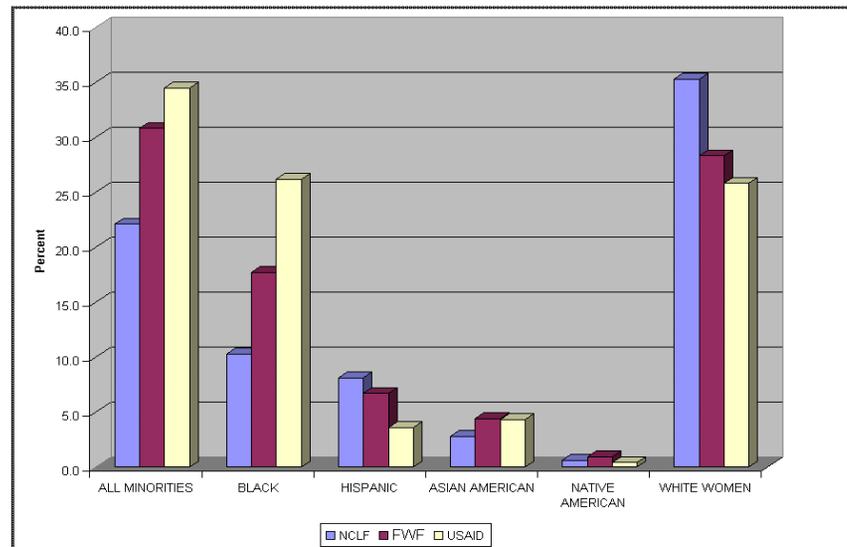


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# USAID Diversity Profile

Chart: USAID On-Board Employment compared to Federal workforce (FWF) and National Civilian Labor Force (NCLF) Percentages



	All Minorities	Black	Hispanic	Asian American	Native American	White Women
NCLF	22.1	10.3	8.1	2.8	0.6	35.3
FWF	30.5	17.1	6.6	4.6	2.2	28.3
USAID	34.5	26.2	3.6	4.3	0.4	25.8

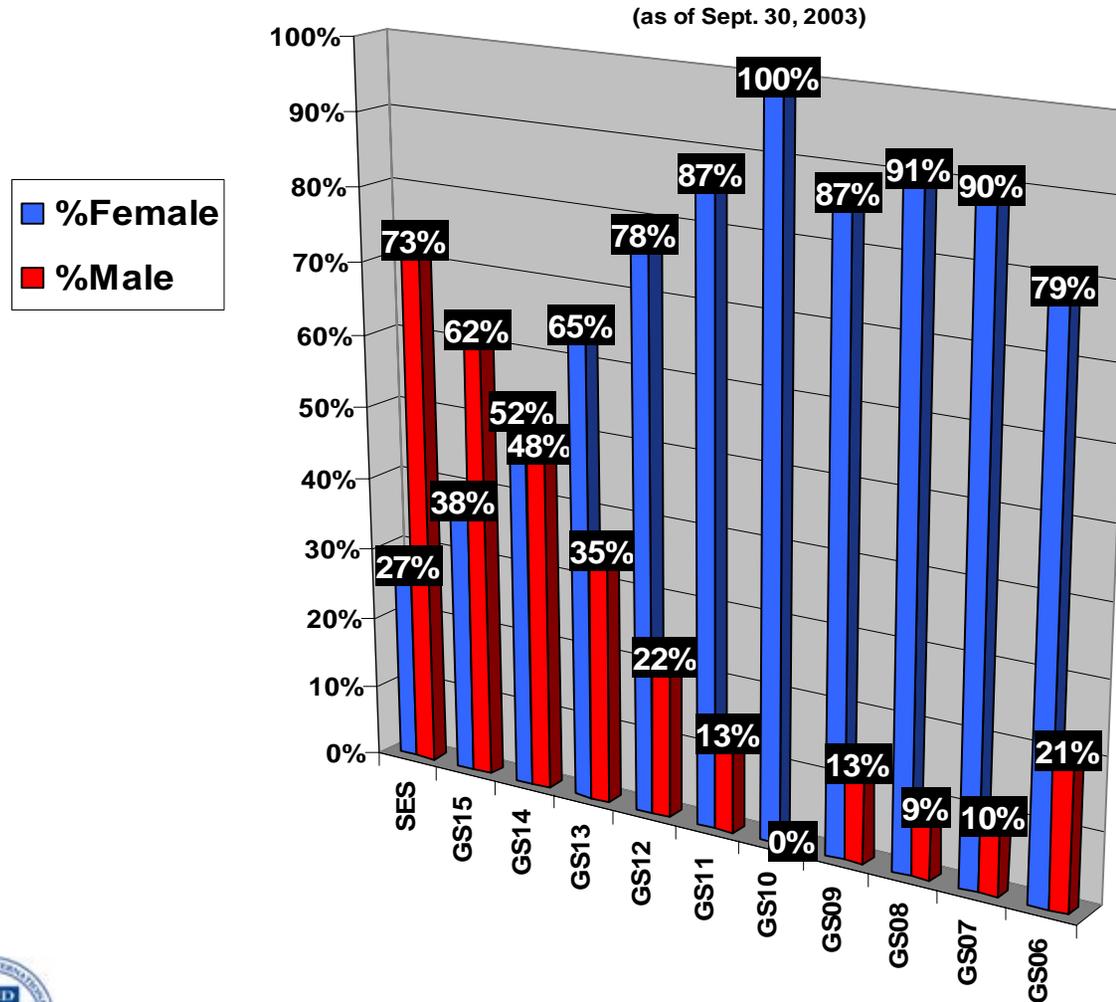
FWF: (as of 09/30/01)  
 NCLF: (1990 Census Data)  
 USAID: (as of 12/31/02)



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# USAID Male/Female Distribution by Class Civil Service

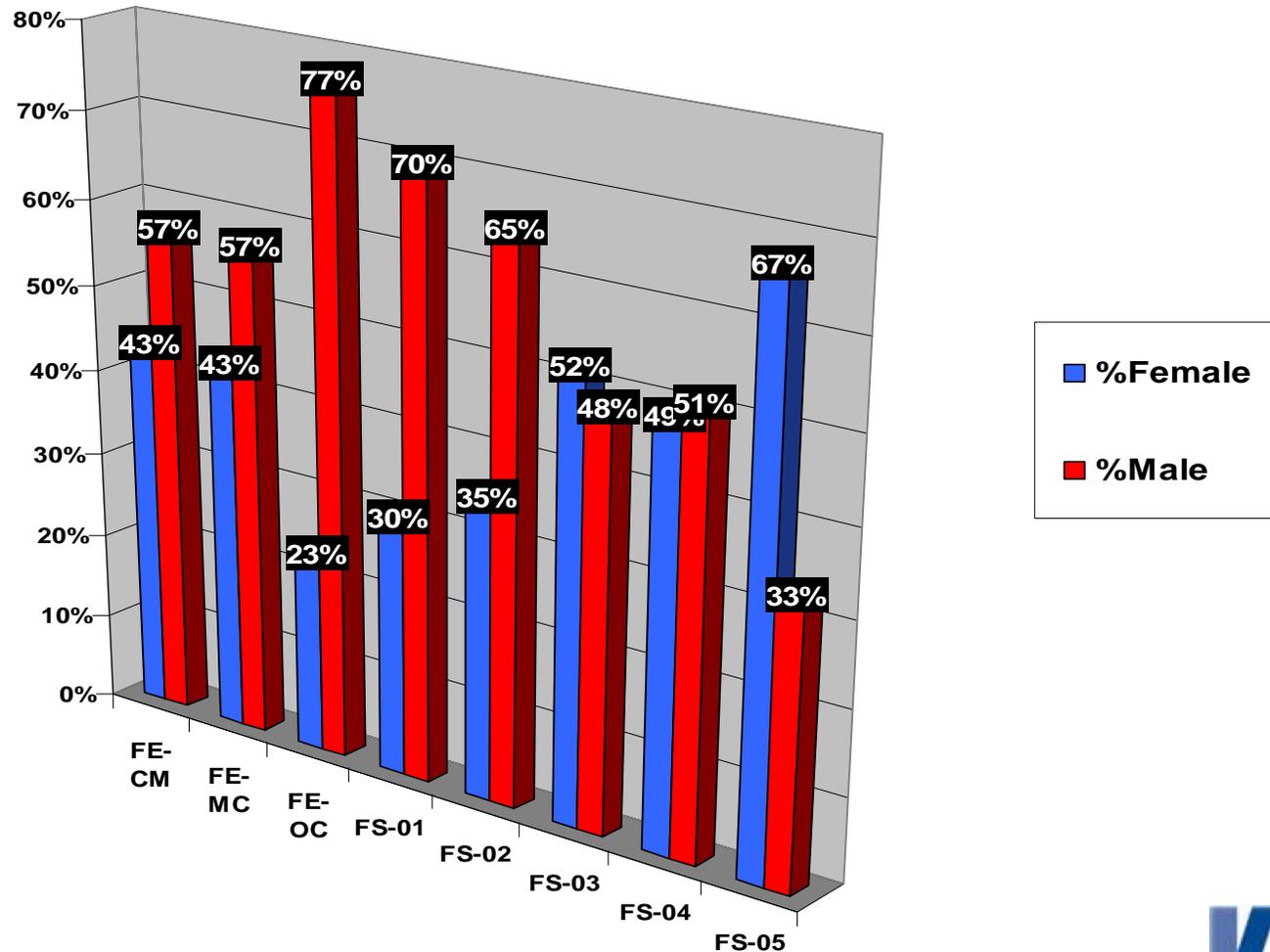


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# USAID Male/Female Distribution by Class Foreign Service

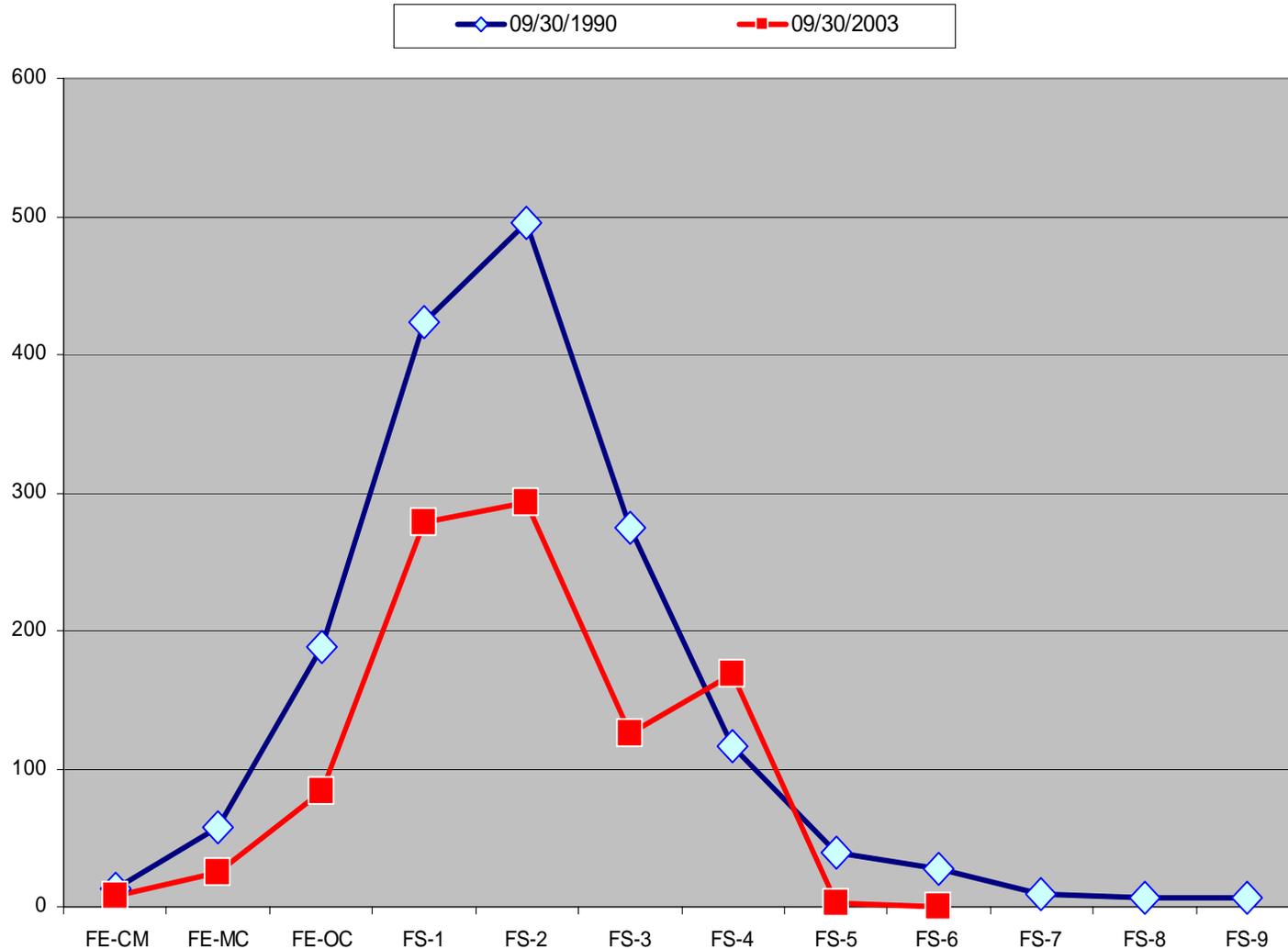
(as of 30 Sept. 2003)



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# Foreign Service by Grade

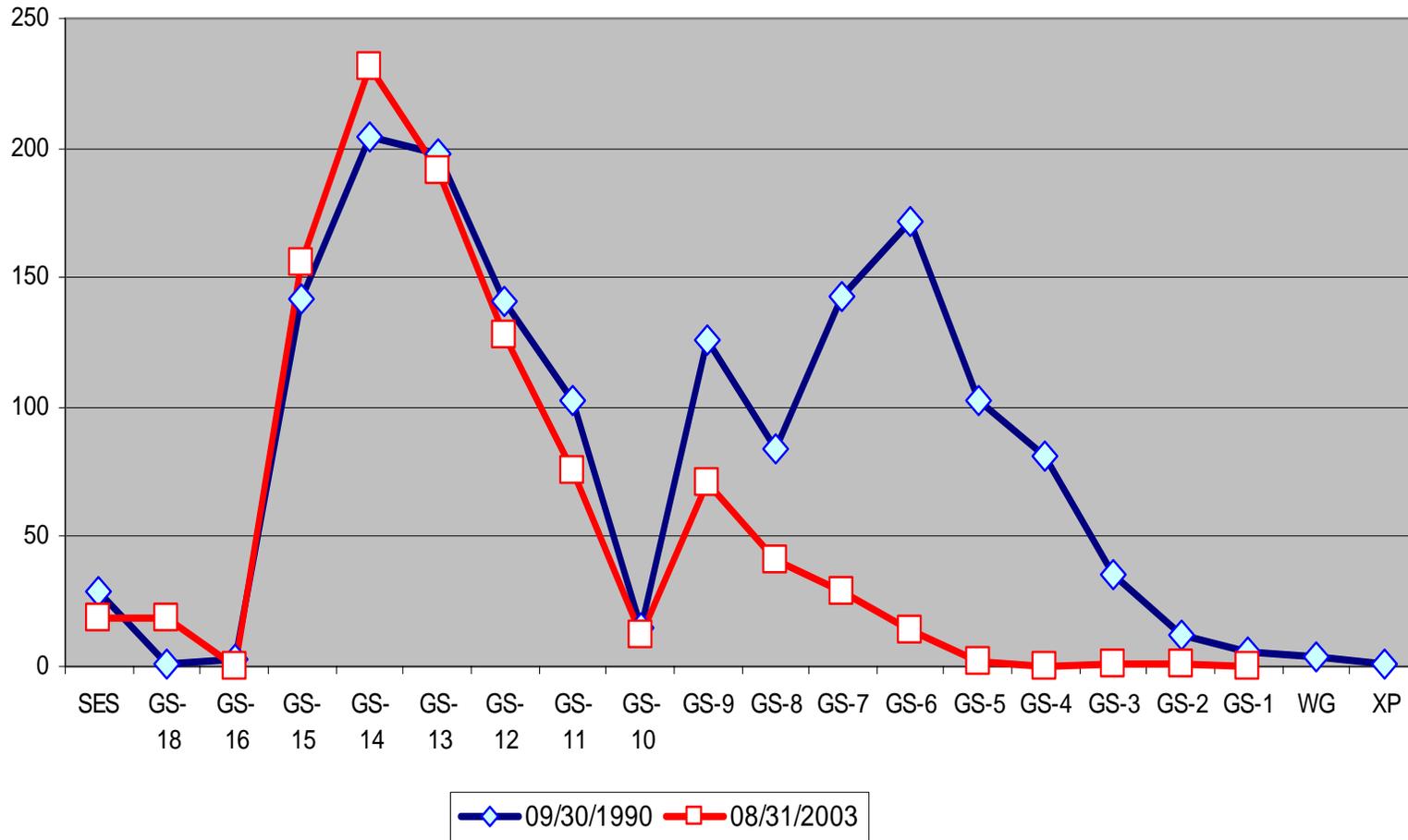


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# Number CS by Grade

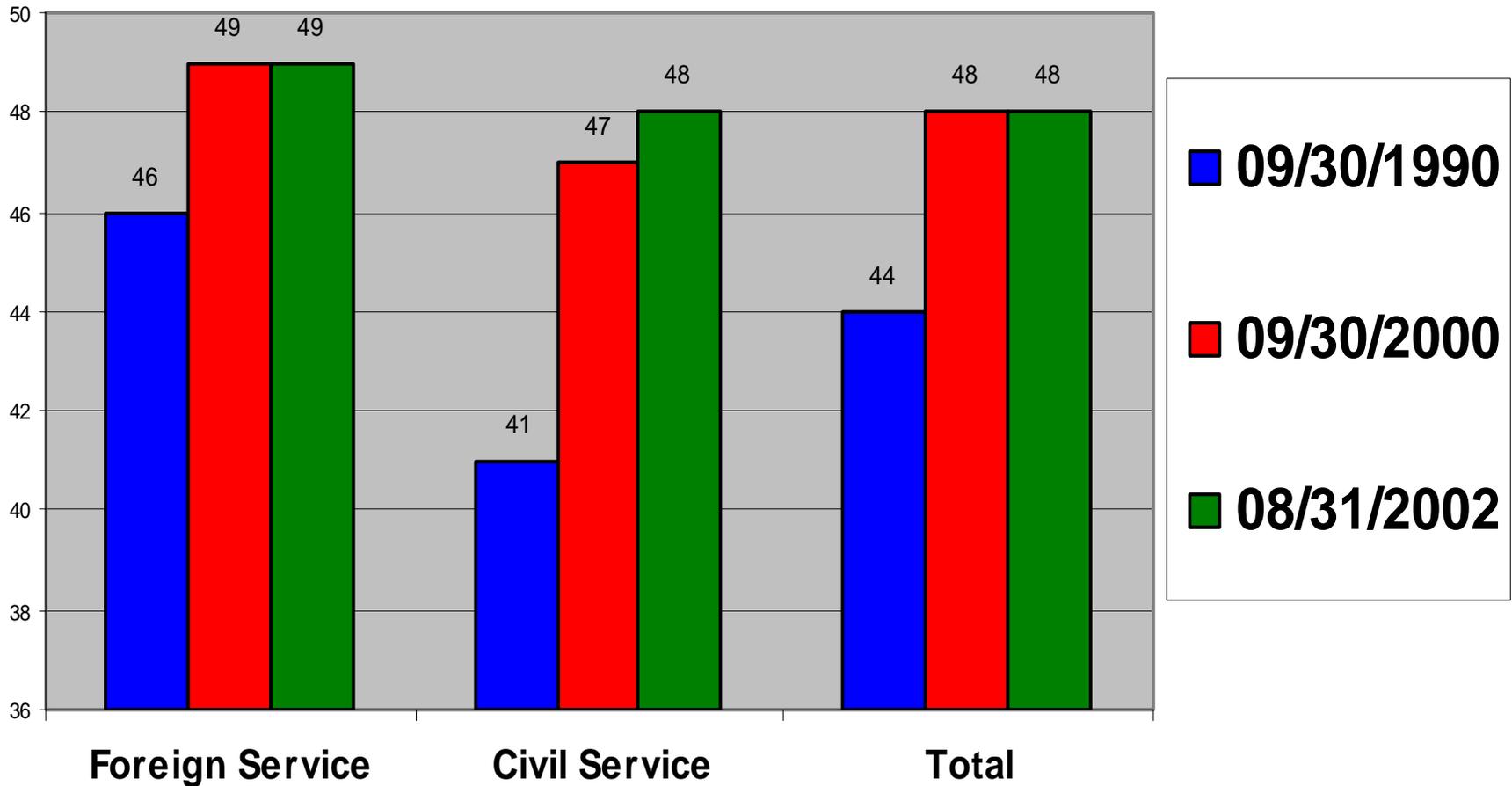
9/30/1990 and 9/30/2003, Excludes OIG



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# USAID Age Demographics

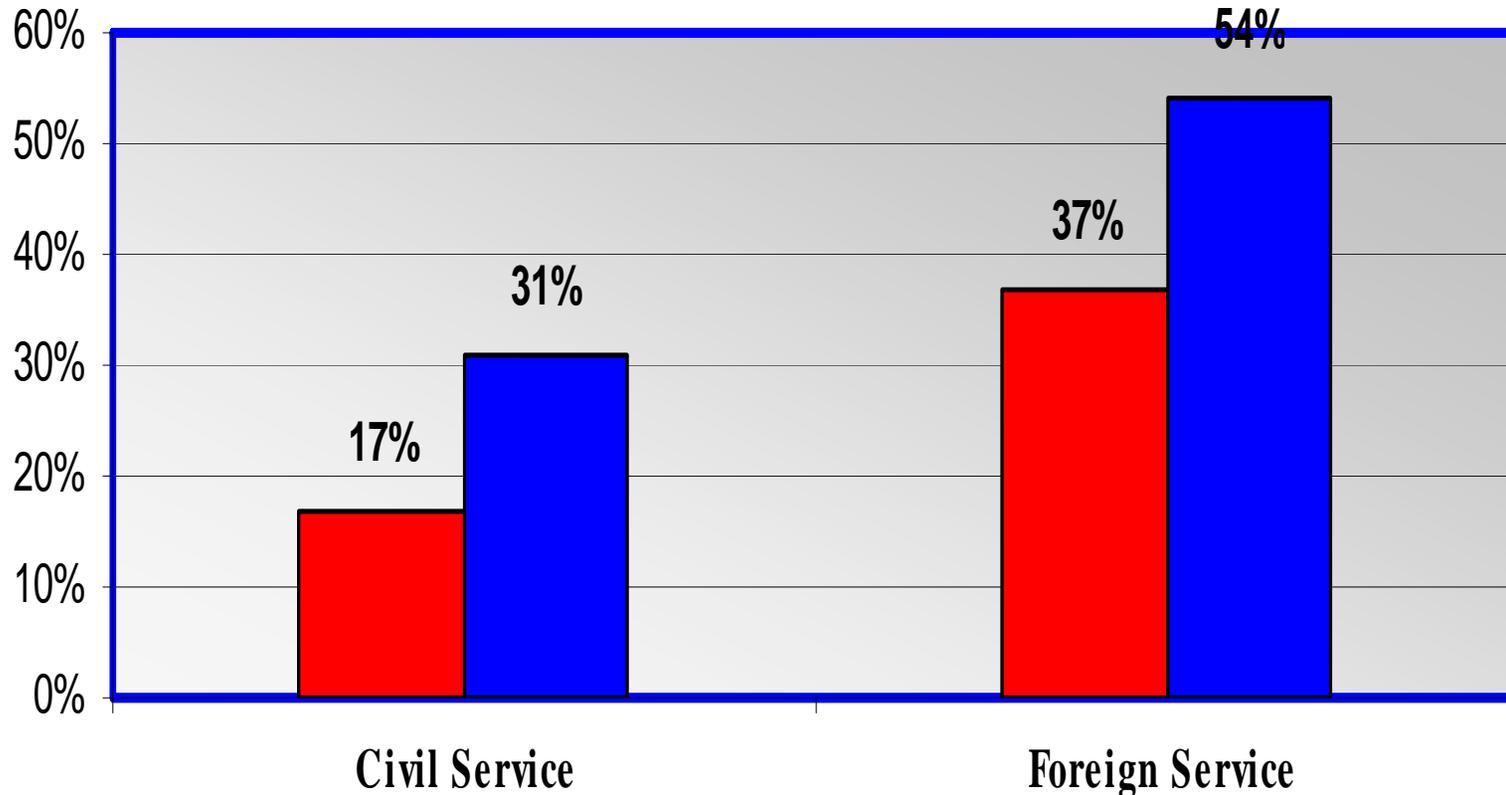


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# USDH Eligible for Voluntary Retirement

## Excludes OIG



■ eligible now or by 9/30/2003

■ eligible now or by 9/30/2007

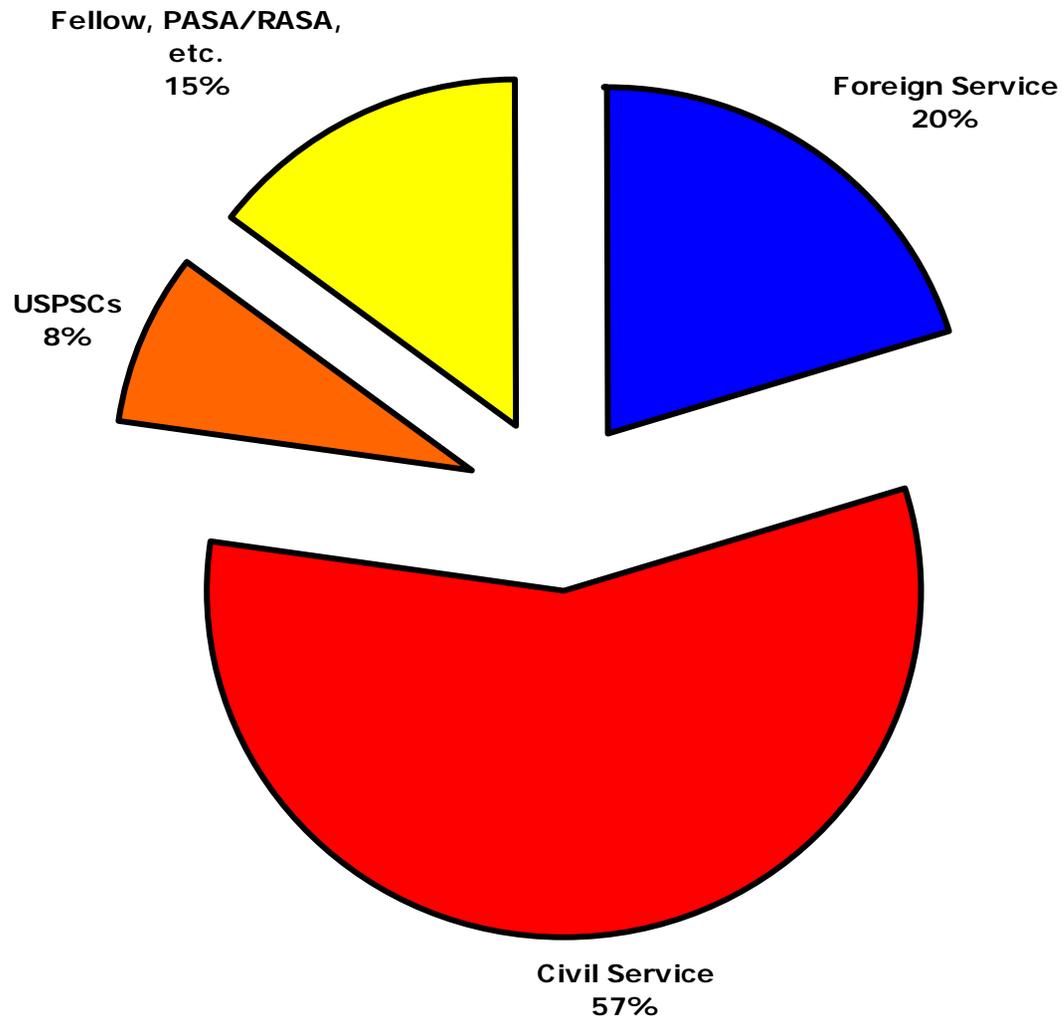


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# USAID/W Workforce

9/30/2002, Excludes OIG N=1,764

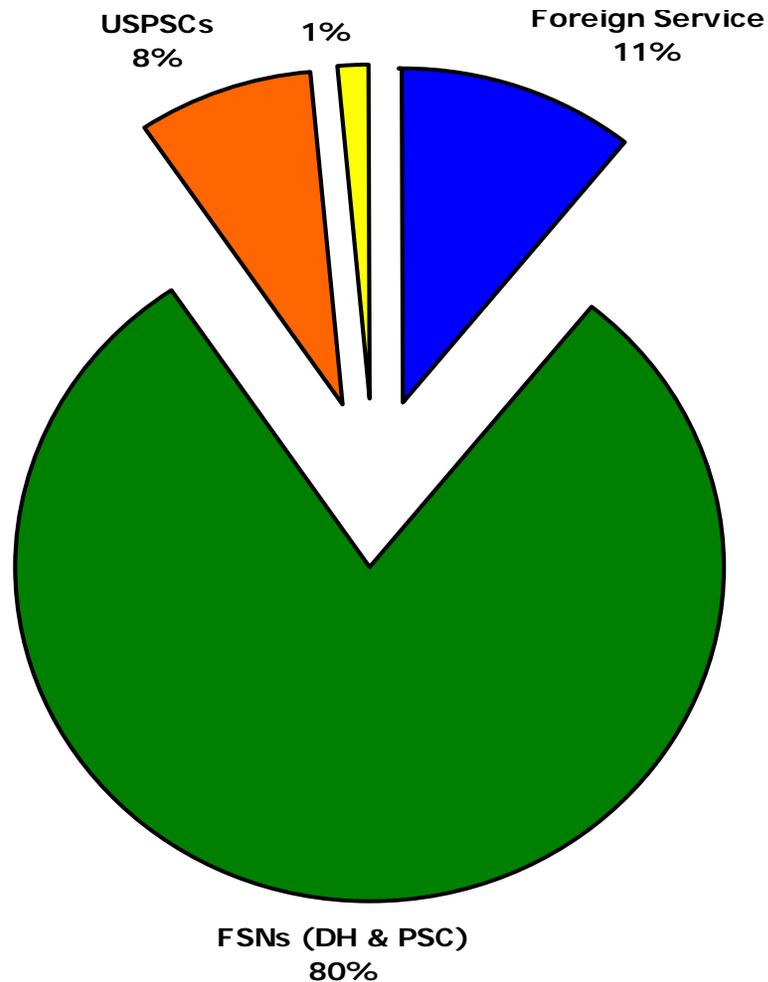


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# USAID Overseas Workforce

9/30/2002, excludes OIG N=5,920 Fellow, PASA/RASA etc.

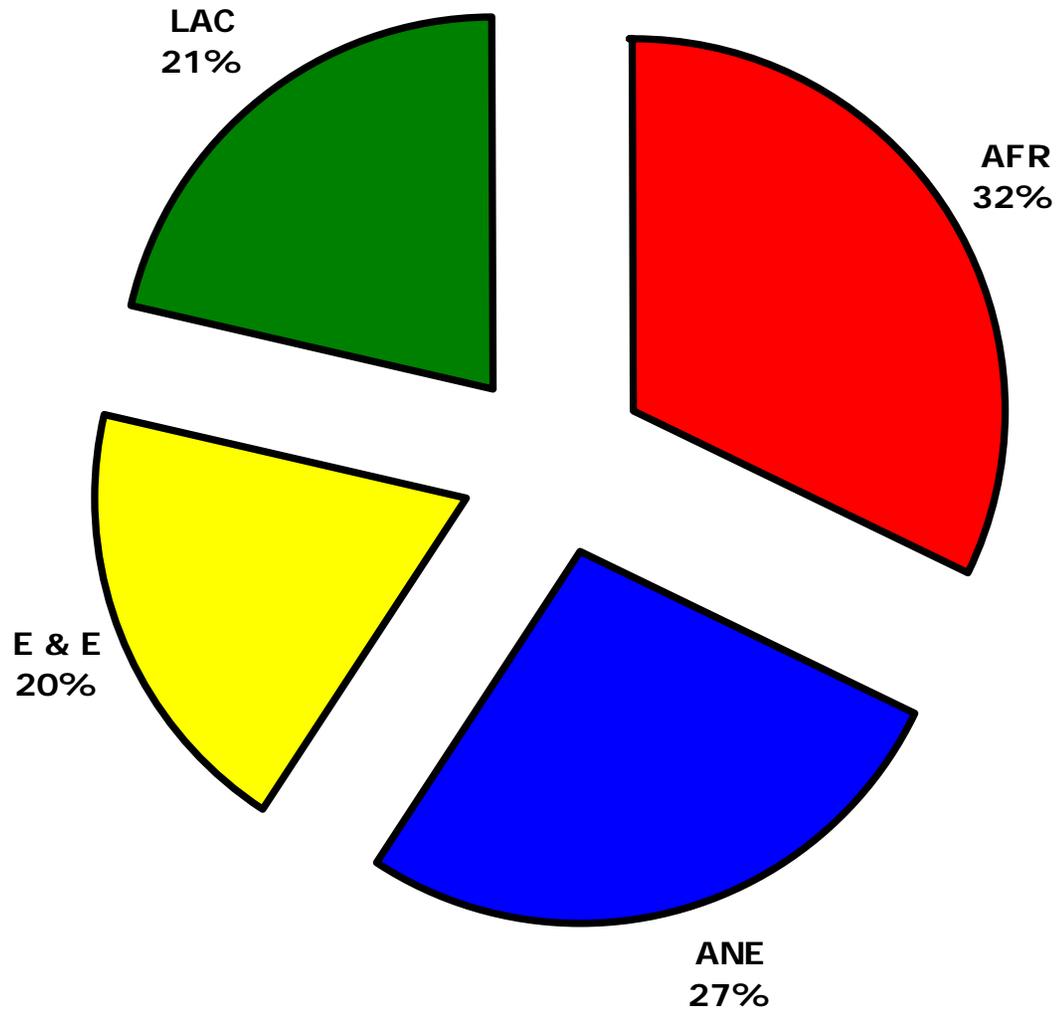


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# Number of FS by Region

9/30/2002, excludes OIG N=621

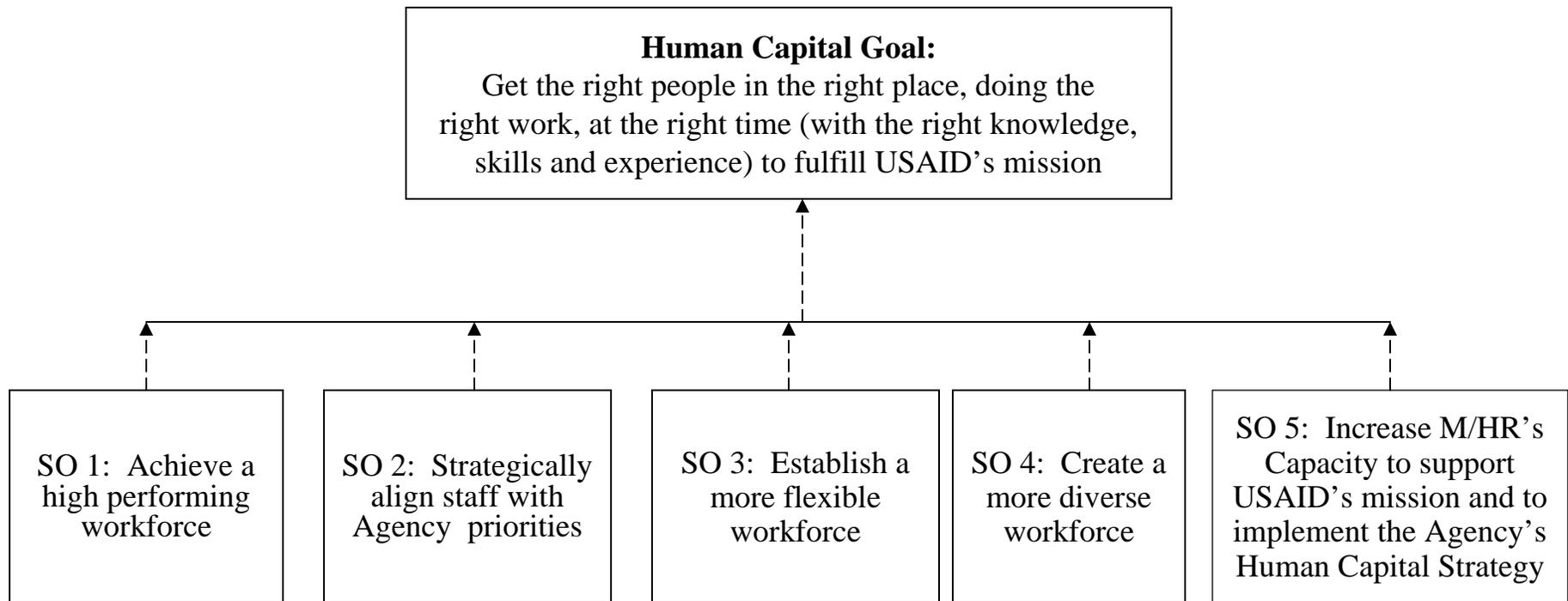


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# USAID HC Strategy

## Summary Results Framework June 2004



\*Scores on perceptions of “high performing organization” and on USAID services

\*\* Mission-critical functions to include: obligations, AEFs on time, pipeline, Annual Reports on time, number of open audit findings, Performance and Accountability Report data (Agency programs and financials), OPIN data



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# Human Capital Strategic Plan Draft Results Framework 6/7/04

## SO Indicators

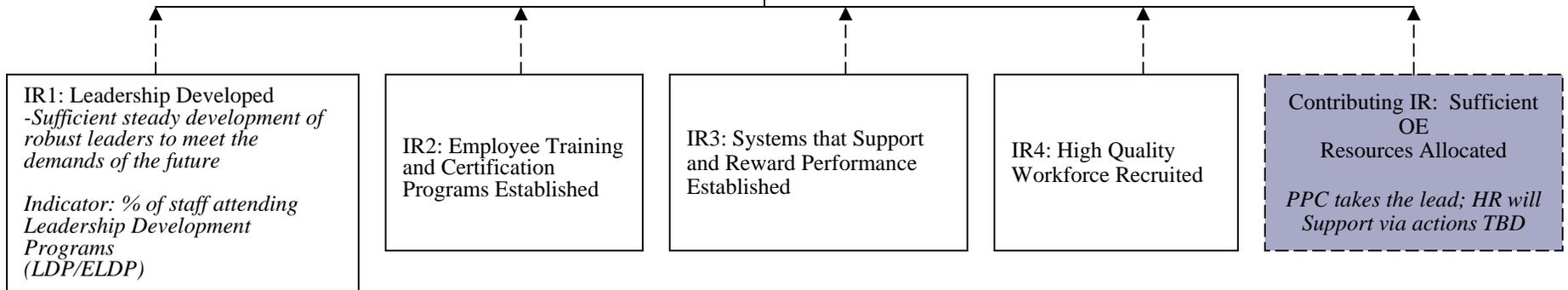
- Responses to questions H1 and H2 on Annual Administrator's Survey
- Responses to questions Q32, Q35, Q37, Q39 on Federal Human Capital Survey
- DAC review of Agency
- Index score of PART efficiency measures

## Definitions:

**High Performing:** Application of technical & managerial skill and demonstrated knowledge of Agency core values and mission; consistently meeting and exceeding OPU objectives.

**Workforce:** Priority are USDH, USPSCs, FSNs; maybe include Fellows, TAACS, RSSAs and PASAs

**SO1**  
**Achieve a High Performing Workforce**



- IR1: Leadership Developed**  
*-Sufficient steady development of robust leaders to meet the demands of the future*
- Indicator: % of staff attending Leadership Development Programs (LDP/ELDP)*
- Actions**
- Identify qualities of senior leaders
  - Roll out FEI/Leadership and Emerging Leader Development Programs
  - Align supervisory, management and leadership training sequentially
  - Re-establish career counseling

- IR2: Employee Training and Certification Programs Established**
- Actions**
- Identify joint training with State
  - Establish orientation training program
  - Obtain training and reassignment float
  - Support new mid-senior managers with continuing training, mentoring and coaching

- IR3: Systems that Support and Reward Performance Established**
- Actions**
- Timely feedback and counseling, incentives and rewards
  - Improve transparency of merit promotions and FS assignments
  - Encourage greater respect for diverse workforce

- IR4: High Quality Workforce Recruited**
- Actions**
- Outreach/recruitment actions TBD

- Contributing IR: Sufficient OE Resources Allocated**  
*PPC takes the lead; HR will Support via actions TBD*
- Actions**
- TBD



# Human Capital Strategic Plan Draft Results Framework 6/7/04

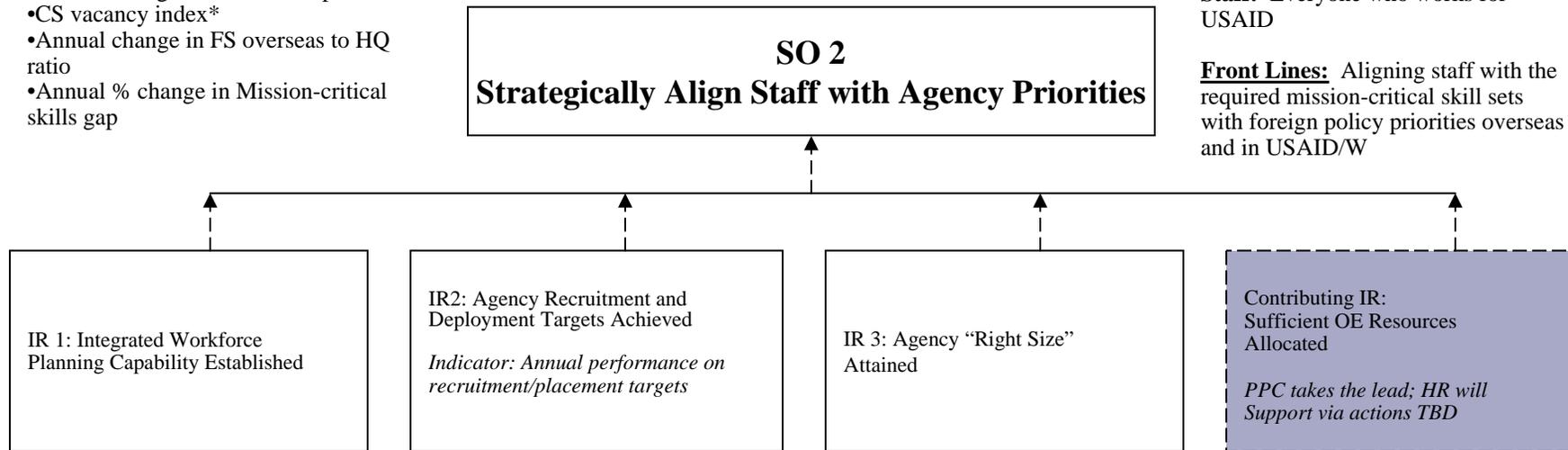
## SO Indicators

- Annual change in unfilled FS positions
- CS vacancy index\*
- Annual change in FS overseas to HQ ratio
- Annual % change in Mission-critical skills gap

## Definitions

**Staff:** Everyone who works for USAID

**Front Lines:** Aligning staff with the required mission-critical skill sets with foreign policy priorities overseas and in USAID/W



## Actions

- Identify mission-critical skill gaps through workforce analysis
- Complete Overseas Business Model Study
- Conduct annual update of Overseas Workforce Template
- Increase HR staffing levels to accelerate recruitment selection

## Actions

- Establish hiring target and recruit staff
- Fill gaps through existing hiring mechanisms
- Establish training positions
- Establish training and reassignment float

## Actions

- Determine appropriate HQ/field staffing ratios
- Conduct periodic reviews of Pillar/Regional bureau staffing patterns

## Actions

TBD

\*Open CS recruitments with HR



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# Human Capital Strategic Plan

## Draft Results Framework 6/7/04

**SO Indicators:**

- % of FS workforce in mid-career ranks
- % of CS workforce in mid-career ranks
- # of DRI positions filled
- CS Bidding responses to priority positions
- CS Bidding responses to priority positions

**Definitions:**

Flexible: Human resources who are deployable to meet Agency priorities

Workforce: Everyone who works for USAID\*

**SO 3**  
**Establish a More Flexible Workforce**

**IR1: Surge Capacity Established**

*-Reassignment float - % of work-force available for reassignment within 3 months*  
*-% change in skill categories in surge database*

**Actions**

- Establish comprehensive Agency personnel database (e.g., DCHA R.A.T.S. system)
- Create senior FSN Corps
- Fill critical skills and staffing gaps
- Align backstops, core work categories, and hiring mechanisms

**IR2: Workforce Flexibility Enabled by Agency Policies**

*-Change in composition of Agency policies, i.e. tenuring, time-in-class, backstop harmonization*  
(Links to SO 4 recruitment)

**Actions**

- Increase CS mobility through use of existing personnel policies
- Align backstops, core work categories, hiring mechanisms, and incentives
- Expand competitive sourcing
- Establish Rapid Deployability Program that designates position(s) in every OPU as “deployable,” reflected in PDs. Staff in these positions would maintain deployability requirements (shots up to date, etc.)

**IR3: Use of Statutory and Regulatory Authorities Maximized**

(Links to SO 4 recruitment)

**Actions**

- Obtain new legislative authorities based on experiments for greater personnel flexibility

\*Institutional contractors are included in this definition with regard to surge capacity and competitive sourcing

**Contributing IR: Sufficient OE Resources Allocated**

*PPC takes the lead; HR will Support via actions TBD*

**Actions**

TBD



# Human Capital Strategic Plan Draft Results Framework 6/7/04

## SO Indicators

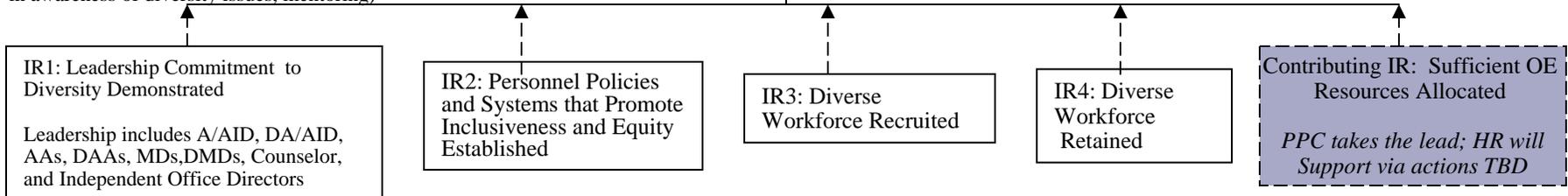
- Response to annual USAID Survey question, “USAID has a diverse workforce that reflects America and the countries in which we work”
- % change of in USDH female staff at all career levels
- % change of in USDH minority staff at all career levels
- Response to Federal Human Capital Survey question Q43, “Policies and programs promote diversity in the workplace (e.g., recruiting minorities and women, training in awareness of diversity issues, mentoring)

## Definitions:

**Workforce:** Everyone who works for USAID, except Fellows and Institutional Contractors

**Diversity:** Representative of the changing face of America and of the countries in which we work\*

## SO 4 Create A More Diverse Workforce



## Actions

- Revise Leadership AEFs for more prominence & clarity of intended impact (perhaps through a separate AEF work objective) positioned up front on the AEF
- Design and conduct leadership diversity training (links to SO3, IR 3)
- A/USAID actions: clear statement, Sr. Staff meeting focus, communication at MD conferences, annual awards ceremony
- Conduct a diagnostic of key diversity issues
- Establish workforce diversity plan to narrow gaps

## Actions

- Implement processes to hold managers accountable for meeting Agency diversity objectives:
- AEFs, GS/FS promotions, FS assignment processes
- Complete ADS 400 revisions (FS assignments)
- SMG assignments
- SES Selection
- Review FSN, PSC ADS chapters and RSSA, PASA, & Fellow selection
- Ensure diversity in HQ and in the field (Policy change)

## Actions

- Incorporate affirmative employment programs, especially in DRI recruitment components of HC strategy.
- Establish mentoring of diversity staff

## Actions:

- Establish training programs that develop, advance and retain a diverse workforce

## Actions:

TBD

\*A measurement system must be established for “the changing face of America and of the countries in which we work”



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# Human Capital Strategic Plan

## Draft Results Framework 6/7/04

### SO Indicators

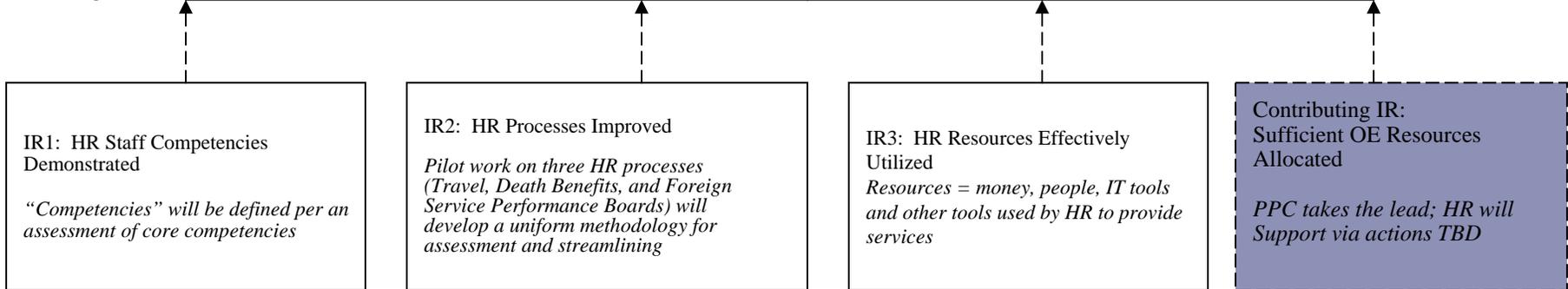
- Responses to HR questions H2, H3, H4, H5, H6, H9 in the annual USAID Survey
- USAID ranking on the Partnership for Public Service “Best Places to Work in the Federal Government,” based on the FHCS.
- HR recruitment cycle time
- % of workforce participating in HR-sponsored training
- % of workforce utilizing HR web-enabled, e-learning resources

### Definitions

- Capacity includes the following dimensions: timeliness, efficiency, and workflow management
- Support includes both transactional and advisory services

**SO 5**

**Increase M/HR Capacity to Support USAID’s Mission and to Implement the Agency’s Human Capital Strategy**



IR1: HR Staff Competencies Demonstrated

*“Competencies” will be defined per an assessment of core competencies*

IR2: HR Processes Improved

*Pilot work on three HR processes (Travel, Death Benefits, and Foreign Service Performance Boards) will develop a uniform methodology for assessment and streamlining*

IR3: HR Resources Effectively Utilized

*Resources = money, people, IT tools and other tools used by HR to provide services*

Contributing IR: Sufficient OE Resources Allocated

*PPC takes the lead; HR will Support via actions TBD*

### Actions

- Identify HR skill gaps, develop IDPs, provide priority training
- Increase and enhance labor relations, strategic planning, and other advisory services

### Actions

- Prepare and share SOPs for “Daisy” Book

### Actions

- Determine and obtain resources to achieve FY 04 recruitment goals
- Map and streamline internal staffing processes/build specialized teams in POD and elsewhere
- Develop HR IT system design/vision, including short term and long term needs

### Actions

TBD



# The Development Readiness Initiative (DRI)

Will address USAID's most critical workforce requirements in four phases.

**DRI Numbers by Category and Fiscal Year Revised May 13, 2004**

Category	FY 2004	FY 2005*	FY 2006	Total
NEPS/IDIs*	20	70	10	100
Detailees		10	30	40
Surge (e.g., DCHA, Mitch, Iraq)	10	10	0	20
Float for Training (language, long-term)/HL/R&R	0	10	35	45
CS (entry level second positions)	22	0	23	45
<b>Grand Total</b>	<b>52</b>	<b>100</b>	<b>98</b>	<b>250</b>

**DRI will allow the Agency to:**

- ✓ Establish up to 100 "second positions" for junior Foreign Service Officers to serve overseas in "training" under seasoned FSOs.
- ✓ Allow a training "float" of approximately 45 positions for officers who take language, technical and leadership training between assignments.
- ✓ Build an Agency "surge capacity" to respond quickly to unforeseen crises. (Approximately 20 USDH.)
- ✓ Create 45 "second" positions for interns to understudy senior civil servants most likely to retire and create succession problems because of the loss of knowledge.
- ✓ Share development expertise and leadership by having up to 40 officers who can be detailed to other U.S. foreign affairs agencies and international organizations, including the Millennium Challenge Corporation.



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# USAID FS/CS Targets

Category	Target FY 2004	Projected FY 2004	Target 2005	Total Projected 2004 and Target 2005
FS replace Attrition	80	80	70	150
FS DRI	40	20	65	85
FS 85	85	85	85	170
CS replace Attrition	90	90	90	180
CS DRI	15	32	0	32
<b>Total</b>	<b>310</b>	<b>307</b>	<b>310</b>	<b>617</b>

Category	FY 2004 Projected	FY 2005 Projected	Total Projected Attrition
FS	80	70	150
CS	90	90	180
<b>Total</b>	<b>170</b>	<b>160</b>	<b>330</b>



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# USAID Recruitment Targets

Progress Report as of 06/15/2004

## FY 2004

Category	Projected FY 2004	Qualified Candidates	Employment Offers Made	Clearances Initiated	Entered on Duty as of 06/15/2004
FS replace Attrition	80	(AVUE)	110	106	44
FS DRI	20	(AVUE)	20	20	20
FSL 85	85	(AVUE & USPSC)	15	14	Offers accepted: 14
CS replace Attrition	90	(AVUE, AD/SES, & PMF)	76	69	63
CS DRI	32	PMF & Intern Recruitment	34	34	6
<b>Total</b>	<b>307</b>		<b>250</b>	<b>238</b>	<b>147</b>

A total of 54 new Foreign Service NEPs and IDIs have been hired in the first two FS intake classes this year, including 20 under the DRI -- meeting that hiring target. A third large class will be held in September and 56 FS candidates are now going through the pre-employment clearance process. Note that this category includes one mid-level conversion from the IG, one mid-level hire for GC, and the non-career appointments of 5 senior-level FS employees for priority positions. 8 CS employees also have been selected for temporary FS appointments and 3 offers have been made.



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# USAID Recruitment Targets

## (Cont.)

- AVUE announcements have been published to advertise the program-funded FSL vacancies, and AVUE rosters are being reviewed to hire individuals under the FSL authority. The HR Director has sent messages to missions who have identified USPSCs for temporary appointments, as well as a worldwide message to all mission directors requesting their support. 15 employment offers have been made to date and 14 accepted. The majority of employment offers will be made in June and July 2004.
- Civil Service recruitment includes regular CS vacancies filled through AVUE, as well as 12 Presidential Management Fellows (PMFs) and 10 AD and SES appointees that have been hired as of the date of this report.



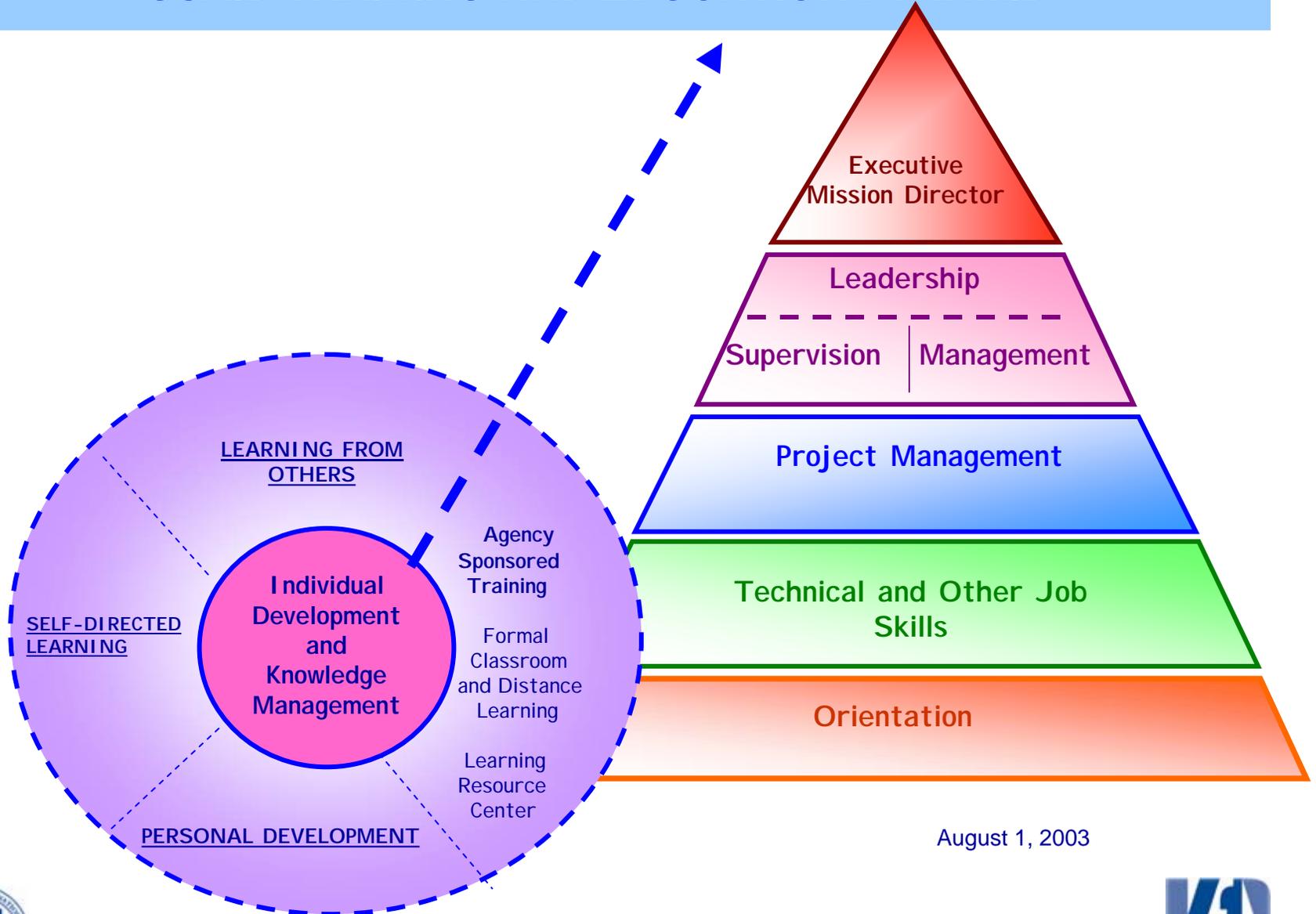
# USAID Recruitment Targets (Cont.)

- Civil Service DRI targets for 2004 are being met through hiring 10 PMFs, 2 HR Interns, and 20 Contract Specialist Intern Program (CSIP) interns using supported ceilings. Under CSIP, 24 candidates were identified (20 plus 4 alternate candidates) and are being processed and 5 have been hired. A total of 9 DRI PMFs have been identified and are being processed and one has been hired as of the date of this report.

Attrition Category	FY 2004 Projected Attrition	FY 2005 Projected Attrition
FS	80	70
CS	90	90
<b>Total</b>	<b>170</b>	<b>160</b>



# USAID TRAINING AND EDUCATION PYRAMID



August 1, 2003



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# People—Our Greatest Asset: The Knowledge for Development Impact



June 29, 2004



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# Why KfD for USAID?

- World wide deployment
- Knowledge in many places
- Workforce turnover
- Presidential Management Agenda (PMA) Initiative



*The Right Knowledge to the Right Person at the Right Time in support of the Agency Mission*



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# What we found...

*USAID has three “faces”:*

- **The *Field***
  - On the ground: Development assistance/Disaster relief
  - The “public” face
- **The *Strategic***
  - Defining Agency policy, Bureau and Country Strategies and Program Plans
  - The “USG” face
- **The *Operational***
  - Administrative organizations and processes
  - Providing **support** functions of the Agency
  - The “hidden” face

***Each person’s view of their role depends on which “face” they represent!***



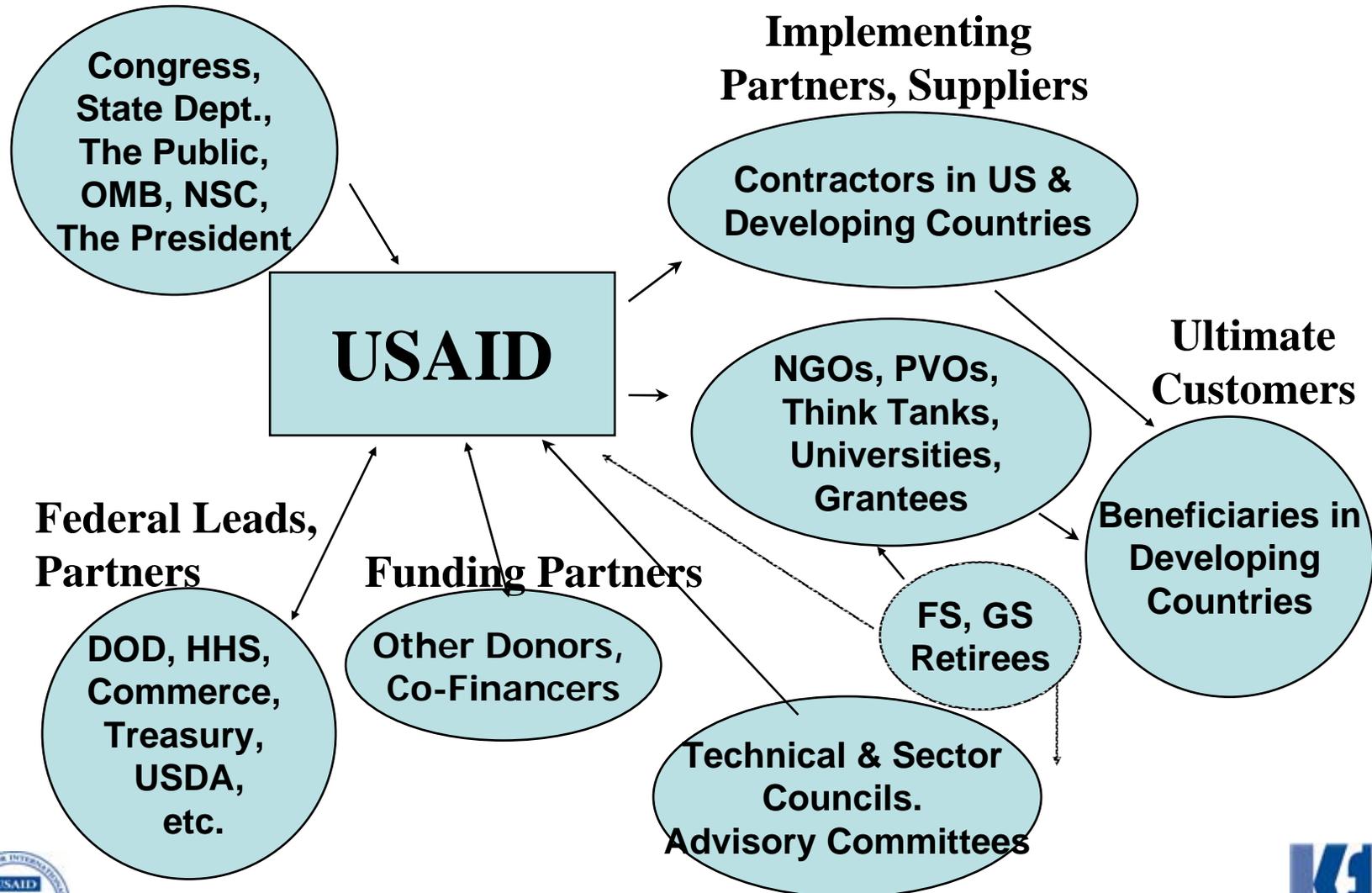
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# The Extended Enterprise

Knowledge for mission success is often not within USAID itself

## Stakeholders



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# The KfD Strategy Strategic Objectives

- SO1 – Knowledge accessed and leveraged across the extended enterprise
- SO2 – Strengthened strategic operations of the Agency
- SO3 – Knowledge-based high performing workforce achieved



# The Human Capital (HC) Strategy...

**“Getting the right people in the right place, doing the right work, at the right time to pursue U.S. national interests”**

- By 2007, over half of all the Agency’s Foreign Service Officers and 1/3 of its Civil Servants will be eligible for retirement.
- Those retiring take much of USAID’s institutional memory with them.
- So much of what USAID employees learn over their careers, including ways of operating, negotiating, and solving problems tacit knowledge learned “on the job” and not in a classroom.



# The Human Capital (HC) Strategy...

The HC strategy notes a variety of needs of the USAID workforce, including:

- Enhanced mentoring and training of the USAID workforce,
- Increased ability to respond to swiftly changing demands,
- More efficient assessment of skills required for new programmatic and policy challenges, and
- Improved ability to identify the skills and experience of the workforce.



# The KfD Strategy...

The KfD strategy provides solutions to meet these needs with:

- USAID Portal
- Collaboration Software
  - Communities of Practice
- After Action Learning
- Expertise Locators
- Knowledge Mapping
- Knowledge 'Yellow Pages'
- Improved search capability
- Leadership and incentives for knowledge sharing



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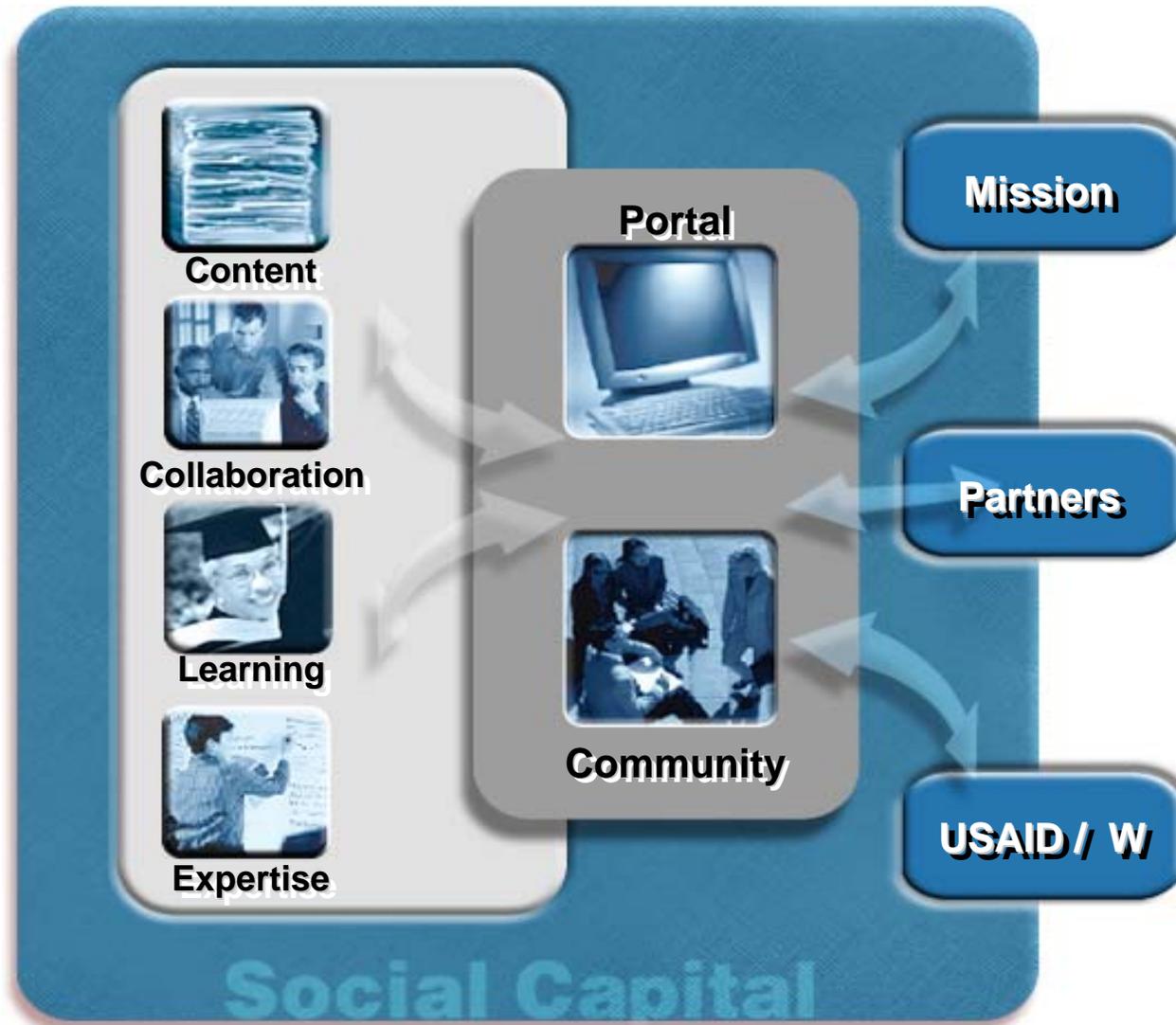


# HC and KfD Together...

- The HC and KfD strategies relate to each other directly through a common SO, *achieving a high-performing workforce.*



# Knowledge for Development



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# For More Information...

- Web Site:
  - [www.usaid.gov](http://www.usaid.gov) Keyword: 'Summer Seminars' or
  - <http://www.usaid.gov/policy/cdie/>
- WEBBoard:
  - <http://forums.info.usaid.gov/~USAIDSummerSeminars>



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Be here next week for **Session 2!**



# An Explanation of USAID's Business Model Review

Presented by: **Dave Eckerson, M/HR**  
Tuesday, July 29, 2004  
CAL, Concourse Level, RRB, 9 – 11 a.m.



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