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ENSURING DIVERSITY AT THE SENIOR LEVELS OF THE FEDERAL GOVERNMENT AND THE U.S. POSTAL SERVICE

HEARING

BEFORE THE

SUBCOMMITTEE ON FEDERAL WORKFORCE, POSTAL SERVICE, AND THE DISTRICT OF COLUMBIA

OF THE

COMMITTEE ON OVERSIGHT AND GOVERNMENT REFORM

HOUSE OF REPRESENTATIVES

ONE HUNDRED TENTH CONGRESS

FIRST SESSION

MAY 10, 2007

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ENSURING DIVERSITY AT THE SENIOR LEVELS OF THE FEDERAL GOVERNMENT AND THE U.S. POSTAL SERVICE

THURSDAY, MAY 10, 2007

HOUSE OF REPRESENTATIVES,
SUBCOMMITTEE ON FEDERAL WORKFORCE, POSTAL SERVICE, AND THE DISTRICT OF COLUMBIA,
COMMITTEE ON OVERSIGHT AND GOVERNMENT REFORM,
Washington, DC.

The subcommittee met, pursuant to notice, at 1:58 p.m. in room 2247, Rayburn House Office Building, Hon. Danny K. Davis (chairman of the subcommittee) presiding.

Present: Representatives Davis of Illinois, Cummings, Clay, and Sarbanes.

Staff present: Tania Shand, staff director; Caleb Gilchrist, professional staff member; Lori Hayman, counsel; Cecelia Morton, clerk; Mason Alinger, minority senior professional staff member; and Alex Cooper, minority professional staff member.

Mr. DAVIS OF ILLINOIS. The subcommittee will come to order.

If this was on a Sunday I would say that this was the day that the Lord has made, because basically there are so many things going on at the moment and so many different things taking place. We have two subcommittee hearings taking place in the Committee on Oversight and Government Reform, Domestic Policy, as well as this one, and about the same Members are on both subcommittees, so obviously some of our Members are going to be there, some of our Members are going to be here, plus we have activity taking place on the floor. Some of our people are also going to be there. So you might see people coming in and out. It is not an indication of their lack of interest in the subject matter, or in your testimony; it is just that this is one of those working Congresses that is doing a great deal of work all at the same time.

Let me thank our witnesses for being here. We appreciate the fact that you have come. We will just go right into the testimony in a minute once I swear in the witnesses. First, I would like to introduce them, though.

Panel one, Mr. George Stalcup is the Director of Strategic Issues at the Government Accountability Office and he oversees a range of reviews of management issues across Government, including a variety of human capital areas. Mr. Stalcup also oversees GAO's high risk program and issuance of GAO's biennial update to its high risk list. He has over 37 years of Federal service, 33 of which have been at the GAO.

Ms. Nancy Kichak was named Associate Director for the Human Resources Policy Division for the Office of Personnel Management in September 2005, and in this position she leads the design, development, and implementation of innovative, flexible, merit-based human resource policies.

Mr. Carlton Hadden is a member of the Senior Executive Service as the Director of the Office of Federal Operations, U.S. Equal Employment Opportunity Commission. The Office is responsible for the Federal Government's equal employment opportunity EEO appellate function, and also provides oversight for the Government-wide EEO complaint adjudication and affirmative employment functions. In 1999, he was appointed Director of the Office of Federal Operations. Since his appointment, he has initiated sweeping changes, which have been instrumental in improving the operation of EEO programs in the Federal Government.

That will be our first panel of witnesses. I was really hoping that my ranking member would have come in, and he hasn't managed to do so yet.

I am going to read an opening statement, after which I am going to swear in the witnesses and we will proceed.

Ranking Member Marchant, members of the subcommittee, and hearing witnesses, welcome to the subcommittee's hearing on ensuring diversity in the Senior Executive Services [SES], and the Postal Service. Today's hearing is being held as a followup to a hearing that I requested in 2003 to look at diversity within the SES. The hearing was prompted by a GAO study requested by me and other members of the former Committee on Government Reform. The study found a lack of diversity in the SES and maintained that, unless some affirmative action measures were taken, once members of the predominately white male SES retired, they would be replaced, for the most part, by white women.

Today's hearing will look at current diversity trends in the SES and the Postal Career Executive Services. This hearing will help the subcommittee move forward on the very important issue of diversifying, the highest and most influential ranks of the Federal work force, the SES, and the Postal Service. This issue is important because the Federal work force should be as diverse as the people it serves. It is simply good business and, of course, it is good government.

[The prepared statement of Hon. Danny K. Davis follows:]

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STATEMENT OF
CHAIRMAN DANNY K. DAVIS
AT THE SUBCOMMITTEE ON FEDERAL WORKFORCE, POSTAL SERVICE, AND THE DISTRICT OF COLUMBIA

HEARING ON "ENSURING DIVERSITY AT SENIOR LEVELS OF THE FEDERAL GOVERNMENT AND THE U.S. POSTAL SERVICE"

Thursday, May 10, 2007

Ranking Member Marchant, members of the Subcommittee, and hearing witnesses, welcome to the Subcommittee's hearing on "Ensuring Diversity in the Senior Executive Service (SES) and the Postal Service." Today's hearing is being held as a follow up to a hearing I requested in 2003 to look at diversity within the SES. The hearing was prompted by a GAO study requested by me and other members of the former Committee on Government Reform. The study found a lack of diversity in the SES and maintained that unless some affirmative action measures were taken once members of the predominately white male SES retired, they would be replaced, for the most part, by white women. Today's hearing will look at current diversity trends in the SES and the Postal Career Executive Service (PCES).

This hearing will help the Subcommittee move forward on the very important issue of diversifying the highest and most influential ranks of the federal workforce, the SES, and the Postal Service, the PCES. This issue is important because the federal workforce should be as diverse as the people it serves. It is simply good business and good government.

A January 15, 2007, Washington Post article entitled, "Department of Human Behavior," reported that Cedric Herring, who works for the University of Illinois at Chicago, did a study that found that companies that are more diverse have more customers, a larger share of their markets and greater profitability. Furthermore, companies that are successful appear to do a better job of attracting and retaining

minorities. People of color bring new perspectives to the table but also seem to catalyze new thinking among others.

The Equal Employment Opportunity Commission (EEOC) and the Office of Personnel Management (OPM) have critical oversight roles in ensuring diversity in the federal workforce. Their testimony today will help us understand how effective agencies are in recruiting minorities for federal service and whether or not agencies are being held accountable for discriminatory practices that hinder diversity and upward mobility in the workplace.

In 2003, OPM created the SES Candidate Development Program (SES CDP) to address diversity in the SES by helping participants develop their leadership skills and preparing them for executive level positions. The Subcommittee would like to know if federal agencies are participating in the program and how many minorities and women have graduated from the program. Similarly, we would like to know what steps the Postal Service is taking to improve diversity in its executive service.

The federal government and the Postal Service have to do a better job of "accepting difference." In its 2003 report, GAO stated that, "Diversity can bring a wider variety of perspectives and approaches to policy development and implementation, strategic planning, problem solving, and decision making, it can be an organization strength that contributes to the achievement of results."

The federal government and the Postal service are at risk of failing to realize these benefits because its workforce does not adequately reflect the diversity of the people it serves. This Subcommittee will periodically hold hearings on this issue to hold agencies and the Postal Service accountable for results.

Today, I am also going to request that GAO conduct a new study on diversity in the SES and the PCES. The purpose of the study will be to continue to track agency results in increasing diversity.

I would like to submit for the record the written testimony of the Asian American Government Executives.

Thank you and I look forward to the testimony of today's witnesses.

***

Mr. DAVIS OF ILLINOIS. I am now going to move to swear in the witnesses. If you would, stand and raise your right hands.

[Witnesses sworn.]

Mr. DAVIS OF ILLINOIS. The record will show that each witness answered in the affirmative. Thank you very much.

Of course, your entire statement will appear in the record. The green light indicates that you have 5 minutes to summarize your statement. The yellow light means that your time is running down and you have only 1 minute remaining to complete your statement. The red light means that your time is expired.

We will begin with Mr. Stalcup. Thank you very much, and welcome.

STATEMENTS OF GEORGE H. STALCUP, DIRECTOR, STRATEGIC ISSUES, U.S. GOVERNMENT ACCOUNTABILITY OFFICE; NANCY KICHAK, ASSOCIATE DIRECTOR, STRATEGIC HUMAN RESOURCES POLICY DIVISION, OFFICE OF PERSONNEL MANAGEMENT; AND CARLTON HADDEN, DIRECTOR, OFFICE OF FEDERAL OPERATIONS, U.S. EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

STATEMENT OF GEORGE H. STALCUP

Mr. STALCUP. Thank you, Chairman Davis. Thank you for the opportunity to participate in this hearing on diversity at the senior levels of the Federal Government and the U.S. Postal Service.

In 2003, we issued a report and looked at diversity in the SES as of October 2000. We also estimated by race, ethnicity, and gender the number on board who would leave Government service by the end of fiscal year 2007. Finally, we projected what the profile of the SES would be at the end of 2007, if the employment trends did not change. We made similar estimates at the GS–15 and GS–14 levels, which are viewed by most as the primary developmental pools for the SES.

In 2000, we reported on diversity in the Postal Service, the Postal Career Executive Service, as well as the other levels within the Postal Service, as of September 1999.

Now, while we have not done any recent work to update those previous reports, you asked us to provide data on diversity for this hearing on both the SES and the PCES, as well as, those groups that serve as the primary developmental pools for each and from which the vast majority of potential successors to those positions would come. That data is contained in the tables within my written statement.

For the career SES and the related GS–15s and 14s, developmental pools, the data are showing for October 2000, which was drawn from our previous report, and from September 2006, which we extracted from OPM's central personnel data file. There are Government-wide statistics, and there are statistics for each of the 24 CFO Act agencies.

For the PCES and the related development pool, data are showing for September 1999, drawn from our previous report, and again from September 2006, and it was provided to us by the Postal Service. There are Service-wide statistics for officers, executives, and

the developmental pool of Executive Administration Service levels 22 and above.

The data show that as of September 2006, the overall representation of both women and minorities increased both in the SES and the PCES since our reports. In the SES the percentage of women increased from 23.6 to 28.4, and the percentage of minorities from 13.8 to 15.9. In the PCES the percentage of women moved from 20.1 to 28.6, and the percentage of minorities from 25.3 to 29.1.

Increases also occurred in both the minorities and women within the developmental pools for both the SES and the PCES. It is important to point out, however, that the changes over this time and the percentages as of last September vary by group. While notable increases have come about in certain agencies or groups, in some areas percentages have not increased or have gone down.

Again, we have not done work to identify or analyze the factors that account for these changes, but we look forward to working with the subcommittee on these important issues as we move forward.

As we have just testified, the Federal Government is facing new and more complex challenges in the 21st century because of long-term fiscal constraints, changing demographics, and other factors. The SES and the PCES generally represent the most senior and experienced segments of those work forces that are critical to providing the strategic leadership needed to effectively meet these challenges. Having a diverse core of senior executives can be an organizational strength that contributes to the achievement of results by bringing a wider variety of perspectives and approaches to bear on policy development and implementation, strategic planning, problem solving, and decisionmaking.

But retirement eligibility is typically high in the executive ranks. OPM has estimated that 90 percent of the Federal executives will be retirement eligible within 10 years, and the Postal Service expects nearly half of its executives to, in fact, retire within the next 5 years.

Major departures could result in loss of leadership, institutional knowledge, and expertise within these leadership ranks. This underscores the need for effective succession planning. Succession planning is also tied to the opportunity to effect diversity through new appointments. Having a good insight into the Government's senior leadership and developmental pools, including the factors that are affecting representation today and factors such as retirements that will have an effect in the near future, are important to ensuring that we maintain the needed high quality and inclusive work force.

This concludes my prepared remarks. We look forward to working with the subcommittee on these important issues, and I would be pleased to answer any questions you may have.

[The prepared statement of Mr. Stalcup follows:]

United States Government Accountability Office

GAO

Testimony

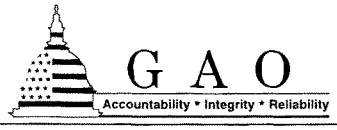
Before the Subcommittee on Federal Workforce, Postal Service, and the District of Columbia, Committee on Oversight and Government Reform, House of Representatives

For Release on Delivery
Expected at 2:00 p.m. EST
Thursday, May 10, 2007

HUMAN CAPITAL

Diversity in the Federal SES and the Senior Levels of the U.S. Postal Service

Statement of George H. Stalcup, Director
Strategic Issues



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Highlights

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Why GAO Did This Study

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To view the full product, including the scope and methodology, click on the link above. For more information, contact George Barnett [illegible]

May 10, 2007

HUMAN CAPITAL

Diversity in the Federal SES and the Senior Levels of the U.S. Postal Service

What GAO Found

Data in the Civilian Personnel Data File and provided by the U.S. Postal Service show that as of the end of fiscal year 2006, the overall percentages of women and minorities have increased since 2000 in both the federal career SES and the developmental pool for potential successors and the Postal Career Executive Service (PCES) and the developmental pool of potential successors (EAS levels 22 and above) since 1999.

Governmentwide	October 2000			September 2006		
	Number	Percent		Number	Percent	
		Women	Minorities		Women	Minorities
SES	6,110	23.6	13.8	6,349	28.4	15.9
SES potential developmental pool (GS-14s and GS-15s)	135,012	26.2	17.0	160,573	32.8	21.0

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

U.S. Postal Service	September 1999			September 2006		
	Number	Percent		Number	Percent	
		Women	Minorities		Women	Minorities
PCES	854	20.1	20.8	768	28.6	25.5
PCES potential developmental pool	8,955	22.7	25.3	8,606	30.9	29.1

Source: GAO analysis of Postal Service data.

As we have testified, the federal government is facing new and more complex challenges in the 21st century because of long-term fiscal constraints, changing demographics, and other factors. SES members are critical to providing the strategic leadership needed to effectively meet these challenges. Racial, ethnic, and gender diversity in the federal government's senior ranks can be a key organizational component for executing agency missions, ensuring accountability to the American people in the administration and operation of federal programs, and achieving results.

SES retirement eligibility is much higher than the workforce in general, and a significant number of SES retirements could result in a loss of leadership continuity, institutional knowledge, and expertise among the SES corps. In fact, OPM estimates that 90 percent of federal executives will be eligible for retirement over the next 10 years, and the Postal Service expects nearly half of its executives to retire within 5 years. This underscores the need for effective succession planning. Succession planning also is tied to the federal government's opportunity to affect SES diversity through new appointments. Gaining insight into diversity in the federal government's senior leadership and developmental pools and factors affecting them is important to developing and maintaining a high-quality and inclusive workforce.

Chairman Davis, Representative Marchant, and Members of the Subcommittee:

I am pleased to be here today to provide the Subcommittee with information on the representation of women and minorities[1] in the federal government's career Senior Executive Service (SES)[2] and roughly comparable career officer and senior executive positions in the U.S. Postal Service's Postal Career Executive Service (PCES).[3] I am also providing information on the representation of women and minorities at the levels that serve as the developmental pools from which the vast majority of potential successors for career SES positions[4] and potential successors for PCES positions will come.[5]

The federal government is facing new and more complex challenges in the 21st century as a result of long-term fiscal constraints, changing demographics, evolving governance models, and other factors. Leadership in agencies across the federal government, especially at senior executive levels, is essential to providing the accountable, committed, consistent, and sustained attention needed to human capital and related organizational transformation issues. As we have previously reported, a high-performance organization relies on a dynamic workforce with the requisite talents, multidisciplinary knowledge, and up-to-date skills to

[1]By minorities, we refer to people in the following racial and ethnic groups: African American, American Indian/Alaska Native, Asian/Pacific Islander, and Hispanic.

[2]Career SES members are individuals with civil service status (permanent) who are appointed competitively to SES positions and serve in positions below the top political appointees in the executive branch of government.

[3]The PCES is made up of two levels, officers (PCES 02), who are appointed by and serve at the pleasure of the Postmaster General and include area vice presidents and the Deputy Postmaster General, and executives (PCES 01), who include district managers and bulk mail center managers.

[4]The vast majority of potential successors for career SES positions come from the general schedule (GS) pay plan for grades GS-14 and GS-15. We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

[5]The potential successors for PCES positions are generally from levels 22 and above of the Postal Service's Executive Administrative Service (EAS). In fiscal year 2004, EAS employees at level 22 compared roughly to other federal employees who were paid under the fiscal year 2004 general schedule at grade 11, step 6 to grade 14, step 3.

ensure that it is equipped to accomplish its mission and achieve its goals.[6] The approach that a high-performance organization takes toward its workforce is inclusive and draws on the strengths of employees at all levels and of all backgrounds.

SES members generally represent the most experienced segment of an agency's workforce and can help to effectively execute agency missions and ensure accountability to the American people in the administration and operation of federal programs. Having a diverse SES corps can be an organizational strength that contributes to achieving results. Diversity can bring a wider variety of perspectives and approaches to bear on policy development and implementation, strategic planning, problem solving, and decision making.

The results of our most recent work on SES diversity were issued in 2003,[7] and we issued reports on diversity in the Postal Service in 2003 and in the PCES in 2000.[8] Today we are providing data we extracted from the Office of Personnel Management's (OPM) Central Personnel Data File (CPDF) as of the end of fiscal year 2006 on the representation of women and minorities in career SES[9] and GS-14 and GS-15 positions as well as baseline data from October 2000, which we previously reported for those same positions.[10] We also received data from the Postal Service on the representation of women and minorities in career officer and senior executive positions in the PCES as well as the levels that the Postal Service considers the developmental pool for PCES positions as of the end

[6]GAO, *Diversity Management: Expert-Identified Leading Practices and Agency Examples*, GAO-05-90 (Washington, D.C.: Jan. 14, 2005).

[7]GAO, *Senior Executive Service: Enhanced Agency Efforts Needed to Improve Diversity as the Senior Corps Turns Over*, GAO-03-34 (Washington, D.C.: Jan. 17, 2003).

[8]GAO, *U.S. Postal Service: Data on Career Employee Diversity*, GAO-03-745R (Washington, D.C.: Sept. 15, 2003); *U.S. Postal Service: Diversity in the Postal Career Executive Service*, GAO/GGD-00-76 (Washington, D.C.: Mar. 30, 2000).

[9]For the SES, we included those with career appointments in the SES personnel system. These individuals are in executive positions classified above GS-15 or equivalent and do not require appointment by the President with Senate confirmation. We excluded those in SES-type positions authorized by law such as in the Foreign Service, and some law enforcement and intelligence programs as well as positions in the Senior Level and Scientific and Professional systems.

[10]GAO-03-34.

of fiscal year 2006 to update fiscal year 1999 data we previously reported.[11] We believe the CPDF is sufficiently reliable for the informational purpose of this testimony. We previously reported that governmentwide data from the CPDF for the key variables reported in this testimony—agency, gender, race or national origin, and pay plan or grade—were 96 percent or more accurate.[12] In addition, as the Postal Service reported making no changes to its database since we performed testing of electronic data for obvious errors of completeness and accuracy for our 2003 report and as the Postal Service provided updated information of the same nature, we consider the data to be sufficiently reliable for the informational purpose of this testimony.

The data that we are reporting today provide a demographic snapshot of the career SES as well as the levels that serve as the developmental pools for those positions in October 2000 and September 2006, and the career PCES as well as the levels that serve as the developmental pool for those positions in September 1999 and September 2006. Table 1 shows the number of career SES as well as those in the developmental pool governmentwide, including the percentages of women and minorities, for October 2000 and September 2006.

Table 1: Career SES and the SES Developmental Pool for October 2000 and September 2006

	October 2000			September 2006		
		Percent			Percent	
Governmentwide	Number	Women	Minorities	Number	Women	Minorities
SES	6, 110	23.6	13.8	6,349	28.4	15.9
SES developmental pool (GS-14s and GS-15s)	135,012	28.2	17.0	160,573	32.8	21.0

Source: GAO analysis of OPM's CPDF.

[11]GAO/GGD-00-76. Although we most recently reported on fiscal year 2002 career employee diversity at the Postal Service (GAO-03-745R), we are citing fiscal year 1999 Postal Service data to be more comparable with the governmentwide data we are reporting.

[12]GAO, *OPM's Central Personnel Data File: Data Appear Sufficiently Reliable to Meet Most Customer Needs*, GAO/GGD-98-199 (Washington, D.C.: Sept. 30, 1998).

Table 2 shows a further breakdown of the number of SES members, including the percentages of women and minorities, by Chief Financial Officers (CFO) Act agency for October 2000 and September 2006.[13]

Table 2: Career SES Members by CFO Act Agency for October 2000 and September 2006

CFO Act agency	October 2000			September 2006		
	Number of SES	Percent		Number of SES	Percent	
		Women	Minorities		Women	Minorities
Agriculture	283	25.4	20.1	314	31.2	18.5
AID	25	20.0	20.0	17	47.1	29.4
Commerce	296	23.3	12.5	313	27.8	12.8
Defense	1,144	16.3	6.1	1,104	21.0	8.0
Education	60	28.3	21.7	73	39.7	24.7
Energy	391	18.9	10.7	411	22.1	14.6
EPA	255	29.8	15.3	260	37.7	15.8
FEMA	32	21.9	3.1	[a]	[a]	[a]
GSA	84	28.6	14.3	71	26.8	11.3
HHS	399	36.1	21.3	342	43.0	22.2
DHS	[b]	[b]	[b]	262	26.0	12.6
HUD	73	28.8	35.6	82	37.8	40.2
Interior	191	31.9	22.0	227	32.6	25.6
Justice	407	22.6	15.2	605	21.8	17.9
Labor	132	28.0	21.2	121	33.1	20.7
NASA	394	19.5	13.2	415	23.1	15.9
NRC	139	13.7	11.5	152	20.4	15.1
NSF	79	30.4	13.9	78	42.3	15.4
OPM	36	41.7	19.4	40	30.0	17.5
SBA	39	33.3	33.3	35	31.4	37.1
SSA	118	35.6	33.1	144	39.6	29.9
State	101	28.7	5.0	114	31.6	6.1
Transportation	178	27.0	14.6	182	34.6	15.9
Treasury	537	23.3	12.8	381	34.9	18.6
VA	247	14.6	9.7	229	24.0	14.4

Source: GAO analysis of OPM's CPDF.

[13]The CFO Act agencies are 24 major executive agencies that are subject to the CFO Act. In 2006, the CFO Act agencies employed 98 percent of federal employees.

[a]The Federal Emergency Management Agency (FEMA) was an independent agency and 1 of the 24 CFO Act agencies until the formation of the Department of Homeland Security (DHS) in 2003.

[b]DHS did not exist before March 1, 2003. It was created from 22 agencies or parts of agencies, including the U.S. Customs Service, which was formerly located in the Department of the Treasury; FEMA; and the Coast Guard.

Note: AID is the Agency for International Development; EPA is the Environmental Protection Agency; GSA is the General Services Administration; HHS is the Department of Health and Human Services; HUD is the Department of Housing and Urban Development; NASA is the National Aeronautics and Space Administration; NRC is the Nuclear Regulatory Commission; NSF is the National Science Foundation; SBA is the Small Business Administration; SSA is the Social Security Administration; and VA is the Department of Veterans Affairs.

As we reported in 2003, the gender, racial, and ethnic profiles of the career SES at the 24 CFO Act agencies varied significantly in October 2000. The representation of women ranged from 13.7 percent to 41.7 percent, with half of the agencies having 27 percent or fewer women. For minority representation, rates varied even more and ranged from 3.1 percent to 35.6 percent, with half of the agencies having less than 15 percent minorities in the SES. In 2006, the representation of women and minorities, both overall and for most individual agencies, was higher. The representation of women ranged from 20.4 percent to 47.1, percent with more than half of the agencies having 30 percent or more women. For minority representation, rates ranged from 6.1 percent to 40.2 percent, with 50 percent of the agencies having over 17 percent minority representation, and almost 90 percent of the agencies having more than 12 percent minority representation in the SES.[14]

Considering retirement eligibility and actual retirement rates of the SES is important because individuals normally do not enter the SES until well into their careers; thus SES retirement eligibility is much higher than the workforce in general. As part of a strategic human capital planning approach, agencies need to develop long-term strategies for acquiring, developing, motivating, and retaining staff. An agency's human capital

[14]While comparing the 2000 and the 2006 data identifies changes over time, comparing changes that have occurred since 2000 to the estimates we made in the 2003 report could be misleading without identifying or analyzing the factors contributing to those changes as we did in the 2003 report. In that report, we reviewed appointment trends from fiscal years 1995 to 2000; estimated by race, ethnicity, and gender the number of career SES who would leave government service from October 1, 2000, through October 1, 2007; and what the profile of the SES would be if appointment trends did not change. We made the same estimates for the developmental pool of GS-15s and GS-14s, from which the ranks of the majority of replacements for departing SES members come, to ascertain the likely composition of that pool. We have not updated that information to determine whether estimated retirement trends materialized and the impact that may have had on the diversity of the SES.

plan should address the demographic trends that the agency faces with its workforce, especially retirements. In 2006, OPM reported that approximately 60 percent of the executive branch's 1.6 million white-collar employees and 90 percent of about 6,000 federal executives will be eligible for retirement over the next 10 years. If a significant number of SES members were to retire, it could result in a loss of leadership continuity, institutional knowledge, and expertise among the SES corps, with the degree of loss varying among agencies and occupations. This has important implications for government management and emphasizes the need for good succession planning for this leadership group. Rather than simply recreating the existing organization, effective succession planning and management, linked to the strategic human capital plan, can help an organization become what it needs to be. Leading organizations go beyond a "replacement" approach that focuses on identifying particular individuals as possible successors for specific top-ranking positions. Rather, they typically engage in broad, integrated succession planning and management efforts that focus on strengthening both current and future capacity, anticipating the need for leaders and other key employees with the necessary competencies to successfully meet the complex challenges of the 21st century.

Succession planning also is tied to the federal government's opportunity to affect the diversity of the executive corps through new appointments. In September 2003,[15] we reported that agencies in other countries use succession planning and management to achieve a more diverse workforce, maintain their leadership capacity, and increase the retention of high-potential staff. Racial, ethnic, and gender diversity in the SES is an important component for the effective operation of the government.

As we recently testified before this Subcommittee,[16] the Postal Service expects nearly half of its executives to retire within the next 5 years, which has important implications and underscores the need for effective succession planning. This presents the Postal Service with substantial challenges for ensuring an able management cadre and also presents opportunities for the Postal Service to affect the composition of the PCES. Table 3 shows the number of career PCES members and the EAS

[15] GAO, *Human Capital: Insights for U.S. Agencies from Other Countries' Succession Planning and Management Initiatives*, GAO-03-914 (Washington, D.C.: Sept. 15, 2003).

[16] GAO, *U.S. Postal Service: Postal Reform Law Provides Opportunities to Address Postal Challenges*, GAO-07-684T (Washington, D.C.: Apr. 17, 2007).

developmental pool for those positions, including the percentages of women and minorities, for September 1999 and September 2006.

Table 3: Career PCES and the EAS Developmental Pool for September 1999 and September 2006

	September 1999			September 2006		
		Percent			Percent	
U.S. Postal Service	Number	Women	Minorities	Number	Women	Minorities
PCES	854	20.1	20.8	768	28.6	25.5
PCES developmental pool (EAS 22 and above)	8,955	22.7	25.3	8,606	30.9	29.1

Source: GAO analysis of Postal Service data.

In 2005, we reported that the Postal Service had a formal succession planning process and considers the development of potential successor employees for executive leadership roles as one stage in that process.[17] In fiscal year 2002, the Postal Service completed a Web-based individual development plan system, which is found on the Diversity Development Intranet site. Individuals in management positions are to use the Web-based individual development plan system to identify their skills, training, areas of expertise, and areas of development focus. The Postal Service states that it tracks this information to ensure that all potential candidates for higher level or more specialized jobs are following a plan that includes the training and work experiences necessary to enable these individuals to fill vacant positions and lead the organization into the future.

While we have not analyzed recent changes in the representation levels within the federal or Postal Service workforces for this testimony, agencies, including the Postal Service, have an important responsibility to analyze the representation levels of their workforce and report the results of their analyses under requirements from OPM and the Equal Employment Opportunity Commission (EEOC). Both of these agencies in their oversight roles also report on governmentwide representation levels.[18] Under OPM's regulations implementing the Federal Equal

[17] GAO-05-90.

[18] OPM's most recent report is its January 2007 *Annual Report to the Congress: Federal Equal Opportunity Recruitment Program, Fiscal Year 2006*, and EEOC's most recent report is its *Fiscal Year 2005 Annual Report on the Federal Work Force*.

Opportunity Recruitment Program (FEORP),[19] agencies are required to determine where representation levels for covered groups are lower than the civilian labor force and take steps to address those differences[20] Agencies are also required to submit annual FEORP reports to OPM in the form prescribed by OPM. These reports have included (1) data on employee participation in agencywide and governmentwide career development programs broken out by race, national origin, gender, and grade level and (2) narrative identifying areas where the agencies had been most successful in recruiting, hiring, and conducting formal training of women and minorities. EEOC's Management Directive 715 (MD-715) provides guidance and standards to federal agencies for establishing and maintaining effective equal employment opportunity programs,[21] including a framework for executive branch agencies and the Postal Service to determine whether barriers to equal employment opportunity exist and to identify and develop strategies to mitigate or eliminate the barriers to participation.[22] The initial step is for agencies to analyze their workforce data with designated benchmarks, including the civilian labor force. After analyzing their workforce profiles, if potential barriers may exist, agencies are to examine all related policies, procedures, and practices to uncover whether an actual barrier exists. EEOC instructs that only after agencies uncover and understand the actual barrier can appropriate objectives be implemented to eliminate it. EEOC requires agencies to report the results of their analyses annually.

A specific provision was also included in recent postal reform legislation related to tracking diversity in the Postal Service's executive and administrative schedule management positions.[23] The Postal Accountability and Enhancement Act requires that by December 20, 2007, the Postal Service's Board of Governors study and submit a report to the

[19]5 U.S.C. §7201 and 5 C.F.R. Part 720, Subpart B.

[20]The civilian labor force is composed by those 16 and older who are employed or looking for work and not in the military or institutionalized.

[21]See section 717 of Title VII of the Civil Rights Act of 1964 and section 501 of the Rehabilitation Act of 1973, codified at 42 U.S.C. § 2000e-16 and 29 U.S.C. § 501, respectively.

[22]EEOC defines barriers as agency policies, principles, or practices that limit or tend to limit employment opportunities for members of a particular gender, race, or ethnic background or based on an individual's disability status.

[23]Section 706 of Pub. L. No. 109-435, Postal Accountability and Enhancement Act (Dec. 20, 2006).

President and Congress concerning the extent to which women and minorities are represented in supervisory and management positions.

The statistics we provide in this statement portray a demographic profile of career federal senior executives for a particular point in time. Although such statistics can be informative and useful as a starting point, these numbers do not reveal important factors such as pending or expected separations from or appointments to the SES corps, the PCES, or the developmental pools that lead to them. Such information would provide more insight into the current and prospective state of the diversity in the federal government's executive corps. Understanding factors affecting representation is important to developing and maintaining a high-quality and inclusive workforce.

Chairman Davis, Representative Marchant, and Members of the Subcommittee, this concludes my prepared statement. I would be pleased to respond to any questions that you may have.

Contacts and Acknowledgments

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Enclosure I

Demographic Profiles of Career SES, GS-15, and GS-14 Employees Governmentwide and at the 24 Chief Financial Officers Act Agencies

Table 4: Demographic Profiles of Career SES, GS-15, and GS-14 Employees Governmentwide

Equal employment opportunity (EEO) group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	333	5.5	325	5.1	1,711	3.3	2,198	3.5	3,401	4.1	4,646	4.7
African American women	179	2.9	221	3.5	1,500	2.9	2,327	3.7	4,067	4.9	6,674	6.8
American Indian/ Alaska Native men	54	0.9	59	0.9	278	0.5	334	0.5	579	0.7	611	0.6
American Indian/ Alaska Native women	21	0.3	27	0.4	103	0.2	194	0.3	294	0.4	388	0.4
Asian/Pacific Islander men	70	1.1	90	1.4	2,063	4.0	2,896	4.6	2,426	2.9	3,435	3.5
Asian/Pacific Islander women	33	0.5	56	0.9	836	1.6	1,505	2.4	1,036	1.2	1,819	1.9
Hispanic men	112	1.8	164	2.6	1,197	2.3	1,689	2.7	2,117	2.5	2,829	2.9
Hispanic women	43	0.7	65	1.0	470	0.9	718	1.2	884	1.1	1,428	1.5
White men	4,097	67.1	3,900	61.4	33,567	64.8	36,613	58.7	49,548	59.6	52,467	53.4
White women	1,164	19.1	1436	22.6	10,062	19.4	13,858	22.2	18,759	22.6	23,777	24.2
Unspecified/other	4	0.1	6	0.1	39	0.1	58	0.1	75	0.1	109	0.1
Total[a]	**6,110**	**100.0**	**6,349**	**100.0**	**51,826**	**100.0**	**62,390**	**100.0**	**83,186**	**100.0**	**98,183**	**100.0**
Minorities	845	13.8	1,007	15.9	8,158	15.7	11,861	19.0	14,804	17.8	21,830	22.2
Men	4,666	76.4	4,543	71.6	38,816	74.9	43,768	70.2	58,071	69.8	64,059	65.2
Minority men	569	9.3	638	10.0	5,249	10.0	7,117	11.4	8,523	10.2	11,521	11.7
Women	1,440	23.6	1,806	28.4	12,971	25.0	18,622	29.8	25,040	30.1	34,124	34.8
Minority women	276	4.5	369	5.8	2,909	5.6	4744	7.6	6,281	7.6	10,309	10.5

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: Governmentwide includes civilian employees of all cabinet-level departments, independent agencies, commissions, councils, and boards in the executive branch except the intelligence agencies, the Postal Service, and the Foreign Service (as of 2006).
Note 2: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 5: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Department of Agriculture

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	28	9.9	21	6.7	72	4.0	81	4.0	122	3.5	180	4.6
African American women	11	3.9	12	3.8	53	2.9	77	3.8	153	4.4	235	6.0
American Indian/Alaska Native men	2	0.7	2	0.6	8	0.4	14	0.7	32	0.9	25	0.6
American Indian/Alaska Native women	1	0.4	1	0.3	2	0.1	1	0.0	8	0.2	15	0.4
Asian/Pacific Islander men	5	1.8	9	2.9	41	2.3	70	3.4	95	2.8	133	3.4
Asian/Pacific Islander women	0	0.0	5	1.6	7	0.4	13	0.6	35	1.0	57	1.4
Hispanic men	8	2.8	6	1.9	37	2.0	59	2.9	82	2.4	107	2.7
Hispanic women	2	0.7	2	0.6	3	0.2	10	0.5	22	0.6	47	1.2
White men	168	59.4	178	56.7	1,302	72.0	1,316	64.7	2,188	63.6	2,168	55.0
White women	58	20.5	78	24.8	283	15.6	393	19.3	695	20.2	973	24.7
Unspecified/other	0	0.0	0	0.0	1	0.1	0	0.0	7	0.2	3	0.1
Total*	**283**	**100.0**	**314**	**100.0**	**1,809**	**100.0**	**2,034**	**100.0**	**3,439**	**100.0**	**3,943**	**100.0**
Minorities	57	20.1	58	18.5	223	12.3	325	16.0	549	16.0	799	20.3
Men	211	74.6	216	68.8	1,460	80.7	1,540	75.7	2,519	73.2	2,615	66.3
Minority men	43	15.2	38	12.1	158	8.7	224	11.0	331	9.6	445	11.3
Women	72	25.4	98	31.2	348	19.2	494	24.3	913	26.5	1,328	33.7
Minority women	14	4.9	20	6.4	65	3.6	101	5.0	218	6.3	354	9.0

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

*Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 6: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Agency for International Development

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	2	8.0	1	5.9	24	5.7	16	3.6	23	4.1	29	6.3
African American women	1	4.0	2	11.8	19	4.5	30	6.7	36	6.5	65	14.2
American Indian/Alaska Native men	1	4.0	0	0.0	2	0.5	0	0.0	1	0.2	0	0.0
American Indian/Alaska Native women	0	0.0	0	0.0	1	0.2	0	0.0	0	0.0	1	0.2
Asian/Pacific Islander men	0	0.0	0	0.0	9	2.1	10	2.2	17	3.1	16	3.5
Asian/Pacific Islander women	0	0.0	1	5.9	6	1.4	9	2.0	10	1.8	12	2.6
Hispanic men	1	4.0	1	5.9	11	2.6	13	2.9	15	2.7	13	2.8
Hispanic women	0	0.0	0	0.0	1	0.2	3	0.7	3	0.5	5	1.1
White men	16	64.0	7	41.2	257	60.6	243	54.1	290	52.3	176	38.3
White women	4	16.0	5	29.4	94	22.2	125	27.8	160	28.8	142	30.9
Unspecified/other	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Total[a]	**25**	**100.0**	**17**	**100.0**	**424**	**100.0**	**449**	**100.0**	**555**	**100.0**	**459**	**100.0**
Minorities	5	20.0	5	29.4	73	17.2	81	18.0	105	18.9	141	30.7
Men	20	80.0	9	52.9	303	71.5	282	62.8	346	62.3	234	51.0
Minority men	4	16.0	2	11.8	46	10.8	39	8.7	56	10.1	58	12.6
Women	5	20.0	8	47.1	121	28.5	167	37.2	209	37.7	225	49.0
Minority women	1	4.0	3	17.6	27	6.4	42	9.4	49	8.8	83	18.1

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 7: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Department of Commerce

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	17	5.7	17	5.4	69	3.0	89	3.3	183	3.8	316	5.0
African American women	5	1.7	7	2.2	53	2.3	87	3.2	177	3.7	362	5.8
American Indian/Alaska Native men	2	0.7	1	0.3	2	0.1	7	0.3	10	0.2	12	0.2
American Indian/Alaska Native women	0	0.0	0	0.0	0	0.0	6	0.2	8	0.2	7	0.1
Asian/Pacific Islander men	3	1.0	4	1.3	111	4.8	181	6.6	335	7.0	647	10.3
Asian/Pacific Islander women	3	1.0	4	1.3	28	1.2	71	2.6	139	2.9	278	4.4
Hispanic men	4	1.4	6	1.9	39	1.7	45	1.6	65	1.4	113	1.8
Hispanic women	3	1.0	1	0.3	14	0.6	21	0.8	43	0.9	75	1.2
White men	201	67.9	198	63.3	1,573	68.5	1,688	61.7	2,910	60.7	3,219	51.1
White women	58	19.6	75	24.0	408	17.8	542	19.8	923	19.2	1,264	20.1
Unspecified/other	0	0.0	0	0.0	1	0.0	1	0.0	2	0.0	2	0.0
Total[a]	**296**	**100.0**	**313**	**100.0**	**2,298**	**100.0**	**2,738**	**100.0**	**4,795**	**100.0**	**6,295**	**100.0**
Minorities	37	12.5	40	12.8	316	13.8	507	18.5	960	20.0	1,810	28.8
Men	227	76.7	226	72.2	1,794	78.1	2,011	73.4	3,503	73.1	4,308	68.4
Minority men	26	8.8	28	8.9	221	9.6	322	11.8	593	12.4	1,088	17.3
Women	69	23.3	87	27.8	503	21.9	727	26.6	1,290	26.9	1,987	31.6
Minority women	11	3.7	12	3.8	95	4.1	185	6.8	367	7.7	722	11.5

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 8: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Department of Defense

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	21	1.8	26	2.4	231	2.1	428	2.9	604	3.1	1055	4.1
African American women	10	0.9	17	1.5	124	1.1	264	1.8	468	2.4	942	3.7
American Indian/Alaska Native men	6	0.5	7	0.6	50	0.4	57	0.4	72	0.4	103	0.4
American Indian/Alaska Native women	1	0.1	2	0.2	9	0.1	21	0.1	24	0.1	39	0.2
Asian/Pacific Islander men	13	1.1	14	1.3	282	2.5	428	2.9	554	2.9	809	3.2
Asian/Pacific Islander women	9	0.8	7	0.6	37	0.3	102	0.7	141	0.7	277	1.1
Hispanic men	7	0.6	13	1.2	158	1.4	281	1.9	335	1.7	599	2.4
Hispanic women	3	0.3	2	0.2	28	0.3	83	0.6	104	0.5	245	1.0
White men	909	79.5	809	73.3	8,795	79.0	10,422	71.7	13,612	70.4	16,293	63.9
White women	163	14.2	204	18.5	1,409	12.7	2,446	16.8	3,409	17.6	5,094	20.0
Unspecified/other	2	0.2	3	0.3	14	0.1	10	0.1	25	0.1	23	0.1
Total[a]	**1,144**	**100.0**	**1,104**	**100.0**	**11,137**	**100.0**	**14,542**	**100.0**	**19,348**	**100.0**	**25,479**	**100.0**
Minorities	70	6.1	88	8.0	919	8.3	1,664	11.4	2,302	11.9	4,069	16.0
Men	956	83.6	872	79.0	9,516	85.4	11,622	79.9	15,177	78.4	18,875	74.1
Minority men	47	4.1	60	5.4	721	6.5	1,194	8.2	1,565	8.1	2,566	10.1
Women	186	16.3	232	21.0	1,607	14.4	2,920	20.1	4,146	21.4	6,604	25.9
Minority women	23	2.0	28	2.5	198	1.8	470	3.2	737	3.8	1,503	5.9

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 9: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Department of Education

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	8	13.3	6	8.2	31	6.7	29	6.1	68	8.7	72	8.6
African American women	1	1.7	8	11.0	40	8.7	48	10.1	117	14.9	153	18.2
American Indian/Alaska Native men	1	1.7	0	0.0	1	0.2	2	0.4	3	0.4	4	0.5
American Indian/Alaska Native women	0	0.0	0	0.0	4	0.9	4	0.8	3	0.4	3	0.4
Asian/Pacific Islander men	1	1.7	1	1.4	7	1.5	9	1.9	10	1.3	15	1.8
Asian/Pacific Islander women	1	1.7	2	2.7	1	0.2	3	0.6	10	1.3	23	2.7
Hispanic men	1	1.7	1	1.4	8	1.7	9	1.9	9	1.1	9	1.1
Hispanic women	0	0.0	0	0.0	6	1.3	5	1.1	12	1.5	10	1.2
White men	32	53.3	36	49.3	212	46.1	195	41.1	300	38.2	281	33.5
White women	15	25.0	19	26.0	150	32.6	171	36.0	254	32.3	269	32.1
Unspecified/other	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Total[a]	**60**	**100.0**	**73**	**100.0**	**460**	**100.0**	**475**	**100.0**	**786**	**100.0**	**839**	**100.0**
Minorities	13	21.7	18	24.7	98	21.3	109	22.9	232	29.5	289	34.4
Men	43	71.7	44	60.3	259	56.3	244	51.4	390	49.6	381	45.4
Minority men	11	18.3	8	11.0	47	10.2	49	10.3	90	11.5	100	11.9
Women	17	28.3	29	39.7	201	43.7	231	48.6	396	50.4	458	54.6
Minority women	2	3.3	10	13.7	51	11.1	60	12.6	142	18.1	189	22.5

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 10: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Department of Energy

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	14	3.6	15	3.6	65	3.3	67	3.4	84	3.0	78	2.9
African American women	5	1.3	7	1.7	44	2.2	69	3.5	106	3.8	139	5.2
American Indian/Alaska Native men	3	0.8	2	0.5	7	0.4	12	0.6	20	0.7	24	0.9
American Indian/Alaska Native women	0	0.0	2	0.5	3	0.2	4	0.2	8	0.3	6	0.2
Asian/Pacific Islander men	8	2.0	5	1.2	59	3.0	83	4.2	128	4.6	116	4.3
Asian/Pacific Islander women	1	0.3	6	1.5	14	0.7	28	1.4	29	1.0	39	1.5
Hispanic men	9	2.3	16	3.9	42	2.1	41	2.1	91	3.2	89	3.3
Hispanic women	2	0.5	7	1.7	10	0.5	19	1.0	34	1.2	64	2.4
White men	283	72.4	282	68.6	1,429	71.5	1,266	63.8	1,731	61.7	1,508	56.1
White women	66	16.9	69	16.8	325	16.3	394	19.9	573	20.4	624	23.2
Unspecified/other	0	0.0	0	0.0	1	0.1	0	0.0	2	0.1	2	0.1
Total[a]	**391**	**100.0**	**411**	**100.0**	**1,999**	**100.0**	**1,983**	**100.0**	**2,806**	**100.0**	**2,689**	**100.0**
Minorities	42	10.7	60	14.6	244	12.2	323	16.3	500	17.8	555	20.6
Men	317	81.1	320	77.9	1,602	80.1	1,469	74.1	2,054	73.2	1,816	67.5
Minority men	34	8.7	38	9.2	173	8.7	203	10.2	323	11.5	307	11.4
Women	74	18.9	91	22.1	396	19.8	514	25.9	750	26.7	873	32.5
Minority women	8	2.0	22	5.4	71	3.6	120	6.1	177	6.3	248	9.2

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 11: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Environmental Protection Agency

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	18	7.1	13	5.0	41	2.3	57	2.5	102	3.4	124	4.2
African American women	5	2.0	10	3.8	80	4.4	120	5.3	201	6.7	251	8.5
American Indian/Alaska Native men	0	0.0	0	0.0	2	0.1	5	0.2	7	0.2	10	0.3
American Indian/Alaska Native women	0	0.0	0	0.0	2	0.1	6	0.3	5	0.2	4	0.1
Asian/Pacific Islander men	2	0.8	3	1.2	30	1.7	44	1.9	78	2.6	90	3.1
Asian/Pacific Islander women	4	1.6	4	1.5	14	0.8	34	1.5	49	1.6	67	2.3
Hispanic men	9	3.5	9	3.5	27	1.5	46	2.0	63	2.1	71	2.4
Hispanic women	1	0.4	2	0.8	14	0.8	33	1.5	48	1.6	51	1.7
White men	150	58.8	137	52.7	1,086	60.2	1,197	53.0	1,558	51.9	1,381	46.9
White women	66	25.9	82	31.5	508	28.1	713	31.6	890	29.7	897	30.4
Unspecified/other	0	0.0	0	0.0	1	0.1	2	0.1	0	0.0	0	0.0
Total[a]	**255**	**100.0**	**260**	**100.0**	**1,805**	**100.0**	**2,257**	**100.0**	**3,001**	**100.0**	**2,946**	**100.0**
Minorities	39	15.3	41	15.8	210	11.6	345	15.3	553	18.4	668	22.7
Men	179	70.2	162	62.3	1,186	65.7	1,351	59.9	1,808	60.2	1,676	56.9
Minority men	29	11.4	25	9.6	100	5.5	152	6.7	250	8.3	295	10.0
Women	76	29.8	98	37.7	618	34.2	906	40.1	1,193	39.8	1,270	43.1
Minority women	10	3.9	16	6.2	110	6.1	193	8.6	303	10.1	373	12.7

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 12: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the General Services Administration

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	6	7.1	3	4.2	28	4.7	27	4.3	85	6.5	139	8.8
African American women	4	4.8	3	4.2	31	5.2	45	7.2	125	9.6	179	11.3
American Indian/Alaska Native men	0	0.0	0	0.0	3	0.5	2	0.3	4	0.3	3	0.2
American Indian/Alaska Native women	0	0.0	0	0.0	0	0.0	0	0.0	2	0.2	4	0.3
Asian/Pacific Islander men	0	0.0	1	1.4	6	1.0	7	1.1	31	2.4	42	2.7
Asian/Pacific Islander women	1	1.2	0	0.0	4	0.7	9	1.4	14	1.1	32	2.0
Hispanic men	0	0.0	0	0.0	3	0.5	12	1.9	16	1.2	27	1.7
Hispanic women	1	1.2	1	1.4	4	0.7	7	1.1	13	1.0	22	1.4
White men	54	64.3	48	67.6	383	64.4	337	53.7	656	50.3	709	44.9
White women	18	21.4	15	21.1	133	22.4	178	28.4	359	27.5	419	26.5
Unspecified/other	0	0.0	0	0.0	0	0.0	3	0.5	0	0.0	4	0.3
Total[a]	**84**	**100.0**	**71**	**100.0**	**595**	**100.0**	**627**	**100.0**	**1,305**	**100.0**	**1,580**	**100.0**
Minorities	12	14.3	8	11.3	79	13.3	109	17.4	290	22.2	448	28.4
Men	60	71.4	52	73.2	423	71.1	388	61.9	792	60.7	921	58.3
Minority men	6	7.1	4	5.6	40	6.7	48	7.7	136	10.4	211	13.4
Women	24	28.6	19	26.8	172	28.9	239	38.1	513	39.3	659	41.7
Minority women	6	7.1	4	5.6	39	6.6	61	9.7	154	11.8	237	15.0

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 13: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Department of Health and Human Services

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	22	5.5	17	5.0	137	3.9	156	3.7	225	3.9	281	4.0
African American women	27	6.8	23	6.7	139	4.0	206	4.9	359	6.2	579	8.2
American Indian/Alaska Native men	11	2.8	12	3.5	46	1.3	57	1.4	73	1.3	72	1.0
American Indian/Alaska Native women	6	1.5	7	2.0	29	0.8	51	1.2	83	1.4	105	1.5
Asian/Pacific Islander men	6	1.5	5	1.5	101	2.9	142	3.4	223	3.9	333	4.7
Asian/Pacific Islander women	3	0.8	3	0.9	49	1.4	104	2.5	158	2.7	284	4.0
Hispanic men	5	1.3	8	2.3	53	1.5	71	1.7	103	1.8	121	1.7
Hispanic women	5	1.3	1	0.3	38	1.1	50	1.2	56	1.0	95	1.3
White men	211	52.9	153	44.7	1,774	50.9	1,832	43.8	2,450	42.5	2,483	35.3
White women	103	25.8	113	33.0	1,118	32.1	1,505	36.0	2,024	35.1	2,663	37.8
Unspecified/other	0	0.0	0	0.0	4	0.1	10	0.2	10	0.2	26	0.4
Total[a]	**399**	**100.0**	**342**	**100.0**	**3,488**	**100.0**	**4,184**	**100.0**	**5,764**	**100.0**	**7,042**	**100.0**
Minorities	85	21.3	76	22.2	592	17.0	837	20.0	1,280	22.2	1,870	26.6
Men	255	63.9	195	57.0	2,111	60.5	2,262	54.1	3,074	53.3	3,307	47.0
Minority men	44	11.0	42	12.3	337	9.7	426	10.2	624	10.8	807	11.5
Women	144	36.1	147	43.0	1,373	39.4	1,922	45.9	2,680	46.5	3,735	53.0
Minority women	41	10.3	34	9.9	255	7.3	411	9.8	656	11.4	1,063	15.1

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 14: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Department of Homeland Security

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	[b]	[b]	10	3.8	[b]	[b]	105	4.0	[b]	[b]	292	4.7
African American women	[b]	[b]	6	2.3	[b]	[b]	103	4.0	[b]	[b]	453	7.2
American Indian/Alaska Native men	[b]	[b]	1	0.4	[b]	[b]	8	0.3	[b]	[b]	24	0.4
American Indian/Alaska Native women	[b]	[b]	0	0.0	[b]	[b]	3	0.1	[b]	[b]	14	0.2
Asian/Pacific Islander men	[b]	[b]	1	0.4	[b]	[b]	34	1.3	[b]	[b]	128	2.0
Asian/Pacific Islander women	[b]	[b]	1	0.4	[b]	[b]	22	0.8	[b]	[b]	71	1.1
Hispanic men	[b]	[b]	13	5.0	[b]	[b]	114	4.4	[b]	[b]	419	6.7
Hispanic women	[b]	[b]	1	0.4	[b]	[b]	48	1.8	[b]	[b]	161	2.6
White men	[b]	[b]	169	64.5	[b]	[b]	1,510	58.1	[b]	[b]	3,383	54.0
White women	[b]	[b]	60	22.9	[b]	[b]	650	25.0	[b]	[b]	1,319	21.0
Unspecified/other	[b]	[b]	0	0.0	[b]	[b]	1	0.0	[b]	[b]	3	0.0
Total[a]	[b]	[b]	**262**	**100.0**	[b]	[b]	**2,598**	**100.0**	[b]	[b]	**6,267**	**100.0**
Minorities	[b]	[b]	33	12.6	[b]	[b]	437	16.8	[b]	[b]	1,562	24.9
Men	[b]	[b]	194	74.0	[b]	[b]	1,771	68.2	[b]	[b]	4,248	67.8
Minority men	[b]	[b]	25	9.5	[b]	[b]	261	10.0	[b]	[b]	863	13.8
Women	[b]	[b]	68	26.0	[b]	[b]	827	31.8	[b]	[b]	2,019	32.2
Minority women	[b]	[b]	8	3.1	[b]	[b]	176	6.8	[b]	[b]	699	11.2

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.
[b]The Department of Homeland Security did not exist before March 1, 2003. Its creation united 22 agencies, including the U.S. Customs Service, which was formerly located in the Department of the Treasury; the Federal Emergency Management Agency; and the Coast Guard.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 15: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Department of Housing and Urban Development

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	9	12.3	8	9.8	100	11.7	109	11.9	134	10.1	146	10.2
African American women	11	15.1	15	18.3	112	13.1	164	17.9	221	16.7	313	21.8
American Indian/Alaska Native men	1	1.4	1	1.2	7	0.8	8	0.9	9	0.7	3	0.2
American Indian/Alaska Native women	1	1.4	0	0.0	0	0.0	1	0.1	2	0.2	4	0.3
Asian/Pacific Islander men	0	0.0	1	1.2	12	1.4	20	2.2	26	2.0	37	2.6
Asian/Pacific Islander women	0	0.0	2	2.4	9	1.1	11	1.2	18	1.4	34	2.4
Hispanic men	2	2.7	3	3.7	21	2.5	32	3.5	47	3.5	44	3.1
Hispanic women	2	2.7	3	3.7	22	2.6	19	2.1	22	1.7	42	2.9
White men	40	54.8	38	46.3	398	46.5	362	39.4	545	41.1	471	32.8
White women	7	9.6	11	13.4	175	20.4	192	20.9	301	22.7	340	23.7
Unspecified/other	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Total[a]	**73**	**100.0**	**82**	**100.0**	**856**	**100.0**	**918**	**100.0**	**1,325**	**100.0**	**1,434**	**100.0**
Minorities	26	35.6	33	40.2	283	33.1	364	39.7	479	36.2	623	43.4
Men	52	71.2	51	62.2	538	62.9	531	57.8	761	57.4	701	48.9
Minority men	12	16.4	13	15.9	140	16.4	169	18.4	216	16.3	230	16.0
Women	21	28.8	31	37.8	318	37.1	387	42.2	564	42.6	733	51.1
Minority women	14	19.2	20	24.4	143	16.7	195	21.2	263	19.8	393	27.4

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 16: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Department of the Interior

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	4	2.1	9	4.0	32	2.5	28	1.8	54	1.9	61	1.8
African American women	4	2.1	7	3.1	18	1.4	28	1.8	70	2.4	91	2.6
American Indian/Alaska Native men	18	9.4	22	9.7	65	5.0	82	5.2	145	5.0	172	5.0
American Indian/Alaska Native women	7	3.7	7	3.1	25	1.9	48	3.1	79	2.7	121	3.5
Asian/Pacific Islander men	1	0.5	3	1.3	16	1.2	19	1.2	38	1.3	45	1.3
Asian/Pacific Islander women	0	0.0	0	0.0	4	0.3	10	0.6	16	0.6	35	1.0
Hispanic men	4	2.1	3	1.3	14	1.1	21	1.3	61	2.1	77	2.2
Hispanic women	4	2.1	7	3.1	3	0.2	7	0.4	24	0.8	39	1.1
White men	103	53.9	116	51.1	928	71.2	1,001	64.0	1,859	63.9	1,973	57.4
White women	46	24.1	53	23.3	198	15.2	321	20.5	561	19.3	816	23.7
Unspecified/other	0	0.0	0	0.0	1	0.1	0	0.0	1	0.0	7	0.2
Total[a]	**191**	**100.0**	**227**	**100.0**	**1,304**	**100.0**	**1,565**	**100.0**	**2,908**	**100.0**	**3,437**	**100.0**
Minorities	42	22.0	58	25.6	177	13.6	243	15.5	487	16.7	641	18.6
Men	130	68.1	153	67.4	1,055	80.9	1,151	73.5	2,157	74.2	2,332	67.8
Minority men	27	14.1	37	16.3	127	9.7	150	9.6	298	10.2	355	10.3
Women	61	31.9	74	32.6	248	19.0	414	26.5	750	25.8	1,105	32.2
Minority women	15	7.9	21	9.3	50	3.8	93	5.9	189	6.5	286	8.3

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 17: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Department of Justice

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	24	5.9	47	7.8	125	3.3	205	4.1	235	5.5	473	6.3
African American women	13	3.2	19	3.1	139	3.7	211	4.2	256	6.0	492	6.5
American Indian/Alaska Native men	2	0.5	3	0.5	11	0.3	12	0.2	23	0.5	37	0.5
American Indian/Alaska Native women	0	0.0	1	0.2	6	0.2	8	0.2	6	0.1	11	0.1
Asian/Pacific Islander men	3	0.7	3	0.5	58	1.5	119	2.4	65	1.5	181	2.4
Asian/Pacific Islander women	2	0.5	1	0.2	48	1.3	81	1.6	52	1.2	62	0.8
Hispanic men	16	3.9	32	5.3	129	3.4	180	3.6	247	5.8	383	5.1
Hispanic women	2	0.5	2	0.3	62	1.6	75	1.5	76	1.8	101	1.3
White men	270	66.3	387	64.0	2,132	56.0	2,774	55.3	2,288	53.3	4,175	55.5
White women	75	18.4	109	18.0	1,091	28.7	1,350	26.9	1,035	24.1	1,588	21.1
Unspecified/other	0	0.0	1	0.2	3	0.1	5	0.1	10	0.2	17	0.2
Total[a]	**407**	**100.0**	**605**	**100.0**	**3,804**	**100.0**	**5,020**	**100.0**	**4,293**	**100.0**	**7,520**	**100.0**
Minorities	62	15.2	108	17.9	578	15.2	891	17.7	960	22.4	1,740	23.1
Men	315	77.4	473	78.2	2,455	64.5	3,293	65.6	2,858	66.6	5,264	70.0
Minority men	45	11.1	85	14.0	323	8.5	516	10.3	570	13.3	1,074	14.3
Women	92	22.6	132	21.8	1,346	35.4	1,727	34.4	1,425	33.2	2,256	30.0
Minority women	17	4.2	23	3.8	255	6.7	375	7.5	390	9.1	666	8.9

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 18: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Department of Labor

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	13	9.8	7	5.8	31	5.0	47	6.1	87	6.1	84	5.6
African American women	8	6.1	7	5.8	33	5.3	49	6.3	128	8.9	163	10.9
American Indian/Alaska Native men	0	0.0	0	0.0	2	0.3	0	0.0	9	0.6	11	0.7
American Indian/Alaska Native women	1	0.8	0	0.0	2	0.3	1	0.1	4	0.3	3	0.2
Asian/Pacific Islander men	0	0.0	1	0.8	2	0.3	7	0.9	25	1.7	48	3.2
Asian/Pacific Islander women	0	0.0	1	0.8	8	1.3	10	1.3	7	0.5	33	2.2
Hispanic men	6	4.5	5	4.1	14	2.2	13	1.7	46	3.2	54	3.6
Hispanic women	0	0.0	4	3.3	8	1.3	11	1.4	22	1.5	28	1.9
White men	76	57.6	68	56.2	378	60.4	401	51.7	728	50.7	671	44.7
White women	28	21.2	28	23.1	148	23.6	237	30.5	381	26.5	407	27.1
Unspecified/other	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Total[a]	**132**	**100.0**	**121**	**100.0**	**626**	**100.0**	**776**	**100.0**	**1,437**	**100.0**	**1,502**	**100.0**
Minorities	28	21.2	25	20.7	100	16.0	138	17.8	328	22.8	424	28.2
Men	95	72.0	81	66.9	427	68.2	468	60.3	895	62.3	868	57.8
Minority men	19	14.4	13	10.7	49	7.8	67	8.6	167	11.6	197	13.1
Women	37	28.0	40	33.1	199	31.8	308	39.7	542	37.7	634	42.2
Minority women	9	6.8	12	9.9	51	8.1	71	9.1	161	11.2	227	15.1

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 19: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the National Aeronautics and Space Administration

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	18	4.6	13	3.1	63	2.5	114	3.2	123	3.3	154	3.7
African American women	11	2.8	14	3.4	23	0.9	75	2.1	80	2.1	168	4.1
American Indian/Alaska Native men	3	0.8	2	0.5	13	0.5	15	0.4	21	0.6	23	0.6
American Indian/Alaska Native women	1	0.3	1	0.2	1	0.0	7	0.2	8	0.2	7	0.2
Asian/Pacific Islander men	9	2.3	12	2.9	124	4.9	185	5.3	160	4.3	205	5.0
Asian/Pacific Islander women	1	0.3	5	1.2	26	1.0	42	1.2	37	1.0	56	1.4
Hispanic men	7	1.8	14	3.4	61	2.4	120	3.4	125	3.3	132	3.2
Hispanic women	2	0.5	5	1.2	19	0.7	25	0.7	34	0.9	50	1.2
White men	280	71.1	278	67.0	1,890	74.4	2,346	66.8	2,588	69.0	2,508	60.7
White women	62	15.7	71	17.1	318	12.5	581	16.6	574	15.3	831	20.1
Unspecified/other	0	0.0	0	0.0	3	0.1	0	0.0	0	0.0	1	0.0
Total[a]	**394**	**100.0**	**415**	**100.0**	**2,541**	**100.0**	**3,510**	**100.0**	**3,750**	**100.0**	**4,135**	**100.0**
Minorities	52	13.2	66	15.9	330	13.0	583	16.6	588	15.7	795	19.2
Men	317	80.5	319	76.9	2,151	84.7	2,780	79.2	3,017	80.5	3,023	73.1
Minority men	37	9.4	41	9.9	261	10.3	434	12.4	429	11.4	514	12.4
Women	77	19.5	96	23.1	387	15.2	730	20.8	733	19.5	1,112	26.9
Minority women	15	3.8	25	6.0	69	2.7	149	4.2	159	4.2	281	6.8

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 20: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Nuclear Regulatory Commission

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	7	5.0	9	5.9	18	2.8	29	3.5	27	3.8	30	3.8
African American women	2	1.4	2	1.3	16	2.5	23	2.7	21	2.9	40	5.1
American Indian/Alaska Native men	0	0.0	1	0.7	3	0.5	4	0.5	0	0.0	1	0.1
American Indian/Alaska Native women	0	0.0	0	0.0	0	0.0	1	0.1	0	0.0	0	0.0
Asian/Pacific Islander men	4	2.9	5	3.3	56	8.7	76	9.1	52	7.2	51	6.5
Asian/Pacific Islander women	1	0.7	3	2.0	8	1.2	16	1.9	8	1.1	12	1.5
Hispanic men	2	1.4	2	1.3	4	0.6	13	1.6	14	1.9	18	2.3
Hispanic women	0	0.0	1	0.7	2	0.3	2	0.2	2	0.3	3	0.4
White men	107	77.0	104	68.4	453	70.7	526	62.8	467	65.0	498	63.3
White women	16	11.5	25	16.4	81	12.6	147	17.5	128	17.8	133	16.9
Unspecified/other	0	0.0	0	0.0	0	0.0	1	0.1	0	0.0	1	0.1
Total[a]	**139**	**100.0**	**152**	**100.0**	**641**	**100.0**	**838**	**100.0**	**719**	**100.0**	**787**	**100.0**
Minorities	16	11.5	23	15.1	107	16.7	164	19.6	124	17.2	155	19.7
Men	120	86.3	121	79.6	534	83.3	649	77.4	560	77.9	598	76.0
Minority men	13	9.4	17	11.2	81	12.6	122	14.6	93	12.9	100	12.7
Women	19	13.7	31	20.4	107	16.7	189	22.6	159	22.1	189	24.0
Minority women	3	2.2	6	3.9	26	4.1	42	5.0	31	4.3	55	7.0

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 21: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the National Science Foundation

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	5	6.3	2	2.6	4	4.9	4	5.5	3	3.8	3	2.8
African American women	1	1.3	2	2.6	4	4.9	5	6.8	10	12.5	10	9.3
American Indian/Alaska Native men	0	0.0	0	0.0	1	1.2	0	0.0	0	0.0	0	0.0
American Indian/Alaska Native women	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	1	0.9
Asian/Pacific Islander men	3	3.8	4	5.1	1	1.2	1	1.4	0	0.0	2	1.9
Asian/Pacific Islander women	1	1.3	2	2.6	2	2.4	2	2.7	3	3.8	5	4.7
Hispanic men	1	1.3	2	2.6	0	0.0	0	0.0	1	1.3	4	3.7
Hispanic women	0	0.0	0	0.0	1	1.2	0	0.0	1	1.3	0	0.0
White men	46	58.2	37	47.4	36	43.9	28	38.4	31	38.8	38	35.5
White women	22	27.8	29	37.2	33	40.2	33	45.2	31	38.8	44	41.1
Unspecified/other	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Total[a]	**79**	**100.0**	**78**	**100.0**	**82**	**100.0**	**73**	**100.0**	**80**	**100.0**	**107**	**100.0**
Minorities	11	13.9	12	15.4	13	15.9	12	16.4	18	22.5	25	23.4
Men	55	69.6	45	57.7	42	51.2	33	45.2	35	43.8	47	43.9
Minority men	9	11.4	8	10.3	6	7.3	5	6.8	4	5.0	9	8.4
Women	24	30.4	33	42.3	40	48.8	40	54.8	45	56.3	60	56.1
Minority women	2	2.5	4	5.1	7	8.5	7	9.6	14	17.5	16	15.0

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 22: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Office of Personnel Management

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	2	5.6	2	5.0	7	6.6	11	7.1	14	6.3	16	4.3
African American women	1	2.8	1	2.5	5	4.7	13	8.3	22	9.9	64	17.2
American Indian/Alaska Native men	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
American Indian/Alaska Native women	1	2.8	0	0.0	0	0.0	0	0.0	0	0.0	2	0.5
Asian/Pacific Islander men	0	0.0	0	0.0	0	0.0	2	1.3	4	1.8	5	1.3
Asian/Pacific Islander women	0	0.0	0	0.0	0	0.0	0	0.0	2	0.9	12	3.2
Hispanic men	2	5.6	2	5.0	3	2.8	4	2.6	7	3.2	4	1.1
Hispanic women	1	2.8	2	5.0	3	2.8	3	1.9	4	1.8	7	1.9
White men	17	47.2	24	60.0	62	58.5	75	48.1	96	43.2	140	37.5
White women	12	33.3	9	22.5	26	24.5	48	30.8	73	32.9	123	33.0
Unspecified/other	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Total[a]	**36**	**100.0**	**40**	**100.0**	**106**	**100.0**	**156**	**100.0**	**222**	**100.0**	**373**	**100.0**
Minorities	7	19.4	7	17.5	18	17.0	33	21.2	53	23.9	110	29.5
Men	21	58.3	28	70.0	72	67.9	92	59.0	121	54.5	165	44.2
Minority men	4	11.1	4	10.0	10	9.4	17	10.9	25	11.3	25	6.7
Women	15	41.7	12	30.0	34	32.1	64	41.0	101	45.5	208	55.8
Minority women	3	8.3	3	7.5	8	7.5	16	10.3	28	12.6	85	22.8

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 23: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Small Business Administration

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	6	15.4	5	14.3	13	7.3	14	7.6	26	7.0	25	7.4
African American women	4	10.3	2	5.7	11	6.1	18	9.8	27	7.3	39	11.6
American Indian/Alaska Native men	0	0.0	0	0.0	3	1.7	2	1.1	0	0.0	1	0.3
American Indian/Alaska Native women	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Asian/Pacific Islander men	0	0.0	0	0.0	2	1.1	4	2.2	8	2.2	9	2.7
Asian/Pacific Islander women	0	0.0	1	2.9	0	0.0	3	1.6	7	1.9	12	3.6
Hispanic men	2	5.1	4	11.4	11	6.1	10	5.4	13	3.5	9	2.7
Hispanic women	1	2.6	1	2.9	4	2.2	8	4.3	10	2.7	12	3.6
White men	18	46.2	15	42.9	99	55.3	93	50.5	186	50.4	150	44.5
White women	8	20.5	7	20.0	36	20.1	32	17.4	92	24.9	80	23.7
Unspecified/other	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0
Total[a]	**39**	**100.0**	**35**	**100.0**	**179**	**100.0**	**184**	**100.0**	**369**	**100.0**	**337**	**100.0**
Minorities	13	33.3	13	37.1	44	24.6	59	32.1	91	24.7	107	31.8
Men	26	66.7	24	68.6	128	71.5	123	66.8	233	63.1	194	57.6
Minority men	8	20.5	9	25.7	29	16.2	30	16.3	47	12.7	44	13.1
Women	13	33.3	11	31.4	51	28.5	61	33.2	136	36.9	143	42.4
Minority women	5	12.8	4	11.4	15	8.4	29	15.8	44	11.9	63	18.7

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 24: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Social Security Administration

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	13	11.0	16	11.1	34	6.8	37	5.6	99	5.8	140	5.9
African American women	12	10.2	15	10.4	39	7.8	81	12.2	162	9.5	299	12.5
American Indian/Alaska Native men	0	0.0	0	0.0	1	0.2	4	0.6	14	0.8	15	0.6
American Indian/Alaska Native women	0	0.0	1	0.7	4	0.8	4	0.6	7	0.4	11	0.5
Asian/Pacific Islander men	0	0.0	0	0.0	3	0.6	5	0.8	16	0.9	25	1.0
Asian/Pacific Islander women	2	1.7	0	0.0	0	0.0	6	0.9	15	0.9	33	1.4
Hispanic men	7	5.9	5	3.5	15	3.0	19	2.9	60	3.5	73	3.1
Hispanic women	5	4.2	6	4.2	7	1.4	10	1.5	43	2.5	77	3.2
White men	56	47.5	66	45.8	267	53.7	294	44.3	836	49.1	938	39.2
White women	23	19.5	35	24.3	127	25.6	204	30.7	450	26.4	777	32.5
Unspecified/other	0	0.0	0	0.0	0	0.0	0	0.0	0	0.0	2	0.1
Total[a]	**118**	**100.0**	**144**	**100.0**	**497**	**100.0**	**664**	**100.0**	**1,702**	**100.0**	**2,390**	**100.0**
Minorities	39	33.1	43	29.9	103	20.7	166	25.0	416	24.4	673	28.2
Men	76	64.4	87	60.4	320	64.4	359	54.1	1,025	60.2	1,192	49.9
Minority men	20	16.9	21	14.6	53	10.7	65	9.8	189	11.1	253	10.6
Women	42	35.6	57	39.6	177	35.6	305	45.9	677	39.8	1,198	50.1
Minority women	19	16.1	22	15.3	50	10.1	101	15.2	227	13.3	420	17.6

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 25: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Department of State

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	0	0.0	2	1.8	58	3.7	17	2.7	74	2.9	52	4.9
African American women	1	1.0	2	1.8	52	3.3	27	4.3	88	3.5	87	8.2
American Indian/Alaska Native men	0	0.0	0	0.0	6	0.4	3	0.5	5	0.2	0	0.0
American Indian/Alaska Native women	0	0.0	0	0.0	1	0.1	0	0.0	4	0.2	2	0.2
Asian/Pacific Islander men	0	0.0	1	0.9	25	1.6	8	1.3	66	2.6	31	2.9
Asian/Pacific Islander women	0	0.0	0	0.0	15	0.9	14	2.2	30	1.2	22	2.1
Hispanic men	4	4.0	2	1.8	46	2.9	7	1.1	67	2.6	18	1.7
Hispanic women	0	0.0	0	0.0	22	1.4	8	1.3	28	1.1	12	1.1
White men	68	67.3	73	64.0	972	61.3	337	53.7	1,584	62.3	510	48.2
White women	28	27.7	34	29.8	387	24.4	205	32.6	598	23.5	317	29.9
Unspecified/other	0	0.0	0	0.0	2	0.1	2	0.3	0	0.0	8	0.8
Total[a]	**101**	**100.0**	**114**	**100.0**	**1,586**	**100.0**	**628**	**100.0**	**2,544**	**100.0**	**1,059**	**100.0**
Minorities	5	5.0	7	6.1	225	14.2	84	13.4	362	14.2	224	21.2
Men	72	71.3	78	68.4	1,107	69.8	373	59.4	1,796	70.6	615	58.1
Minority men	4	4.0	5	4.4	135	8.5	35	5.6	212	8.3	101	9.5
Women	29	28.7	36	31.6	477	30.1	255	40.6	748	29.4	444	41.9
Minority women	1	1.0	2	1.8	90	5.7	49	7.8	150	5.9	123	11.6

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Note 2: The number of GS-15s, GS-14s and equivalents decreased because the Department of State stopped reporting data on Foreign Service employees to the Office of Personnel Management's Central Personnel Data File.

Table 26: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Department of Transportation

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	14	7.9	12	6.6	60	5.1	62	5.9	221	4.5	213	5.0
African American women	7	3.9	9	4.9	41	3.5	60	5.7	202	4.1	226	5.3
American Indian/Alaska Native men	0	0.0	0	0.0	11	0.9	3	0.3	52	1.0	27	0.6
American Indian/Alaska Native women	0	0.0	0	0.0	2	0.2	1	0.1	15	0.3	6	0.1
Asian/Pacific Islander men	5	2.8	5	2.7	26	2.2	32	3.1	150	3.0	152	3.6
Asian/Pacific Islander women	0	0.0	1	0.5	8	0.7	15	1.4	29	0.6	43	1.0
Hispanic men	0	0.0	1	0.5	29	2.5	29	2.8	181	3.6	164	3.9
Hispanic women	0	0.0	1	0.5	5	0.4	11	1.1	51	1.0	36	0.9
White men	111	62.4	101	55.5	789	67.6	634	60.6	3,289	66.3	2,713	64.1
White women	41	23.0	52	28.6	196	16.8	199	19.0	768	15.5	654	15.4
Unspecified/other	0	0.0	0	0.0	0	0.0	0	0.0	4	0.1	0	0.0
Total[a]	**178**	**100.0**	**182**	**100.0**	**1,167**	**100.0**	**1,046**	**100.0**	**4,962**	**100.0**	**4,234**	**100.0**
Minorities	26	14.6	29	15.9	182	15.6	213	20.4	901	18.2	867	20.5
Men	130	73.0	119	65.4	915	78.4	760	72.7	3,893	78.5	3,269	77.2
Minority men	19	10.7	18	9.9	126	10.8	126	12.0	604	12.2	556	13.1
Women	48	27.0	63	34.6	252	21.6	286	27.3	1,065	21.5	965	22.8
Minority women	7	3.9	11	6.0	56	4.8	87	8.3	297	6.0	311	7.3

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 27: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Department of the Treasury

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	42	7.8	32	8.4	148	4.8	54	3.2	417	4.7	283	4.9
African American women	11	2.0	12	3.1	148	4.8	124	7.3	583	6.6	660	11.4
American Indian/Alaska Native men	1	0.2	0	0.0	12	0.4	3	0.2	46	0.5	23	0.4
American Indian/Alaska Native women	2	0.4	4	1.0	6	0.2	4	0.2	16	0.2	14	0.2
Asian/Pacific Islander men	4	0.7	8	2.1	46	1.5	39	2.3	149	1.7	127	2.2
Asian/Pacific Islander women	1	0.2	3	0.8	18	0.6	32	1.9	95	1.1	157	2.7
Hispanic men	6	1.1	7	1.8	85	2.8	28	1.6	286	3.2	113	2.0
Hispanic women	2	0.4	5	1.3	27	0.9	14	0.8	114	1.3	98	1.7
White men	359	66.9	201	52.8	1,844	59.8	866	50.9	4,902	55.5	2,533	43.8
White women	109	20.3	108	28.3	746	24.2	532	31.3	2,219	25.1	1,766	30.5
Unspecified/other	0	0.0	1	0.3	3	0.1	6	0.4	5	0.1	7	0.1
Total[a]	**537**	**100.0**	**381**	**100.0**	**3,083**	**100.0**	**1,702**	**100.0**	**8,832**	**100.0**	**5,781**	**100.0**
Minorities	69	12.8	71	18.6	490	15.9	298	17.5	1,706	19.3	1,475	25.5
Men	412	76.7	248	65.1	2,135	69.3	993	58.3	5,800	65.7	3,083	53.3
Minority men	53	9.9	47	12.3	291	9.4	124	7.3	898	10.2	546	9.4
Women	125	23.3	133	34.9	945	30.7	709	41.7	3,027	34.3	2,698	46.7
Minority women	16	3.0	24	6.3	199	6.5	174	10.2	808	9.1	929	16.1

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Table 28: Demographic Profiles of Career SES, GS-15, and GS-14 Employees at the Department of Veterans Affairs

EEO group	SES				GS-15				GS-14			
	October 1, 2000		September 2006		October 1, 2000		September 2006		October 1, 2000		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	12	4.9	14	6.1	173	2.2	286	2.8	98	4.0	157	5.0
African American women	4	1.6	4	1.7	109	1.4	224	2.2	104	4.2	253	8.0
American Indian/Alaska Native men	3	1.2	5	2.2	17	0.2	29	0.3	11	0.4	9	0.3
American Indian/Alaska Native women	0	0.0	0	0.0	4	0.1	18	0.2	7	0.3	5	0.2
Asian/Pacific Islander men	1	0.4	2	0.9	997	12.9	1296	12.6	62	2.5	62	2.0
Asian/Pacific Islander women	1	0.4	1	0.4	499	6.4	820	8.0	45	1.8	43	1.4
Hispanic men	3	1.2	6	2.6	322	4.2	456	4.4	55	2.2	56	1.8
Hispanic women	0	0.0	1	0.4	131	1.7	217	2.1	28	1.1	47	1.5
White men	190	76.9	146	63.8	4,382	56.6	5,192	50.4	1,465	59.2	1,571	50.0
White women	31	12.6	49	21.4	1,107	14.3	1,751	17.0	592	23.9	941	29.9
Unspecified/other	2	0.8	1	0.4	5	0.1	17	0.2	8	0.3	1	0.0
Total[a]	**247**	**100.0**	**229**	**100.0**	**7,746**	**100.0**	**10,306**	**100.0**	**2,475**	**100.0**	**3,145**	**100.0**
Minorities	24	9.7	33	14.4	2,252	29.1	3,346	32.5	410	16.6	632	20.1
Men	209	84.6	174	76.0	5,891	76.1	7,273	70.6	1,691	68.3	1,856	59.0
Minority men	19	7.7	27	11.8	1,509	19.5	2,067	20.1	226	9.1	284	9.0
Women	36	14.6	55	24.0	1,850	23.9	3,033	29.4	776	31.4	1,289	41.0
Minority women	5	2.0	6	2.6	743	9.6	1,279	12.4	184	7.4	348	11.1

Source: GAO analysis of the Office of Personnel Management's Central Personnel Data File.

[a]Percentages may not add to 100 because of rounding.

Note 1: We included GS-15, GS-14, and equivalent employees. GS-equivalent employees are those in equivalent grades under other pay plans that follow the GS grade structure and job evaluation methodology or are equivalent by statute.

Demographic Profiles of U.S. Postal Service Postal Career Executive Service Employees and the Developmental Pool of Potential Successors

Table 29: Demographic Profiles of U.S. Postal Service Postal Career Executive Service Employees and the Developmental Pool Employees

EEO group	Postal Career Executive Service employees								Executive Administrative Service levels 22 and above[c]			
	Officers[a]				Executives[b]							
	September 1999		September 2006		September 1999		September 2006		September 1999		September 2006	
	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent	Number	Percent
African American men	3	7.1	5	12.5	73	9.0	64	8.8	866	9.7	779	9.1
African American women	0	0.0	1	2.5	43	5.3	49	6.7	576	6.4	706	8.2
American Indian/ Alaska Native men	0	0.0	0	0.0	1	0.1	1	0.1	49	0.5	35	0.4
American Indian/ Alaska Native women	0	0.0	0	0.0	1	0.1	1	0.1	16	0.2	16	0.2
Asian/Pacific Islander men	0	0.0	0	0.0	8	1.0	11	1.5	215	2.4	267	3.1
Asian/Pacific Islander women	0	0.0	0	0.0	4	0.5	10	1.4	86	1.0	157	1.8
Hispanic men	2	4.8	1	2.5	39	4.8	41	5.6	375	4.2	387	4.5
Hispanic women	0	0.0	0	0.0	4	0.5	12	1.7	86	1.0	154	1.8
White men	29	69.0	23	57.5	526	64.8	402	55.2	5,398	60.3	4,480	52.1
White women	8	19.0	10	25.0	112	13.8	137	18.8	1,270	14.2	1,625	18.9
Unspecified/other	0	0.0	0	0.0	1	0.1	0	0.0	18	0.2	0	0.0
Total[d]	**42**	**100.0**	**40**	**100.0**	**812**	**100.0**	**728**	**100.0**	**8,955**	**100.0**	**8,606**	**100.0**
Minorities	5	11.9	7	17.5	173	21.3	189	26.0	2,269	25.3	2,501	29.1
Men	34	81.0	29	72.5	648	79.8	519	71.3	6,919	77.3	5,948	69.1
Minority men	5	11.9	6	15.0	121	14.9	117	16.1	1,505	16.8	1,468	17.1
Women	8	19.0	11	27.5	164	20.2	209	28.7	2,036	22.7	2,658	30.9
Minority women	0	0.0	1	2.5	52	6.4%	72	9.9	764	8.5	1,033	12.0

Source: GAO analysis of U.S. Postal Service information.

[a]Officers are appointed by and serve at the pleasure of the Postmaster General and include area vice presidents and the Deputy Postmaster General.
[b]Executives includes district managers and bulk mail center managers.
[c]The potential successors for officer and executive positions are generally from levels 22 and above of the Postal Service's Executive Administrative Service (EAS). EAS employees at level 22 compare roughly to federal GS employees from grade 11, step 6 to grade 14, step 3.
[d]Percentages may not add to 100 because of rounding.

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Mr. DAVIS OF ILLINOIS. Thank you very much. We will proceed right to Ms. Kichak.

STATEMENT OF NANCY KICHAK

Ms. KICHAK. Thank you. Thank you for inviting me here today to discuss diversity in the leadership ranks of the Federal Government, including the Senior Executive Service.

The mission of the Office of Personnel Management is to ensure that the Federal Government has an effective civilian work force. President Bush and all of us at OPM wholeheartedly share your goal of building a Federal work force that draws on the strengths of America's diversity. Under the leadership of Director Linda Springer, OPM has expanded its efforts to reach the broadest possible pool of applicants for Federal jobs. We are committed to the merit system principles and ensuring that all Americans receive equal access to Federal employment opportunity, not only in the Senior Executive Service but at all levels of the Federal work force.

OPM has been vigorous in its efforts to promote Federal employment widely, including in areas with diverse populations of potential applicants. Our outreach has included Federal career days and job fairs at universities and community colleges which were targeted for their potential to help us build a highly qualified applicant pool that draws on America's diversity.

OPM launched a television ad campaign to spark interest in Federal employment. We aired these ads in targeted markets where we believe there is likely to be an ample supply of individuals who have the qualification, skills, and experience the Federal Government needs in its work force. The ads, entitled, What Did You Do at Your Job Today, have had a strong impact in raising awareness of and generating interest in the array of important and rewarding careers in the Federal Government. In addition to helping recruit new talent, the ads have showcased the impressive variety of public services provided by Federal employees every day.

These outreach initiatives are designed to address the increasing numbers of Federal employees becoming eligible for retirement in the next few years. Succession planning is a crucial element in the development of a strong cadre of senior executives and candidate development programs are a recommended part of agency leadership succession plans.

These programs must address the executive core qualifications, which include a desirable competency for fostering an inclusive workplace where diversity and individual differences are valued.

OPM initiated a Federal candidate development program in 2005 to provide opportunities to a broad audience for development and possible placement in the SES. We plan to administer the program again and will introduce efficiencies while still reaching out to the broadest audience.

There is also a diversity component in our broader assessment of agencies' human capital management practices. Agencies receive either red, yellow, or green scores based on the standards for success described in OPM's human capital assessment and accountability framework. Diversity is an important element in this analysis. Overall, agencies have scored well on these items by developing

strategies for sustaining diversity and implementing outreach and other activities designed to broaden their applicant pools.

Under section 7201 of Title V of the U.S. Code, OPM is required to report to Congress on an annual basis with respect to minority representation in the Federal Government in relation to the overall civilian labor force. Our most recent report, which was submitted to Congress and to your subcommittee in January of this year, was submitted in January of this year.

The report shows that the Federal Government continues to be a leader in employing minorities. Specifically, the latest data shows overall increases in minority representation between 2005 and 2006, with minority groups better represented in the Federal work force than the civilian labor force.

In conclusion, I want to assure you that OPM will continue its efforts to ensure our Government has an effective civilian work force that is highly qualified, citizen centered, and results driven. We must continue to focus on the need to develop and recruit a senior executive corps and the employees they lead from all sources of potential talent and to continue to draw on the strength of our Nation's broad diversity.

I will be happy to answer any questions. Thank you.

[The prepared statement of Ms. Kichak follows:]

STATEMENT OF
NANCY H. KICHAK
ASSOCIATE DIRECTOR FOR STRATEGIC HUMAN RESOURCES POLICY
OFFICE OF PERSONNEL MANAGEMENT

before the

SUBCOMMITTEE ON FEDERAL WORKFORCE, POSTAL SERVICE, AND THE DISTRICT OF COLUMBIA
COMMITTEE ON OVERSIGHT AND GOVERNMENT REFORM
U.S. HOUSE OF REPRESENTATIVES

on

DIVERSITY IN THE SENIOR EXECUTIVE SERVICE

MAY 10, 2007

Mr. Chairman and Members of the Subcommittee:

Thank you for inviting me here today to discuss diversity in the leadership ranks of the Federal Government, including the Senior Executive Service. The mission of the Office of Personnel Management (OPM) is to ensure that the Federal Government has an effective civilian workforce. President Bush and all of us at OPM wholeheartedly share your goal of building a Federal workforce that draws on the strengths of America's diversity. Under the leadership of OPM Director Linda Springer during the last two years, OPM has expanded its efforts to reach the broadest possible pool of applicants for Federal jobs.

We are committed to the merit system principles and ensuring that all Americans receive equal access to Federal employment opportunities and fair evaluation of their knowledge, skills, and abilities, not only in the Senior Executive Service (SES), but at all levels of the Federal workforce. Many of our future leaders in the SES are already serving as employees and managers in the Federal Government in lower-level non-SES positions. It is important for Federal agencies to continue their efforts to develop these future leaders through leadership training and succession planning programs. And this reality underscores the fact that Federal agencies should be looking both outward and inward as part of their SES recruitment efforts.

We believe OPM has been vigorous in its efforts to promote Federal employment widely, including in areas with diverse populations of potential applicants. Our outreach has included support for Federal career days and job fairs at universities which were targeted for their potential to help us build a highly qualified and diverse applicant pipeline. We also target community colleges, which traditionally have had stronger ties to their local

communities. Community colleges also can be a vital source of qualified candidates for building a workforce that draws on America's diversity.

As part of our effort to cast the widest possible net, OPM also launched a television ad campaign last year to spark interest in Federal employment. We aired these ads in targeted markets where we believe there is likely to be an ample supply of individuals who have the qualifications, skills, and experience the Federal Government needs in its workforce. We have seen a consistent spike in visits to our USAJOBS web site after the ads have aired. The ads have had a strong impact in raising awareness of, and generating interest in, the array of important and rewarding careers in the Federal Government. In addition to helping recruit new talent, the ads have showcased the impressive variety of public services provided by Federal employees every day. The series of ads, entitled "What Did You Do at Your Job Today?," have been aired in 17 markets, including El Paso and Waco, Texas; Las Cruces, New Mexico; Champaign, Illinois; Raleigh, North Carolina; Biloxi and Gulfport, Mississippi; Greenville and Spartanburg, South Carolina; Rochester, New York; Pittsburgh; Kansas City; Spokane, Washington; and other cities. The ads feature Federal employees drawn from a wide variety of professions and agencies.

These outreach initiatives are part of a larger long-term effort designed to address the increasing numbers of Federal employees becoming eligible for retirement in the next few years. Succession planning is a crucial element of OPM's efforts to develop a strong cadre of senior executives, as well as to build and maintain an effective workforce at all levels. Major departments and agencies are required, under the Human Capital Scorecard in the President's Management Agenda, to put in place an approved leadership succession plan and to meet the plan's milestones and targets. Candidate development programs are a recommended part of agency leadership succession plans. These programs must address the Executive Core Qualifications (ECQs) that OPM has identified as critical for assessing and developing future leaders. The ECQs include fostering an inclusive workplace where diversity and individual differences are valued.

OPM has also provided agencies with a tool to assist them in developing and implementing leadership succession plans. This Strategic Leadership Succession Management Model is based in part on an understanding that effective leadership succession planning must be fully integrated into an agency's organizational culture. The OPM model shows agencies how to integrate diversity values into their strategic leadership succession planning.

In addition to the Human Capital Scorecard's requirements for succession planning, there is also a diversity component in our broader assessment of agencies' human capital management practices. The red, yellow, and green scores agencies receive are based on the Standards for Success described in OPM's Human Capital Assessment and Accountability Framework (HCAAF). Diversity is an important element in this framework. Overall, agencies have scored well on these scorecard items, by developing strategies for sustaining diversity and implementing outreach and other activities designed to broaden their applicant pools.

As you know, OPM also initiated a Federal Candidate Development Program (FedCDP) in 2005 to provide opportunities to a broad audience for development and possible placement into the SES. The initial result of the first program was the placement of eight individuals in SES positions. We plan to administer the program again and will introduce some efficiencies while still reaching out to the broadest Governmentwide audience. OPM will continue to explore with agencies the best approaches for developing future leaders and potential candidates for the SES.

Mr. Chairman, let me take a brief moment to also address the latest Government-wide data on minority representation in the Federal Government. As you know, under Section 7201 of title 5, United States Code, OPM is required to report to Congress on an annual basis with respect to minority representation in the Federal Government in relation to the overall Civilian Labor Force. Our most recent report was submitted to the Congress, and to your subcommittee, in January of this year. We believe the report shows that the Federal Government continues to be a leader in employing minorities. Specifically, the latest data shows overall increases in minority representation between 2005 and 2006, with minority groups better represented in the Federal Workforce than the Civilian Labor Force.

In conclusion, I want to assure you that OPM will continue its efforts in the areas I have described. In accomplishing OPM's mission to ensure our Government has an effective Federal civilian workforce, we need to make sure that workforce is highly qualified, citizen centered, and results driven. If we are to succeed, we must continue to focus on the need to develop and recruit a senior executive corps, and in doing so, we must look for all sources of potential talent and continue to draw on the strength of our nation's broad diversity.

I would be happy to respond to whatever questions you may have.

Mr. DAVIS OF ILLINOIS. Thank you very much. We will go right to Mr. Hadden.

STATEMENT OF CARLTON HADDEN

Mr. HADDEN. Good afternoon, Mr. Chairman and members of the subcommittee. I appreciate this opportunity to appear before you on behalf of Naomi C. Earp, Chair of the U.S. Equal Employment Opportunity Commission. I am Carlton Hadden, Director of EEOC's Office of Federal Operations.

When I last testified before this committee in 2003, I announced the roll-out of EEOC's new guidance for Federal agencies, which we call EEO-MD–715. This directive strongly emphasizes that equality of opportunity for all in the Federal workplace is key to attracting, developing, and retaining top quality employees. The directive requires agencies to systematically and regularly examine their employment policies and practices, to identify and remove barriers to free and open workplace competition. Plans for addressing barriers must be developed by agencies, and progress toward removing those barriers is monitored by EEOC.

MD–715 is an important tool to assist agencies in changing past trends in order to promote greater diversity in the SES. Federal agencies must ensure that its employees, including those at the senior level, are drawn from all segments of society after fair and open competition. Selection, advancement, and all other employment decisions must be based solely on merit to ensure that all receive equal opportunity and to maximize the probability of selecting those with the best skills to do the job.

In its 2003 study, GAO found that the vast majority of replacements for departing SES members come from the ranks of Federal employees of the GS–15 and 14 levels; therefore, EEOC believes that it will be critical for agencies to pay special attention to potential barriers to entry into those successor pools of GS–15s and 14s, with the focus on those positions that typically lead to senior-level management.

In addition, potential barriers should be examined in training and other development opportunities that increase qualifications for future SES positions. Also, as future SES positions may be filled by candidates moving from the private industry rather than the Federal ranks, potential barriers in areas like executive recruitment efforts should also be examined.

Each year EEOC thoroughly reviews agencies' self-analysis of their work forces and offers critical comments and technical assistance to agencies to help them to identify barriers, including those in the SES.

EEOC staff has noticed that this tenor of assistance requested and questions asked by agencies has changed since the introduction of 715. As agencies have become more comfortable with the concept and practice of work force self-analysis, inquiries have moved from simple counting and numbers questions to more sophisticated questions on statistical analysis and barrier removal. As the questions have become more sophisticated, the answers to removing barriers have become more creative.

We will not rest until agencies fully identify all those barriers in their workplaces and eliminate them to create an inclusive work

environment in which the talents and energies of all individuals are valued, respected, and fully utilized.

One of the EEOC's latest initiatives is the EEOC fellows program. This program will provide an opportunity for Federal employees, university professors, and graduate students interested in equal opportunity, public administration, economics, employment law, statistics, and other relevant fields to participate in research and projects related to eliminating discrimination in the Federal Government.

EEOC plans to use the fellows program to enhance our analytical ability by tapping into the network of experts and academicians. As an example, EEOC plans to recruit labor economists to the fellows program to provide more in-depth analysis of MD–715 work force data, such as discerning trends and other longitudinal studies. This will assist EEOC in identifying trends and issues such as the SES issue that we are discussing today, and will assist EEOC in taking a proactive role in preventing discrimination and increasing diversity.

Thank you.

[The prepared statement of Mr. Hadden follows:]

STATEMENT OF
CARLTON M. HADDEN, DIRECTOR
OFFICE OF FEDERAL OPERATIONS
U.S. EQUAL EMPLOYMENT OPPORTUNITY COMMISSION

BEFORE THE
SUBCOMMITTEE ON FEDERAL WORKFORCE,
POSTAL SERVICE AND DISTRICT OF COLUMBIA
COMMITTEE ON OVERSIGHT AND GOVERNMENT REFORM
US. HOUSE OF REPRESENTATIVES

May 10, 2007

Good morning Mr. Chairman and Members of the Subcommittee. I appreciate the opportunity to appear before you today on behalf of Naomi C. Earp, Chair of the U.S. Equal Employment Opportunity Commission (EEOC). I am Carlton M. Hadden, Director of EEOC's Office of Federal Operations.

EEOC Management Directive 715

When I last testified before this subcommittee in 2003 I was pleased to announce the roll out of EEOC's new guidance document for federal agencies, EEO-MD-715. This Directive provides more comprehensive guidance than earlier EEOC management directives. This Directive strongly emphasizes that equality of opportunity for all in the federal workplace is key to attracting, developing and retaining top-quality employees who can deliver results and ensure our nation's continued security, growth and prosperity. The Directive requires federal agencies systematically and regularly to examine their

employment policies and practices to identify and remove barriers to free and open workplace competition. Plans for addressing barriers must be developed by agencies and progress towards removing barriers is monitored by EEOC. The full text of EEO-MD-715 is available on EEOC's website at www.eeoc.gov.

Model EEO Program Elements

An important component of MD-715 is its "Essential Elements" for structuring model EEO programs at federal agencies. EEOC believes that attainment of a model EEO program at an agency will provide the infrastructure necessary for an agency to achieve the ultimate goal of a discrimination-free work environment. In brief, the six elements identified as necessary for a model EEO program are:

- Demonstrated commitment from agency leadership;
- Integration of EEO into the agency's strategic mission;
- Management and program accountability;
- Proactive prevention of unlawful discrimination;
- Efficiency; and,
- Responsiveness and legal compliance.

To achieve a model program, the Directive requires federal agencies to integrate access, inclusion and equality of opportunity into all aspects of their missions and align equal opportunity principles with strategic agency plans and objectives. The Directive also requires agencies to conduct periodic self-assessments of their Title VII and

Rehabilitation Act programs against the six model elements. EEOC provides feedback to agencies' action plans, that identify areas in which their programs need improvement.

EEOC Data on Federal Senior Pay Levels

Each year EEOC publishes an annual report with workforce information from federal agencies. EEOC obtains information for this report from OPM's Central Personnel Data File. In this report EEOC provides data for the category of Senior Pay Level positions, which is a broader category than SES positions in that it includes the SES, Executive Schedule Positions, Administrative Law Judges, Members of Boards of Contract Appeals, Senior Level Scientific or Professional Positions, and Senior Foreign Service Positions. Attached to my statement today are three charts: the first showing data for SES positions, a second showing data for pay levels comparable to the SES at the United States Postal Service, and a third showing data for federal agency Senior Pay Level positions. Each chart shows the respective positions broken out by race, national origin and gender for FY2004-2006.

GAO's 2003 report estimated that more than half of the career SES members employed on October 1, 2000 would leave service by October, 1, 2007, and that, using SES appointment trends from fiscal years 1995 to 2000, the only significant changes in diversity would be an increase in the number of white women and an essentially equal decrease in white men. GAO reported that on October 1, 2000, White men constituted 67% of the SES, White women constituted 19%, and minority men and women

constituted about 14%. More recent SES data EEOC obtained from OPM show that for FY2006 white males held 62.2% of SES positions. White women held 22.3% of SES positions in FY2006. All other EEO groups held 15.5% of SES positions in FY2006, up from the figure of less than 14% cited in the GAO study in 2003. The increase in the participation rate for the other EEO Groups, though modest, probably reflects efforts to increase diversity in the SES ranks, but clearly additional efforts need to be made. Data on Senior Pay Level does not reflect significantly different proportions from SES data, but we note that the number of positions in the SPL category is increasing. EEOC would like to conduct more extensive analysis on this category and on other data on federal agency workforces through the new EEOC Fellows program, which I will describe further in a moment. It should also be noted that persons with targeted disabilities held only 0.43% of SES positions in 2006 and only 0.46% of Senior Pay Level positions. EEOC is addressing this issue through a special project called LEAD in coordination with OPM which I will discuss later in my testimony.

How MD-715 Can Help Change Past Trends

The crux of the issue raised by the GAO report is whether past appointment trends of selection into the SES will remain the constant. MD-715 is an important tool to assist agencies in changing past trends in order to promote greater diversity in the SES. Federal agencies must ensure that federal employees, including those at the senior level, are drawn from all segments of society after fair and open competition. Selection, advancement and all other employment decisions must be based solely on merit to ensure

that all receive equal opportunity and to maximize the probability of selecting those with the best skills to do the job. In addition, agencies must maintain an inclusive work environment in which the talents and energy of all individuals are valued, respected and fully utilized.

In its 2003 study, GAO found that the "vast majority of replacements" for departing SES members come from the ranks of federal employees at the GS-15 and 14 levels. Therefore, EEOC believes that it will be critical for agencies to pay special attention to potential barriers to entry into these successor pools of GS-15s and 14s, with a focus on those positions that typically lead to senior level management. In addition, potential barriers should be examined in training and other developmental opportunities that increase qualifications for future SES positions. Finally, as future SES positions may also be filled by candidates moving from private industry rather than from the federal ranks, potential barriers in areas like executive recruitment efforts also should be examined.

EEOC's Early Experience in Reviewing Agency MD-715 Submissions

Because instructions for the guidance were not yet ready when the Commission approved MD-715, EEOC staff provided agencies with additional time in FY2003 to submit workforce reports. The Commission used that time to prepare the instructions to accompany MD-715. These instructions were issued in 2004 and are available for review on EEOC's website. EEOC has provided extensive training to federal agencies on the

new instructions. Agencies submitted their first MD-715 reports covering FY2004 in January 2005 and their second-year reports covering FY2005 in January of FY2006. Reports covering FY2006 have been coming in over the last few months. In their annual submissions, agencies provide information about workforce data broken out by race, national origin, gender and other categories. Thus EEOC now has three years of data for many agencies from this new Directive.

In reviewing federal agency MD-715 submissions over the last three years EEOC has found that, particularly in FY2004 and 2005 submissions, most agencies were able to identify when certain EEO groups had participation rates below availability. Even in MD 715's infancy, however, EEOC has found it to be a helpful tool to analyze diversity in the SES ranks. EEOC's review of MD 715 submissions revealed that over the last three years, approximately one-third of the reporting agencies and components have examined their workforce environment for barriers facing minorities attempting to enter the GS-14 and GS-15 feeder groups.

The most commonly identified barriers to full participation were advanced degree requirements; geographic location/undesirability of facilities; limited opportunities for recruitment/hiring; lack of career ladder positions; and lack of career development programs. Despite some of those barriers, some agencies have reported an increase in the diversity of the GS-14/15 feeder groups: of those agencies that reported on that issue, approximately 57% reported increased diversity in GS-14 and/or 15 positions and approximately 43% reported no increased diversity in those groups.

Each year EEOC thoroughly reviews agencies' self-analyses of their workforces and offers critical comments and technical assistance to agencies to help them to identify barriers, including those in the SES. EEOC feedback and technical assistance on MD-715 has taken many forms. For example, since the beginning of fiscal year 2005, EEOC staff has made 206 in person technical assistance visits to various agencies and subcomponents, responded to telephone requests for technical assistance, and responded via email to agency questions on MD-715. Interestingly, EEOC staff analysts have noticed that the tenor of assistance requested and questions asked has changed over the last three years: As agencies have become more comfortable with the concept and practice of workforce self-analysis, inquiries have moved from simple counting/numbers questions to more sophisticated questions on statistical analysis and barrier removal. And as the questions have become more sophisticated, the answers to removing barriers have become more creative.

As noted above, in addition to providing training and technical assistance, EEOC reviews each reporting agency or subcomponent's yearly MD-715 submission and provides written feedback. Mindful of the GAO report on the Senior Executive Service and that MD-715 provides one avenue for the government to affect SES diversity, EEOC has reviewed and highlighted agencies' progress in that regard in a number of its feedback letters. Examples include the following:

- In its 2005 report, the Army submitted a plan to eliminate a barrier to the participation of White women, Blacks, Hispanics, and Pacific Islander women in

certain grades and career programs. EEOC recommended the Army also focus its examination on possible barriers to low participation rates of these groups in Senior and Executive pay plans.

- In its 2005 submission, the U.S. Postal Service (USPS) recognized the need to develop employees to replace those in more senior level positions who will be retiring over the next few years. USPS identified the lack of a self-nominating process as a barrier to equal access in training and development opportunities. USPS also identified inadequate feeder pools as a barrier. EEOC recommended to USPS that it conduct further analysis into the specific causes of the feeder pool inadequacies and develop plans to address them.
- In its 2005 report, the Social Security Administration (SSA) identified a barrier to the participation of Hispanic employees in grade levels GS-12 through SES. Upon investigation, SSA determined that most of the senior level positions were located in headquarters while the majority of Hispanic employees worked in field offices. The agency therefore undertook recruitment efforts better aimed at reaching qualified Hispanic applicants for positions in all grades and is testing the feasibility of expanding the area of consideration for headquarters vacancies to qualified employees in SSA field offices. EEOC noted that the availability of applicant flow data (the collection of which SSA is piloting in two regions) should prove to be a valuable tool to assess potential barriers and formulate plans to eliminate any such barriers.
- In the National Aeronautical and Space Administration's (NASA) FY 2005 report, the agency identified a barrier to the participation of all women as

well as Hispanic, Black, and Asian-American/Pacific Islander men in its senior level (GS 14, 15, and SES) positions. Upon investigation, NASA determined that it tended to fill those positions internally, from an applicant pool which also had a low participation rate for these EEO groups. Based on this finding, NASA took steps to increase the participation of these EEO groups from the talent pool. EEOC's analysis revealed slight increases in the number and rate of participation at the GS-14 level for Hispanic, White, Black, and Asian-American/Pacific Islander females as well as Black males; for Hispanic males along with White and Black females at grade level 15; and for White and Black females at the Senior Executive Level. As a result of its analysis, EEOC suggested that NASA also examine a possible barrier to the retention of White, Black, and American-Indian/Alaska Native (AI/AN) males as well as Hispanic and AI/AN females because the data reflected that these groups of employees separated from NASA's workforce at rates above their rates of participation in the agency's total workforce.

Federal agencies have a great tool in MD-715. The guidance offers a step-by-step approach by which agencies can conduct a self-analysis, but agencies must be willing to use it. Supreme Court decisions have ruled that agencies cannot simply "hire by numbers to increase participation rates of certain EEO groups." Instead, the use of self-analysis is an accepted and legal method to uncover and eliminate barriers to equal employment opportunity. We will not rest until agencies fully identify all these barriers in their

workplaces and eliminate them to create an inclusive work environment in which the talents and energy of all individuals are valued, respected and fully utilized.

Relationship Management Initiative

Along with the release of MD-715, OFO embraced organizational transformation to better deliver services to its federal sector customers. OFO changed from a reactive, process-oriented organization to one that emphasizes consultation with agencies to enable them to achieve a barrier-free workplace. This proactive stance enables OFO to assist agencies in focusing on the identification of problems before they escalate, as well as providing them recommendations and practices which will enable them to prevent discrimination.

A key strategy OFO employs to be more responsive to our federal sector customers is utilization of our recently created Relationship Management project. This project, modeled after the private sector's approach to customer service, brings OFO personnel together with EEO staff from agencies in non-adversarial partnerships to examine methods of helping these agencies foster an inclusive work culture and successfully implement the essential attributes of MD-715's Model EEO Program. The EEOC Relationship Management project has several goals. These include:

- Improving customer service and relationships between EEOC and agencies;

- Helping agencies achieve a model EEO program in the context of MD-715;
- Addressing specific agency needs; and
- Changing the way OFO staff interacts to provide technical assistance to agencies.

The application of the strategies and tools developed from these experiences places OFO in a better position to establish a customer-centered organization that can deliver relevant information and solutions to federal agencies.

Revolving Fund Training

In addition, through our Revolving Fund, EEOC develops and delivers training to federal agencies and other interested parties on a wide variety of federal sector non-discrimination issues. For example, since the summer of 2004, OFO has conducted 71 training sessions on MD-715 at numerous agencies and has provided workshops at a series of national training conferences, including the Federal Dispute Resolution Conference, Blacks in Government National Training Conference, Federally Employed Women National Training Conference, Federal Asian Pacific American Council National Training Conference, the National Image Conference, and EEOC's EXCEL Conference. The topics covered at these training and workshop sessions ranged from basic implementation of MD-715's reporting requirements to a more sophisticated two day course on barrier analysis. Additionally, EEOC currently is undergoing several reviews

of the complaint process itself to determine if it can be streamlined and made more responsive.

EEOC Fellows

EEOC is also taking steps to provide opportunities for Federal employees, university professors, and graduate students interested in equal opportunity, public administration, economics, employment law, statistics, and other relevant fields, to participate in research and projects related to discrimination and fair and inclusive workplaces in the federal government. Participants, who will be selected on a competitively basis, will share their knowledge as well as gain a broader understanding of, and contribute to, EEOC's vision and mission while strengthening partnerships in the Federal and educational community.

We will recruit three types of fellows: Distinguished Fellows, Meritorious Fellows, and Exchange Fellows. Distinguished Fellows are GS-14s and above or equivalents in the academic community interested in assignments of six months or more; Meritorious Fellows are GS-13s and below and equivalents in the academic community interested in assignments of less than six months; and Exchange fellows are EEOC employees and other Federal employees interested in exchanging jobs based on mutual agreement.

OFO plans to use these Fellows to enhance our analytical ability in the area of federal sector oversight activity. As an example, OFO plans to recruit Labor Economists as Fellows to provide more analysis of MD-715 work force data, such as discerning trends and other longitudinal studies. OFO believes this will assist EEOC in identifying trends and issues such as the SES issue we are discussing today and, hopefully will assist EEOC in taking a proactive role in preventing discrimination and increasing diversity.

Project LEAD

To address the declining number of employees with targeted disabilities in the federal workforce, EEOC has initiated project LEAD (Leadership for the Employment of Americans With Disabilities). Led by EEOC Commissioner Christine Griffin, the over-arching goal for this initiative is to significantly increase the population of individuals with disabilities employed by the federal government. This national outreach and education campaign is designed to:

- increase the awareness of hiring officials about the declining numbers of people with disabilities in federal employment;
- reverse the trend of decreasing participation in federal employment ;
- educate federal hiring officials about how to use special hiring authorities to bring people with disabilities on board, particularly those with severe disabilities;
- educate applicants with severe disabilities about how to apply using the special hiring authorities available; and
- provide information to assist employers with reasonable accommodations.

The LEAD Initiative includes Educational Events and Seminars and Focus Group Sessions with federal managers, hiring officials and other interested parties to explore the issue of declining employment for individuals with severe disabilities, and come up with concrete solutions to address the problem.

Thank you. I will be glad to answer any questions you may have.

Mr. DAVIS OF ILLINOIS. Thank all three of you very much.

Our normal process is to have rounds of 5 minutes of questions. Of course, given the fact that nobody is here but me, I may end up taking somebody else's round, but let me begin.

Mr. Hadden, let me ask you, to what extent are females and minorities represented on the EEOC's Executive Review Board which makes the decisions on promotions to career SES, and what can be done to make sure that diverse representations on these boards exist Government-wide?

Mr. HADDEN. Mr. Chairman, I want to try to understand the question. You are talking about EEOC's internal operations?

Mr. DAVIS OF ILLINOIS. Yes, on the Executive Review Board at the EEOC.

Mr. HADDEN. I am going to have to get back to you on that. I can talk about the PRB Board, but I am not sure about the ERB Board.

Mr. DAVIS OF ILLINOIS. All right. So if you could get that answer for us, we would appreciate it.

[The information referred to follows:]

Hearing on Ensuring Diversity at the Senior Levels of the Federal Government and the U.S. Postal Service

Thursday, May 10, 2007

Submitted by

Carlton Hadden
Equal Employment Opportunity Commission

Insert for the Hearing Record

The Executive Review Board of the EEOC is composed of five members:

Four are male (Chair, Vice Chair and two members). One is female (Member). The composition includes two members of an ethnic or racial minority.

* * *

Mr. DAVIS OF ILLINOIS. You mentioned barrier removal. Could you share with us what some of the barriers are regarding participation of women and minorities in the SES that agencies have identified in their management directive 715 submissions, and what steps have agencies reported taking to address these barriers?

Mr. HADDEN. There is a wide range of barriers which agencies have identified as barriers for women and for minorities in the SES, and what we ask agencies to do is to look at their individual situation. For example, a barrier could constitute how announcements are certainly shared, but also, more critically, how developmental opportunities are announced. Looking at positions in the 15 and 14 level, how opportunities to develop into those SES positions are announced. That is one barrier that agencies have identified.

And then in my testimony I identified agency specifically some of the examples that we have encountered and successes that agencies have encountered in addressing those barriers.

Mr. DAVIS OF ILLINOIS. Does the EEO have any plans to make any recommendations regarding removal or regarding better dissemination of information?

Mr. HADDEN. What we are planning is we are planning to publish a report of best practices and share with the Federal community what agencies are doing to implement 715, and, in particular, you know, one area that we need and will focus on are looking at the SES levels. That will be available on our website.

Mr. DAVIS OF ILLINOIS. Thank you very much.

Ms. Kichak, let me ask you how does the OPM assess the diversity of the SES service at each agency and the efforts of that agency to improve?

Ms. KICHAK. Our role, particularly through our score card, is to see that the agencies have policies in place or they have programs in place that will seek to find candidates across a diverse pool. We are looking for strong recruiting. So we are not evaluating the SES makeup along these lines; what we are evaluating is their programs to attract people to the Federal work force, including the SES.

Mr. DAVIS OF ILLINOIS. This is kind of a long set of data, that I am going to mention, but according to the central personnel data file, as of September 2006, the percentage of women in the career SES Government-wide was 28.4 percent and the percentage of minorities was 15.9 percent. Of these, African Americans constituted 8.6 percent, Hispanics 3.6 percent, Asian American/Pacific Islanders 2.3 percent, and American Indian/Alaska Natives 1.3 percent. While the representation of women has increased by about 5 percent and minorities by about 2 percent since 2000, the representation of African Americans and American Indian/Alaska Natives in the career SES has remained largely the same, and the representation of Asian American/Pacific Islanders has decreased.

Has OPM seen any particular need? One of the criticisms of affirmative action programs and the ideas around them is that they have significantly, in some instances, benefited white women, but other minority groups have not benefited to the same extent. Do you see any particular needs with the other groups that are coming up short?

Ms. KICHAK. First of all, our data from the CPF, but it was a different time period, shows growth in total for minorities in the SES over the last year, so I don't think our data is contradicting each other. There has been growth. But the minority representation in the SES is certainly lower than in the civilian labor force.

Mr. DAVIS OF ILLINOIS. I don't know how you separate the question of minorities, but the growth among African American, Alaska Natives/Pacific Islanders has been slower or lower than that for white women?

Ms. KICHAK. As far as women are concerned, there is a larger percentage of women in the work force to draw from. It is close to 50 percent. So there is a bigger pool to pull from. Then, if you start to look at other minorities such as African Americans, that ratio in the civilian labor force, I believe, is around 10.5 percent. I don't have the numbers exactly. But it is harder to increase when you have a smaller pool to deal from proportionately. But those are numbers.

We feel that it is very important to keep reaching out. We have looked at the representation, as has been discussed by both of the witnesses today, in the 13 to 15 range, which is where our SESers come from. We feel that it is important to continue to reach out and to broaden the pool of people so that we have more folks to choose from in the SES. That is why we work very hard in succession planning to get more people competent to step into these jobs. That is why we have the outreach programs that we do, the ads, the awareness, so that we can create this big applicant pool and continue to draw from the broad diversity and bring additional people into the SES.

Mr. DAVIS OF ILLINOIS. I think that makes a great deal of sense. You are saying that one of the ways to increase the opportunities for growth at the level of the SES is to increase the pool of applicants below.

Ms. KICHAK. Right.

Mr. DAVIS OF ILLINOIS. Therefore, you have more people in the pool.

Ms. KICHAK. Yes.

Mr. DAVIS OF ILLINOIS. Well, thank you very much.

Since Mr. Sarbanes has joined us, I am going to ask if he has some questions. I would just yield to him at this moment.

Mr. SARBANES. I have no questions at this time, Mr. Chairman.

Mr. DAVIS OF ILLINOIS. All right. Then I have one additional question to Mr. Stalcup.

In the research that you performed for the Government Accountability Office, have you come across any incentive programs across the Federal Government that encourage senior managers or hold managers accountable for diversity in any kind of way?

Mr. STALCUP. Thank you, Mr. Chairman.

We have done a lot of work that has provided a broad focus on the whole initiative of holding leaders accountable. We have identified some examples at agencies where these efforts are underway, but we have not done as much work or much work at all on the results of those efforts.

We did issue a report in 2005 that discussed leading diversity management practices. One of those key practices was accountabil-

ity, and specifically by that we meant that leaders are being held responsible for diversity by linking their performance and assessment and compensation, to the progress on the diversity initiatives within their organization. An example in that report talked about how NIH was making progress along those lines.

In one other report in 2004 we talked about the experiences of four agencies in trying to inject more accountability at the senior levels in terms of performance assessments and in terms of compensation. Those agencies involved were NASA, HHS, the Center for Disease Control, and Education.

Again, we have had a lot to say about the importance of the initiative that you base your question on. We have not done much in terms of how well agencies or how effectively those managers are, in fact, being held accountable in the end.

Mr. DAVIS OF ILLINOIS. Thank you very much. I want to thank all three of you. You have been very helpful, and we certainly appreciate your coming and sharing testimony with the subcommittee. Thank you.

We will now move to the second panel and ask Ms. Gail Lovelace, Ms. Vickers Meadows, Dr. Reginald Wells, and Ms. Susan LaChance if you would come and take a seat.

Ms. Gail Lovelace was named the Federal Government's first Chief People Officer on September 1, 1998. In 2003, she was appointed to be the GSA's Chief Human Capital Officer in accordance with the HCO Act of 2002. In these capacities, Ms. Lovelace is responsible for agency-wide human capital management and has three closely interrelated programs. She leads the agency-wide development and implementation of GSA's human capital strategic plan, provides a full range of human resources advice and services to all GSA organizations, and provides human resources information technology support for a number of other Federal agencies, boards, and commissions, in addition to providing the same support within GSA.

Ms. Vickers Meadows serves as Chief Administrative Officer since May 2005 for the U.S. Patent and Trademark Office, a performance-based agency within the Department of Commerce. As the CAO, Ms. Meadows is responsible for the USPTO's human capital management, civil rights, and corporate services programs. Ms. Meadows is leading the effort to build strong human capital strategies and programs for the USPTO, focusing on expanding tele-work programs, internal communications, hiring, recruitment, and retention.

Dr. Reginald Wells was named Deputy Commissioner of the Social Security Administration [SSA], Office of Human Resources effective July 15, 2002, after serving short tenures as Deputy Association Commissioner for Disability Program Policy and Senior Advisor in the Office of Disability and Income Security Programs. Dr. Wells also serves as the Chief Human Capital Officer for SSA. In his capacity as Deputy Commissioner for Human Resources, Dr. Wells oversees a staff complement of 400 employees, with an operating budget of $100 million.

Ms. Susan LaChance was named vice president of Employee Development and Diversity for the U.S. Postal Service in May 2005. In this role, Ms. LaChance reports to the Chief Human Resources

Officer and executive vice president and is responsible for employee and leadership development, succession planning, equal opportunity, equal employment opportunity, and diversity initiatives.

Let me thank all four of you for being here. Of course, it is the policy that all witnesses are sworn in, so if you would stand and raise your right hands.

[Witnesses sworn.]

Mr. DAVIS OF ILLINOIS. The record will show that each witness answered in the affirmative.

Let me thank you very much. Of course, your entire statement will be in the record. We ask that you summarize your presentation into 5 minutes. We all know the meaning of the green light simply means go, the yellow light means you are just about there, and, of course, the red light means stop.

We will begin with Ms. Lovelace.

Thank you all so much.

STATEMENTS OF GAIL LOVELACE, CHIEF HUMAN CAPITAL OFFICER, GENERAL SERVICES ADMINISTRATION; VICKERS MEADOWS, CHIEF ADMINISTRATION OFFICER, U.S. PATENT AND TRADEMARK OFFICE; REGINALD WELLS, DEPUTY COMMISSIONER, SOCIAL SECURITY ADMINISTRATION; AND SUSAN LACHANCE, VICE PRESIDENT OF EMPLOYEE DEVELOPMENT AND DIVERSITY, U.S. POSTAL SERVICE

STATEMENT OF GAIL LOVELACE

Ms. LOVELACE. Good afternoon, Chairman Davis and members of the subcommittee. I appreciate the opportunity to be here with you today on behalf of the General Services Administration.

Since its establishment in 1949, GSA has served as the Federal Government's premier acquisition agency. During the 1970's, almost 40,000 employees worked at GSA. Today, we are an organization of 12,000 that relies on a highly competent and engaged work force to accomplish its mission. We strive to ensure that all GSA employees receive training and development, performance feedback, leadership support, and guidance in a supportive work environment to foster and engage a highly productive work force. That is evident in the fact that GSA was just recently named as one of the best places to work in the Federal Government for the third consecutive rating period.

In their 2003 report, GAO warned of the impacts of an aging work force, particularly in the SES. Specifically, they stated that more than half of the career SES members that were employed on October 2000 will have left service by October 1, 2007. In this report they also estimated by the start of fiscal year 2008 GSA's percentage of women members in the SES would increase from 28.6 to 32.9, and that the percentage of racial and ethnic minorities would decrease from 14.3 to 12.9.

As of April 15th of this year, the numbers estimated by GAO for GSA are close. We currently have 83 members on board, 27 percent female and 13 percent minority.

The GAO report further suggested that the wave of near-term retirements and other attrition will provide the Federal Government with both a challenge and an opportunity. We, wholeheartedly con-

cur with this finding, particularly as we face 31 current vacancies, or 27 percent of our current SES work force, and we expect that SES members will continue to leave the agency.

In response to the President's management agenda and the strategic management of human capital, GSA has established a comprehensive human capital strategic plan that provides a well-rounded framework to evaluate and continually improve human capital programs, processes, and operations.

Improving work force recruitment, executive leadership, and diversity are three of our seven human capital goals. It is GSA's goal to ensure that we have a diverse work force that reflects society, not only in the SES but across the agency. We do believe our work force is diverse. Woman comprise 49 percent of the work force. Our work force representation among all groups is high in comparison to the civilian labor force statistics, except for our Hispanic work force.

In terms of the SES, GSA has allocated 114 positions. As of April 15th, 83 of them are filled, leaving 31 vacancies. Currently, 27 percent are women, 13 percent are minority.

GSA's ability to hire new members was impacted by changes in the organization, much of which is outlined in the statement for the record.

At the same time, GSA has been undergoing significant organizational change. All of this has impacted our ability to fill some of our positions.

During the current fiscal year, our efforts in increasing diversity within the SES have been nominally successful, as 36 percent of our new hires have been female and 9 percent minority.

At the GS–14 and 15 level, the pool of potential women and minority SES candidates has remained relatively stable over the last few years. Currently, 41 percent of the employees at the grade 14 are women and 29 percent are minority. At the GS–15 level, 39 percent are women and 20 percent are minority.

GSA has focused a lot of its attention on the development of our staff and not just on our outreach efforts. We have undertaken a leadership institute where we are, in fact, giving advantages to our employees to be prepared to move into the SES positions. Of our graduates of these various programs, 89 percent are still employed with GSA, 42 percent have received promotions, 20 percent of those graduates are minorities, and 46 percent are female.

I am pleased to be here with you this afternoon to share with you some of the information related to GSA. While we represent a very small proportion of the Government-wide total of employees, we believe it is our strength of the diverse work force that will ensure our continued success.

Thank you. I would be happy to answer any questions.

[The prepared statement of Ms. Lovelace follows:]

STATEMENT OF

GAIL T. LOVELACE

CHIEF HUMAN CAPITAL OFFICER

U.S. GENERAL SERVICES ADMINISTRATION

BEFORE THE

SUBCOMMITTEE ON FEDERAL WORKFORCE,

POSTAL SERVICE, AND THE DISTRICT OF COLUMBIA

COMMITTEE ON GOVERNMENT REFORM

UNITED STATES HOUSE OF REPRESENTATIVES

MAY 10, 2007

Introduction

Good afternoon Chairman Davis, Ranking Member Marchant, and Members of the Subcommittee. Thank you for the opportunity to appear before you today on behalf of the General Services Administration (GSA). Since its establishment in 1949, GSA has served as the Federal Government's premier acquisition agency. During the 1970's, over 40,000 employees worked at GSA. Today, we are an organization of 12,000 that relies on a highly competent and engaged workforce to accomplish its mission. We strive to ensure that all GSA employees receive training and development, performance feedback, leadership support and guidance, and a supportive work environment to foster an engaged and highly productive workforce. This is evident in the fact that GSA was just recently named as one of the Best Places to Work in the Federal Government for the third consecutive rating period. I am honored to be with you today. I will focus on three areas:

1. GSA's response to the 2003 GAO report on the Senior Executive Service (SES);
2. Diversity in GSA's SES and GS-14/15 workforce; and
3. GSA's efforts to increase recruitment and development opportunities for women and minorities.

2003 GAO Report

In their 2003 report, "Enhanced Agency Efforts Needed to Improve Diversity as the Senior Corps Turns Over," the Government Accountability Office (GAO) warned of the impacts of an aging workforce, particularly in the Senior Executive Service. Specifically, GAO stated that "[m]ore than half of the 6,100 career SES members employed on October 1, 2000, will have left service by October 1, 2007." In this report, GAO estimated that by the start of Fiscal Year 2008, GSA's percentage of women members in the SES would increase from 28.6% (as of October 1, 2000) to 32.9% and that the percentage of racial and ethnic minorities would decrease from 14.3% (as of October 1,

2000) to 12.9%. As of April 15, 2007, the numbers estimated by GAO are close. We currently have 83 SES members on-board with 27% female and 12% minority.

The GAO report further suggested that the "wave of near-term retirements and other attrition will provide the Federal Government with both a challenge and an opportunity." GSA concurs wholeheartedly with this finding, particularly as we face 31 current vacancies in our SES workforce and we know that SES members will continue to retire.

Current Level of Diversity

In response to the President's Management Agenda and the Strategic Management of Human Capital, GSA established a comprehensive Human Capital Strategic Plan that provides a well-rounded framework to evaluate and continually improve human capital programs, processes, and operations. Improving workforce recruitment, executive leadership, and diversity are three of the seven human capital goals of GSA to achieve a highly talented, competent, and diverse workforce. It is GSA's goal "to ensure that we have a diverse workforce that reflects society," not only in its SES, but across the entire agency.

We believe our workforce is diverse. Women comprise 49% of the workforce. Workforce representation among all groups is high in comparison to the civilian labor force statistics (2000 Census Data), except for the Hispanic workforce –

Race/Ethnicity	GSA	Civilian Labor Force
White	63%	73%
Black	27%	11%
Hispanic	5%	11%
Asian	3%	4%
American Indian	<1%	<1%
Other	<1%	<1%

In terms of the Senior Executive Service, GSA has 114 permanent SES allocations. As of April 15, 2007, 83 are filled leaving 31 vacancies. Currently, 27% of the SES are women and 12% are minority.

In addition to the GAO projection of the shortage of SES members, GSA's ability to hire new SES members was impacted by the resignation of former GSA Administrator Perry in October of 2005. In the eight months prior to the arrival of Administrator Doan, GSA was subject to the Qualifications Review Board (QRB) moratorium that took effect with the public announcement of our former Administrator's departure. The QRB moratorium during this period precluded GSA from doing any significant SES hiring. In addition, 34 executives left the agency from October 2005 to April 2007. This turnover was due to retirement (50%); transfers to different agencies (29%); and resignation (21%). We expect this trend to continue since over 50% of the current SES workforce will be eligible for optional retirement within five years.

At the same time, GSA has been undergoing significant organizational change with the stand up of our new Federal Acquisition Service (FAS). This large-scale reorganization impacts approximately 4,000 employees throughout GSA nationwide – over 30% of GSA's total employment. In addition, other significant organizational changes have recently occurred inside GSA to better position the agency to carry out its mission. These reorganizations include the establishment of GSA's new Office of Emergency Response and Recovery, and organizational changes in the Office of Government-wide Policy, the Office of the Chief Information Officer, and the Board of Contract Appeals.

During the current fiscal year, our efforts in increasing diversity within the SES have been nominally successful as 36% of new hires have been female and 9% minority. At the GS-14/15 level, the pool of potential women and minority SES candidates has remained relatively stable over the last few years. Currently, 41% of employees at the GS-14 grade are women and 29% are minority. At the GS-15 level, 39% are women

and 20% are minority. We are hopeful that the increased visibility of our agency leadership programs, which also targets employees at lower grade levels, will have a positive impact on these numbers in the future.

Efforts to Increase Diversity in the Workforce

GSA recently submitted its *Fiscal Year 2006 Management Directive 715 Report* to the Equal Employment Opportunity Commission. We also completed our annual Workforce Analysis as part of our ongoing human capital strategic planning effort. In preparing both of these reports, GSA thoroughly reviewed and analyzed our diversity levels across the entire agency. In both instances, the reports identified three areas that GSA plans to explore in more detail –

1. The percentage of individuals with disabilities has decreased over the prior year and indicates a need to examine issues related to individuals with disabilities at GSA.
2. The distribution of GSA's workforce at Grade 13 and above indicates a need to examine grade distribution by race, ethnicity, and gender.

GSA's workforce percentage of Hispanics continues to fall below civilian labor force data and indicates a need for further examination.

Transparency is the key to improvement. We plan to share this information with senior leaders across the agency and GSA's workforce analysis is readily available to all employees via the agency's internal web site. We are also very focused on the development of our current staff. In February 2002, my office launched the GSA Leadership Institute to create a cadre of leadership talent to steer the agency to continued excellence. The Leadership Institute provides GSA-specific leadership developmental programs that focus on employees in current leadership positions and employees seeking leadership positions to ensure that our leaders have the essential knowledge and skills to create world-class workplaces and results. This five-tier

program includes the Advanced Leadership Development Program (ALDP) as a component of the Leadership Institute intended for GS-13 through GS-15 employees to identify high-potential individuals for competition for top management and executive positions. Participants undergo a rigorous competitive selection process before entering the 18-month program. Highlights of the program include:

- 89% percent of the ALDP graduates are still employed with GSA;
- 42% percent of the ALDP graduates have received promotions;
- 20% of graduates of the program are minorities and 46% are female; and
- GSA's percentage of minorities at GS-15 level exceeds the overall government-wide average (18.58% versus 17.44%).

As part of the Leadership Institute, we recently established an innovative mentoring program to further expand our potential pool of executive leaders. In this program, members of GSA's SES and high-performing GS-15's are selected and trained to serve as mentors to those employees who have been identified as protégés in the pilot program. This special one-year program includes a kick-off ceremony (where protégés are introduced to their mentors), online courses, recommended readings, a series of web-based seminars, and a formal closeout of their participation in the program. This program is just being instituted, and we are looking forward to providing details on its success at a later time.

In addition to the Leadership Institute, GSA also participates in a number of external leadership development programs. These include the Office of Personnel Management's Federal Executive Institute, the Council for Excellence in Government's Fellows Program, and Harvard University's John F. Kennedy School of Government Senior Executive Fellows Program. During the last five years, 55% of participants in these programs have been women and 42% minorities. We are very proud of these numbers at GSA.

World class organizations must invest in the development of their employees to sustain organizational success. During fiscal year 2006, the average amount spent on employee training and development was $1,440. This dollar amount is at the high range of $750-$1,500 the benchmark for "world-class" organizations (provided by the Saratoga Institute). GSA also continues to invest in on-line learning opportunities for employees through GSA's OnLine University (OLU). For example, GSA has developed an on-line training course to educate employees on the Notification and Federal Employee Anti-discrimination and Retaliation ("No FEAR") Act. During fiscal year 2006, the number of registrations for OLU increased by almost 6,000 registrants. This continues to be a great way for GSA employees to enhance their skills and competencies by taking advantage of the on-line learning environment. This is a positive indicator of GSA promoting a culture and climate of knowledge sharing and continuous learning and improvement.

In our external recruitment efforts, we are maximizing the use of web-based technology and other supplemental methods of communication to reach out to new and previously untapped sources of highly qualified candidates. GSA has worked to make progress in eliminating equal employment barriers. To reach out to our most under represented group, Hispanics, we have created a Spanish language recruitment brochure. We have increased registration and the use of GSAjobs, our on-line application process. We have participated in disability job fairs, and we have and continue to conduct targeted recruitment at a number of colleges and universities. We also continue to bring diverse perspectives together by having women and minority members of the SES serve on our rating panels to evaluate applicant qualifications and determine the best qualified for further consideration.

Closing

Chairman Davis, Ranking Member Marchant, and Members of the Subcommittee, I want to thank you again for the opportunity to address you this afternoon. GSA represents a very small proportion of the governmentwide total of employees, but it is

the strength of a diverse workforce that will ensure our continued success. As GSA's Chief Human Capital Officer, I want to assure you that you will see GSA continue to focus on an aggressive campaign "to ensure that we have a diverse workforce that reflects our society." Our methods will focus on three areas: (1) Outreach, (2) Employment, and (3) Career Development. Achieving this goal will require teamwork and leadership among the executives, managers, and supervisors who make the hiring, training, and promotion decisions throughout GSA. We are ideally positioned to enhance the diversity of GSA's employees, particularly at the SES level, and I am confident that we will be successful.

Mr. DAVIS OF ILLINOIS. Thank you very much. We will go directly to Ms. Meadows.

STATEMENT OF VICKERS MEADOWS

Ms. MEADOWS. Thank you, Mr. Chairman and members of the subcommittee. I appreciate the opportunity to testify on diversity of senior management at the U.S. Patent and Trademark Office.

The PTO mission is to foster innovation and competitiveness by providing high-quality and timely examination of patent and trademark applications, guide domestic and international intellectual property policy, and deliver intellectual property information and education worldwide.

Fiscal year 2006 was a record-breaking year for PTO. Our patent organization broke virtually every record tracked by GPRA by improving quality, efficiency, e-filing, hiring, training, and hoteling.

Currently, there are 49 Senior Executive Service members, 16 are women, 4 are black, 2 are Asian. With more than 9,000 employees projected by the end of this fiscal year and plans to hire an additional 8,400 patent examiners over the next 6 years, we expect our history of expanding diversity to continue.

The vast majority of our SES and top-level management positions at PTO are highly specialized. Of more than 8,000 current employees, 577 are attorneys, 5,846 are engineers and scientists. Our executive members in the patent business area manage a work force composed largely of scientists and engineers. Those in the trademark area direct the staff of trademark attorneys.

In addition to skills normally required for upper-level management, our executives must possess both the technical knowledge required to direct a professional work force and a high degree of specialized knowledge about intricate, often complex, examination rules, regulations, and procedures. Much of the specialized knowledge can only be acquired through years of experience at PTO. As a result, virtually all of our patent and trademark management positions are filled from within the PTO ranks; however, there are a few SES positions, like my own, that are in the financial, administration, or information technology field.

Diversity is likely to increase in PTO's SES ranks because of the underlying diversity of the pool of patent and trademark professionals from which many of our future senior executives are likely to be drawn. Our current work force presents a recruitment pool of over 2,200 professionals at the GS–14 and 15 levels, most of whom occupy supervisory or management positions. Of this total, 963 are women, 387 are black, 817 are Asian, 85 are Hispanic, and 16 are Native American.

In order to enhance their qualifications for SES membership, many patent and trademark professionals have taken advantage of managerial, supervisory, leadership, and executive management training, and developmental assignments offered or funded by PTO.

PTO also has a robust recruitment program. We participated in 27 events in 2006 where recruitment of minorities and women was the focus. For example, we visited Howard University, Morgan State University, Ohio State University, MIT, and Florida State University. In many cases, organizations like the National Society

for Black Engineers, Society for Women Engineers, Society of Hispanic Professional Engineers, and the American Indian Science and Engineering Society were our hosts.

Our priority is always to select the best-qualified person, regardless of race, national origin, sex, or religion for each position that we fill. Because we have so many talented women and minorities in our senior supervisory and managerial ranks, we are confident that many of them will rise to the SES level.

In addition, we will continue to conduct the broadest possible searches for our financial, administrative, and information technology SES vacancies.

Finally, Mr. Chairman, I would like to extend an invitation to you and all subcommittee members to attend PTO's 12th Annual Community Day Celebration scheduled for June 7th this year. Held on our Alexandria campus grounds, this county fair type event highlights the diversity of our work force with ethnic foods, games, educational resources, fashion show, and parade. The PTO managers primarily staff this agency-wide event with virtually all PTO's employees participating. We hope that you will be able to come as a witness to this display of openness and inclusion in our agency.

I appreciate this opportunity to share information with the subcommittee regarding PTO's commitment to promote diversity in its work force. If you have any questions, I would be pleased to answer them.

[The prepared statement of Ms. Meadows follows:]

Statement of Vickers Meadows
Chief Administrative Officer
United States Patent and Trademark Office
Testimony before the House Committee on Oversight and Government Reform
Subcommittee on Federal Workforce, Postal Service, and the District of Columbia
Hearing on Achieving Diversity in the SES Workforce
May 10, 2007

Mr. Chairman, Ranking Member Marchant, and Members of the Subcommittee,

I appreciate this opportunity to testify on diversity of senior management at the United States Patent and Trademark Office-- the USPTO.

The USPTO mission is to foster innovation and competitiveness by providing high-quality and timely examination of patent and trademark applications, guide domestic and international intellectual property policy, and deliver intellectual property information and education worldwide.

Fiscal Year 2006 was a record-breaking year for the USPTO. Our Patent organization broke virtually every record tracked by the *Government Performance and Results Act of 1993* (GPRA) – by improving quality, efficiency, e-filing, hiring, training, and hoteling. Improvements in quality were particularly noteworthy. USPTO received an historic high watermark of 419,760 utility, plant and reissue patent applications which achieved a 96.5% allowance compliance rate, the best in 20 years. The Trademark organization also broke records in quality while increasing production. With more than 354,000 trademark

application classes filed, the final compliance rate was 96.4%. In fact, the Trademark organization exceeded all of its agency performance targets for the first time since the GPRA mandated established performance goals.

With more than 9,000 employees projected by the end of this fiscal year at the USPTO, and plans to hire an additional 8,400 patent examiners over the next six years, we expect our history of expanding diversity to continue. Currently, there are 49 Senior Executive Service members— 16 are women, 4 are Black and 2 are Asian.

The USPTO's SES diversity profile compares favorably with that of the Federal Government as a whole. The most recent government-wide SES demographics issued by the Office of Personnel Management in 2005 indicate that, government-wide, 26.7% of SES members are women and nearly 12% of all SES appointments are held by minorities. At the USPTO, 33% of SES members are women and 10% are held by minorities.

Of the more than 8,000 employees, 577 are attorneys and 5,846 are engineers or scientists, making the vast majority of our SES and top level management positions highly specialized. Our executive members in the patent business area manage a workforce composed largely of scientists and engineers. Those in the trademark area direct a staff of trademark attorneys. In addition to skills normally required for upper level management, our executives must possess both the technical knowledge required to direct a professional workforce, and a high degree of specialized knowledge about

intricate, often complex examination rules, regulations, and procedures. Much of this specialized knowledge can only be acquired through years of experience at the USPTO. As a result, virtually all of our patent and trademark management positions are filled from within the USPTO ranks. However, there are a few SES positions---like my own---that are in the financial, administrative, or information technology field.

There is also a special corps of senior employees who are also part of the management and leadership structure of the USPTO. The Administrative Patent and Administrative Trademark Judges and Senior Level employees are among this group. With 94 members, their expertise in patent and trademark laws is critical to the USPTO operation and policy development. With 26 women, 7 Blacks, and 6 Asians, these members also reflect expanding diversity at the USPTO.

Diversity is likely to increase in the USPTO's SES ranks because of the underlying diversity of the pool of patent and trademark professionals from which many of our future senior executives are likely to be drawn. Our current workforce presents a recruitment pool of 2,268 professionals at the GS-14 and 15 levels, most of whom occupy supervisory or managerial positions. Of this total, 963 are women, 387 are Black, 817 are Asian, 85 are Hispanic, and 16 are Native-American.

As we replace retiring members of our existing SES corps over the next few years, we expect a more diverse pool of internal applicants from which to select, in addition to

outside applicants. Twenty-two percent of the current SES members are now retirement-eligible or will become eligible over the course of the next two years.

In order to enhance their qualifications for SES membership, many patent and trademark professionals have taken advantage of managerial, supervisory, leadership, and executive management training and developmental assignments offered or funded by the USPTO. We have put in place, and constantly seek to improve upon, developmental opportunities that have included managerial training provided by the Office of Personnel Management at the Federal Executive Institute and other facilities, a managerial certificate program designed especially for the USPTO by Syracuse University's Maxwell School of Citizenship and Public Affairs, in-house technical and managerial training, and opportunities for numerous career development details throughout the USPTO. The USPTO is also pursing the establishment of an SES candidate development program.

The USPTO has a robust recruitment program. We participated in 27 events in 2006, where recruitment of minorities and women was the focus. For example, we visited Howard University, Morgan State University, Ohio State University, MIT, and Florida State University. In many cases, organizations like the National Society for Black Engineers, Society for Women Engineers, Society of Hispanic Professional Engineers, and the American Indian Science and Engineering Society were our host. These events allow us to highlight our mission and the great opportunities available at the USPTO. In addition, the USPTO's Post Secondary Internship Program provides approximately 50 internship opportunities for students each summer. Through a grant from the Department

of Commerce, several non-profit organizations screen and recommend students for internship positions. These non-profit organizations, which have demonstrated a commitment to equal opportunity in education and employment, provide the USPTO with a wellspring of talent from all parts of the country. Each year many of these interns become permanent members of the USPTO family.

Our priority is always to select the best-qualified person regardless of race, national origin, sex, or religion for each position that we fill. Because we have so many talented women and minorities in our senior supervisory and managerial ranks, we are confident that many of them will rise to the SES level. In addition, we will continue to conduct the broadest possible searches for our financial, administrative, and information technology SES vacancies.

I appreciate this opportunity to share information with the Subcommittee regarding the USPTO's commitment to promote diversity in its executive workforce. If you have any questions, I would be pleased to answer them.

Mr. DAVIS OF ILLINOIS. Thank you very much. We will go to Dr. Wells.

STATEMENT OF REGINALD WELLS

Mr. WELLS. Thank you, Mr. Chairman and members of the subcommittee. On behalf of Social Security Commissioner Michael Astrue, I appreciate this opportunity to share with you the Social Security Administration's efforts to achieve diversity in the agency's Senior Executive Service Corps. I am Reginald Wells and I am SSA's Deputy Commissioner for Human Resources and Chief Human Capital Officer.

SSA is a diverse organization that mirrors the public we serve. In order to fulfill our mission and provide the kind of service that the public expects, we must understand its needs. This takes high-performing, well-trained, and well-equipped staff, from the front-line office workers to the highest executives. We believe that having a diverse work force that reflects the demographics of the people we serve increases the public's confidence in the agency's ability to meet its needs. It also enhances the agency's capability to conduct business in the most effective and efficient manner.

SSA's work force consists of about 62,000 employees working in 1,500 installations nationwide. Of our employees, 70 percent are women. Of our work force, 47 percent are members of a minority group, compared to 31.8 percent in the rest of Government and 27.4 percent of the national civilian labor force. I am especially pleased to report that SSA's minority representation for all groups exceeds their representation in the national civilian labor force.

Like many Government agencies, we continue to face the realities of an aging work force. The average age of an SSA employee is 47, so there is an inevitable wave of retirements that must be addressed. SSA retirements are expected to peak between 2008 and 2010, with nearly 22 percent of the work force electing to retire. This translates to approximately 2,700 employees per year. And 39 percent of overall staff and 66 percent of SES and GS–14s and 15s will be eligible for retirement by 2010. We project that we will need to replace nearly 43 percent of the work force by 2015.

At SSA we have viewed these realities as an opportunity to expand diversity of our work force. Our priority is always to select the best-qualified individual, regardless of race, national origin, sex, or religion. Since 2002, we have hired 18,328 employees. Of those, more than 57 percent were women, 6.6 percent were individuals with disabilities, 27.6 percent were African Americans, 16.5 percent were Hispanics, 7.3 percent were Asian Americans and Pacific Islanders, and 1.2 percent were American Indians and Alaska Natives.

While having a diverse work force at the service delivery level is important, we believe that it is equally important to have diversity throughout the management and executive ranks. In spite of the large number of retirements among our SES corps, we have generally been able to maintain our level of minority representation in the SES.

I must tell you that, since the beginning of the current fiscal year, we have lost 14 executives, 43 percent of whom were minorities and 36 percent of whom were women. Fortunately, SSA is well

positioned to replenish the leadership ranks with minority candidates. As a result of our aggressive recruiting efforts and comprehensive developmental programs, I believe we will be able to maintain a highly qualified and diverse work force.

OPM has recognized our leadership programs as among the best practices in Government, and our programs are continually benchmarked and mirrored by other agencies. The programs are structured and managed to emphasize development of recognized Government-wide leadership competencies. While SSA has a long and successful tradition of developing leadership from within, we also attract executive talent from other public and private sector sources.

In closing, let me emphasize SSA's pride in its work force and proactive model we have adopted to promote diversity among employees. We are firmly committed to continuing our efforts to build a work force that reflects the face of our Nation. We believe that our pride in our work force and our commitment to diversity is part of the reason that SSA was recently named one of the top ten places to work in Government.

The business case for diversity in our work force is convincing. We believe that for these reasons we are in a position to maintain a highly qualified and diverse work force at all levels of the agency.

Thank you. I will be glad to answer any questions you may have.

[The prepared statement of Mr. Wells follows:]

Diversity In the Senior Executive Service

Statement of

Dr. Reginal F. Wells
Deputy Commissioner for Human Resources
&
Chief Human Capital Officer
Social Security Administration

Before the
House Committee on Oversight and Government Reform
Subcommittee on Federal Workforce, Postal Service and the District of Columbia

May 10, 2007

Statement of Reginald F. Wells, Ph. D.
Deputy Commissioner for Human Resources &
Chief Human Capital Officer
Social Security Administration
Testimony before the House Committee on Oversight and Government Reform
Subcommittee on Federal Workforce, Postal Service and the District of Columbia
Hearing on Diversity in the Senior Executive Service
May 10, 2007

Mr. Chairman and Members of the Subcommittee:

Thank you for inviting me to return here today to share with you the Social Security Administration's (SSA) efforts to achieve diversity in the Agency's Senior Executive Service (SES) corps.

The employees of this Agency are not only highly committed to our mission and values; we are a diverse organization that mirrors the public we serve. In order to fulfill our mission and provide the kind of service that the public expects and deserves, it is fundamental that we understand its needs. This takes high-performing, well trained, and well-equipped staff, from the front line field office workers to the highest executives. Achieving this goal has been and continues to be integral to how we do business every day and is an important part of SSA's culture.

As I did when I addressed this Subcommittee in 2003, I would like to start by sharing with you some background on the Agency's workforce, the challenges we are facing with regard to the increasing number of employees who will retire, the inroads we have made across the Agency by articulating a business case for recruiting a diverse workforce, and the success we have had developing a pipeline of leadership talent who stand ready to move into the SES corps.

Our Workforce

SSA's workforce consists of about 62,000 employees working in 1,500 installations nationwide. Our workforce is diverse. Seventy percent of our employees are women. Forty-seven percent of our workforce are members of a minority group, compared to 31.8 percent in the rest of government and 27.4 percent in the national civilian labor force. And, I am especially pleased to report that SSA's minority representation for all groups exceeds their representation in the national civilian labor force.

SSA ranks third among federal agencies in Hispanic employment. The number of Hispanic employees in the SSA's workforce has grown to 12.9 percent, compared to 7.5 percent in the federal workforce and 12.8 percent in the national civilian labor force. Asian Americans now make up 4.2 percent of SSA's workforce compared to 4.8 percent in the federal workforce and 4.1 percent in the national civilian labor force. (I have attached a chart to my testimony with more information.)

SSA has the highest number of individuals with targeted disabilities among comparably sized federal agencies of 50,000 – 100,000 employees based on Equal Employment Opportunity Commission statistics, and SSA ranks second highest in the percentage of individuals with targeted disabilities among Federal agencies with 500 or more employees.

The Business Case for Diversity in SSA

It is well established in SSA that having a highly qualified and diverse workforce is essential to the Agency meeting its primary mission of providing quality service to an increasingly diverse public. We believe that having a diverse workforce that reflects the demographics of the public we serve increases the public's confidence in the Agency's ability to meet its needs and enhances the Agency's capability to conduct business in the most effective and efficient manner. With that understanding, the Agency has successfully turned the challenge of the retirement wave of the baby boom generation into an opportunity to expand the diversity of its workforce.

Workforce Challenges

Diversity is a strategic recruitment goal for the Agency. Under the leadership of a National Recruitment coordinator, a career human resources professional, we have been able to bring consistency and professionalism to the recruitment process. However, we continue to face the realities of an aging workforce—the average age of an SSA employee is 47 – and the wave of retirements. An integral function is to continually assess the Agency's retirement wave data. According to recent data:

- SSA retirements are expected to peak between 2008 and 2010 with nearly 22 percent of the workforce electing to retire; this translates to approximately 2,700 employees per year.
- 39 percent of overall staff will be eligible for regular retirement through 2010.
- 66 percent of SES and GS-14/15s will be eligible for regular retirement by 2010.
- We project that we will need to replace nearly 43 percent of the workforce by the year 2015.

While these numbers sound daunting, we have viewed this as an opportunity to expand the diversity in our workforce. Our priority is always to select the best qualified individual regardless of race, national origin, sex or religion. Since 2002, we have hired 18,328 employees. Of those, more than 57 percent were women; 6.6 percent were individuals with disabilities; 27.6 percent were African Americans; 16.5 percent were Hispanics; 7.3 percent were Asian Americans and Pacific Islanders; and 1.2 percent were American Indians and Alaska Natives.

Our success stems from several key factors:

- Support from the highest levels of the Agency;
- Strong linkage to the Agency Strategic Plan;

- A long-term service vision;
- Ongoing analysis and study of potential future losses;
- A comprehensive workforce transition plan; and
- National and regional leadership development programs.

We continue to educate our managers on modern, effective recruiting practices. We have a professional marketing strategy that enables us to compete effectively with government and private organizations. We have designed an extensive array of recruitment resources that are available to managers at all levels of the organization.

In addition, SSA's Office of Human Resources produces a monthly hiring report that cumulatively tracks fiscal year hires on a monthly basis for all employee groups both at the Agency and component level. The report is shared each month with SSA's Senior Staff to keep them apprised of recruitment and hiring outcomes.

Diversity in the SES Corps

While having a diverse workforce at the service delivery level is important, it is equally important to have diversity throughout the management and executive ranks. In spite of the large number of retirements in our SES corps, we have generally been able to maintain our level of minority representation in the SES. As of September 30, 2006 approximately 30 percent of the SES corps was minority compared to 16 percent government wide.

Since the beginning of the current fiscal year, we have lost 14 executives, 6 of whom were minorities and 5 of whom were women. Fortunately, SSA is well-positioned to replenish the leadership ranks with minority candidates. As a result of being proactive and developing the business case for diversity and staying the course with our aggressive recruiting efforts and comprehensive developmental programs, we will be able to maintain a highly qualified and diverse workforce.

Recruiting a Diverse Workforce

Agency leadership is firmly committed to continuing our efforts to build a workforce that reflects the face of our nation. A diverse SES corps depends in large part on a diverse total workforce.

We continue to conduct on-campus college recruiting as an important source of diverse new hires. SSA regularly recruits at historically black colleges and universities and Hispanic-serving institutions and we have cooperative agreements with Native American tribal colleges and universities. Further, we have established partnerships with national organizations with ties to colleges and universities to help us attract a diverse candidate pool.

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SSA also has benefited from its long-standing relations with its chartered Equal Employment Opportunity Advisory Groups. Since the late 1970s, long before it was popular, SSA recognized such groups as a valuable recruitment resource and vehicle for community relations. These organizations are key players in our recruitment initiatives in addition to their primary role of assisting the Agency to better address employees' concerns and to better serve persons with targeted disabilities, women, minorities and the non-English speaking public.

The six employee advisory groups are: the Advisory Council for Employees with Disabilities; the American Indian and Alaska Native Advisory Council; the Black Affairs Advisory Council; the Hispanic Affairs Advisory Council; the Pacific Asian American Advisory Council; and the Women's Affairs Advisory Council.

In addition to developing talent internally, we attract executive talent from other public and private sector sources.

Leadership Development

SSA has a long and successful tradition of developing leadership from within. National leadership development programs cover employees from grades 9 to 15 in all positions and are enabling the Agency to meet the staffing and leadership challenges referred to earlier in my remarks. To date, over 500 employees have participated in our national leadership development programs and over 60 percent have advanced to higher level positions. In addition, we have regional and component-level developmental programs that offer challenging opportunities for skill and leadership development. Since 2003, nearly 800 employees have participated in such programs.

Regardless of the occupation, leadership positions are considered to be critical to the Agency mission. We have developed a formal Strategic Leadership Succession Plan that serves as a blueprint for identifying future leadership needs and maintaining an adequate leadership talent pool at the Agency level as well as the component level. We are also focusing on addressing leadership losses by identifying mission critical skills and closing skill gaps where they exist. We have an aggressive plan that uses a multi-level methodology to identify critical competencies, analyze skill gaps, maps a strategy to address the gaps, and assess results.

OPM has recognized our leadership programs as among the "best practices" in government and our programs are continually benchmarked and mirrored by other agencies. The programs are structured and managed to emphasize development of recognized government wide leadership competencies. Key features of the programs include selection processes that focus on critically important leadership competencies, development plans that focus on real and challenging leadership assignments that further participants' leadership competencies, continual feedback through assignment evaluations, and strong mentoring for each participant.

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At the higher levels, we are beginning to reap the benefits of our recruitment efforts. Of the appointees from the most recently completed SES Candidate Development Program classes remaining with the Agency, 45 percent have been women and 32 percent have been minorities. The makeup of the current SES Candidate Development Program Class includes 33 percent minorities and 63 percent women.

By increasing the diversity of the employee population, the diversity of the applicant pools for these developmental programs has also increased and continues to enrich the pipeline of minority talent who will be ready to move into leadership positions. At the SES level, this pool of talent has enabled the Agency to maintain diversity levels despite losses due to retirements.

The Advanced Leadership and the Leadership Development Programs, for employees in grades 9 through 14, are equally important for a quality, diverse future SES corps. These programs have helped us increase the representation of minorities and women at the grade 14 and 15 levels. We currently have more minority employees at the GS-15 level than ever before—over 27 percent are minorities and nearly 47 percent are women. At the grade 14 level, nearly 30 percent are minorities and 51 percent are women.

Conclusion

In closing, I think it's important to emphasize the Agency's pride in its workforce and the proactive model we have adopted to promote diversity among employees. We believe that our pride in our workforce and our commitment to diversity is part of the reason that SSA was recently named one of the top ten Best Places to Work in Federal Government. The business case for diversity in our workforce is convincing. We believe that because we have incorporated this principle in all we do, we are positioned to maintain a highly qualified and diverse workforce at all levels of the Agency. Thank you and I will be glad to answer any questions you may have.

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Race/Ethnicity	SSA†	Civilian Labor Force *
White	53.4%	72.5%
Black	28.2%	10.2%
Hispanic	12.9%	12.8%
Asian	4.2%	4.1%
American-Indian	1.2%	0.6%

† SSA workforce profile as of March 31, 2007
* CLF data based on 09/30/2005 OPM figures

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Mr. DAVIS OF ILLINOIS. Thank you very much, Dr. Wells.

We are going to be able to get Ms. LaChance in before we have to run off and vote.

STATEMENT OF SUSAN LACHANCE

Ms. LACHANCE. Thank you, Chairman. Good afternoon, Chairman Davis and members of the subcommittee. I am Susan LaChance, vice president of employee development and diversity for the U.S. Postal Service, and it is my pleasure to be here today to share with you the Postal Service's commitment to a diverse and inclusive work force.

The diversity in the Postal Service reflects the diversity of America, and for us diversity includes not only individual's race, color, national origin, and sex, but also other attributes such as the background, education, life experiences, and perspectives.

We recognize that only with a work force that represents America and the communities that we serve can we effectively support the needs of our customers in the 21st century.

Today the Postal Service is one of the leading employers of minorities and women. We have 26 percent of our executives who are minorities and 29 percent are women. We have seen increases in the participation rates of females and black males in our officer corps, and increases in the participation rates of females, black females, Asian American, Pacific Islanders, and Hispanic males in our executive ranks. However, we recognize we face key challenges in recruiting, retaining, and developing a diverse work force in the future.

Our diversity professionals are key partners in this effort. They cast a recruiting network as wide as possible by participating in minority job fairs, actively recruiting veterans and military personnel, and recruiting at colleges and universities. Additionally, they provide one-on-one sessions with employees interested in development. They hold career awareness conferences and workshops to help employees prepare job applications and fine-tune their interviewing skills. And, most importantly, they are integral partners in career development and succession planning.

The Postal Service has developed a whole career approach to learning, leadership development, and talent management. The advanced leadership program seeks to develop high-performing employees with a desire and a potential to assume future leadership roles. Our executive development program is designed to reinforce our executive competency model. It builds on leading best practices and provides participants with coaching and mentoring by our senior officers.

Our corporate succession planning process identifies high-potential employees for executive positions and provides tailored development. This standardized process is open to self-nomination and reflects our commitment to inclusiveness.

We realize that our development programs need to reach further down into our organization in order to identify talent for our leadership pipeline. We are doing this through our EAS leadership development process. Known as ELD, it helps create a pool of qualified employees ready to fill future managerial and leadership positions competitively.

The Postal Service has always had a strong culture of developing employees from within. Out of our 40 officers, 21 began as craft employees, while another 4 began their careers in one of our structured development programs. Perhaps our Postmaster General, Jack Potter, best illustrates the effectiveness of this approach to developing postal employees. Jack joined the Postal Service as a clerk in New York. He served as our Chief Operating Officer, Vice President of Labor Relations, and in a number of other senior positions.

Delores Killette is another example. Ms. Killette has held a number of managerial positions in the D.C. metro and Baltimore district, and she was that 39th Postmaster of Washington. She is now our consumer advocate and vice president of consumer affairs.

For more than 200 years the Postal Service has provided individuals from a variety of cultural and socio-economic backgrounds with the opportunity of earning a living, supporting their families, and developing their careers, and serving their country. We proudly continue this tradition.

I will be very pleased to answer any questions of the committee.

[The prepared statement of Ms. LaChance follows:]

UNITED STATES
POSTAL SERVICE

STATEMENT OF
SUSAN LACHANCE
VICE PRESIDENT
EMPLOYEE DEVELOPMENT AND DIVERSITY
BEFORE THE
SUBCOMMITTEE ON FEDERAL WORKFORCE, POSTAL SERVICE,
AND THE DISTRICT OF COLUMBIA
OF THE
COMMITTEE ON OVERSIGHT AND GOVERNMENT REFORM
UNITED STATES HOUSE OF REPRESENTATIVES
WASHINGTON, DC

MAY 10, 2007

Good afternoon, Chairman Davis, Ranking Member Marchant, and members of the Subcommittee. My name is Susan LaChance. I am the Vice President, Employee Development and Diversity, for the United States Postal Service. It is my honor to be here with you today to discuss the Postal Service's commitment to a diverse and inclusive workforce, and how the Postal Service has integrated diversity into our day-to-day operations.

The diversity of the Postal Service reflects the diversity of the United States of America. For us, diversity includes not only an individual's race, color, national origin, and sex, but also other attributes, such as background, education, life experiences and perspectives. We recognize that only with a workforce that represents the diversity of the communities we serve, can we effectively meet the needs of our customers in the 21st Century.

With this in mind, in 2005, the Postal Service implemented an innovative approach to managing the development of a diverse talent pool, combining various functions to create one department integrating employee development, diversity, and EEO complaints processing. This new department is Employee Development and Diversity.

Employee Development and Diversity is responsible for providing learning and development opportunities to approximately 700,000 career employees. We are continuously enhancing our workforce's ability to achieve a performance-based culture. My team also has the responsibility for promoting diversity and inclusion in the workplace, and in the marketplace, helping to eliminate any barriers to equal employment opportunity, and processing EEO complaints.

We recognize that diversity is key to our corporate success because it impacts every aspect of the organization – employees, customers and the business.

One of our key business strategies, now and into the future, is to continue to recruit, retain, and develop a diverse and inclusive workforce. In fact, developing all of our employees is at the heart of our Strategic Transformation Plan. Our organization has identified employee engagement, and talent development and management as essential business strategies.

The Postal Service not only wants to be considered the best employer in government, but the best employer overall. Since the 18th Century, a diverse pool of individuals, with diverse cultures, beliefs, and perspectives, have built the Postal Service. Building on this legacy of diversity, the Postal Service will further expand recruitment efforts and continue to promote workplace practices that provide career opportunities for the best and brightest talent available. We are committed to providing employees with the tools and knowledge needed to do their jobs today and prepare them for the leadership challenges of tomorrow.

We recognize that for diversity to be successfully integrated at every level of the organization, diversity initiatives must be continuously guided by our leadership's full commitment.

I am pleased to inform you that Postal leaders have demonstrated, again and again, their commitment to diversity. We recognize that diversity is an important part of the foundation for our corporate success. That is the reason we have dedicated time and resources to promoting diversity at all levels of our organization.

Our senior leadership further demonstrates their commitment by dedicating their own time to participating in employee development and affinity group conferences, as well as hosting informal chat sessions with their employees, sharing insight on the value of networking, and providing advice on exploring career advancement opportunities.

The Postal Service also has diversity professionals dedicated to developing initiatives and strategies to fully integrate diversity at all levels of the organization, thereby fostering an inclusive environment at headquarters, and in our area and district offices. Our diversity professionals:

- recruit talent from the diverse communities we serve
- provide one-on-one sessions with employees interested in development
- hold career awareness conferences and workshops throughout the year to help employees prepare their job applications and fine-tune their interviewing skills
- identify and help eliminate any barriers to equal employment opportunity
- and, most importantly, they are integral partners in promoting career development and succession planning.

Senior Leadership recognizes the contributions of our diversity professionals. That is why we have these dedicated resources throughout our organization focused on promoting the value of diversity in our day-to-day operations.

Our focus today is on the demographics of our executives and high-level employees. I would like to share with you some information concerning the composition of this group.

Today, the Postal Service remains one of the leading employers of minorities and women. Minorities comprise 26 percent of our executives and women comprise nearly 29 percent. This reflects our history of providing equal employment opportunities to members of the diverse communities we serve.

In 2006, out of 40 Postal Service officers, 11 were women and seven were minorities. There were 728 Postal Service executives, excluding the officers. Of the 728 executives, 209 were women, 53 Hispanics, and 113 African-Americans. In addition, there were 21 Asian-Americans, and 2 American Indian/Alaskan Natives.

Over the past five years, we have seen increases in the participation rates of females and black males in our officer corps. Similarly, over the same period, we have seen increases in the participation rates of females, black females, Asian-American/Pacific Islanders, and Hispanic males in our executive ranks.

African Americans represent 15.49% of Postal Service executives, versus 6.7% in the rest of the federal government. In addition, Hispanic postal executives comprise 7.03% of the Postal Service executive ranks compared to 3.7% for the rest of the federal government.

In our Executive and Administrative Schedule, which provides a pool of candidates for executive leadership, there were 8,606 Postal Service employees at levels 22 and above. Out of the 8,606 EAS employees, 2,658 were women; 541 Hispanics; 1,485 African-Americans; 424 Asian-Americans; and 51 American Indian/Alaskan Natives.

Recruiting and retaining a diverse management and executive corps enables our leaders to use their unique talents, skills, and experience to offer levels of service that our diverse customer base needs and expects. To that end, we seek to recruit and retain diverse, talented individuals who have the skills critical to our business success.

We recognize that we face key challenges in recruiting and retaining a diverse workforce in the coming years. First, our Nation faces a shrinking labor pool of talent with the exit of our Baby Boomers from the workplace, and there will be a smaller pool of individuals to replace them.

Our second challenge is that we have a high concentration of leadership positions in the Washington, DC area, but our workforce is not always amenable to relocating.

Finally, rapid changes in demographics continue to reshape our society. As society's demographics change, we must adapt accordingly, continually evaluating our processes to ensure that we are actively seeking the best talent from the diverse communities we serve.

We believe that the best way to ensure that the Postal Service recruits and maintains an inclusive workforce is to cast our recruiting net as widely as possible. To this end, our diversity professionals have established effective relationships with a broad range of representatives of women and minority organizations and associations, such as the National Council of La Raza, the National Hispana Leadership Institute, the League of United Latin American Citizens, the NAACP, the Urban League, Federally Employed Women, Organization of Chinese Americans, and the Society of American Indian Government Employees.

We actively recruit veterans and military personnel, participate in job fairs and conventions, and recruit at colleges and universities.

Further, the Postal Service has successfully recruited diverse talent for our Management Intern Program. At the successful conclusion of a two-year developmental program, these interns assume mid-level management positions that are critical to the future of the Postal Service.

I want to share with you some of our key recruitment strategies.

We have developed, for future implementation, an on-line application process that will be available to both internal and external applicants. This will streamline our process and make it more accessible and user-friendly. We are enhancing our targeted recruitment through major national Web sites to include a focus on hard-to-fill positions.

Moreover, we are developing a comprehensive marketing plan that creates awareness of the varied postal career opportunities, and promotes the Postal Service as a model employer of choice. And finally, I am also pleased to report that last month, the Postal Service launched a new organization, Talent Acquisition and Retention, which will manage national policy and develop initiatives dedicated to recruiting, attracting, and retaining highly talented individuals.

By dedicating resources, simplifying our application processes, and enhancing our recruitment efforts and strategies, we are positioning the Postal Service to meet our future workforce challenges and business needs.

The Postal Service knows that a more inclusive workforce leads to a more productive workforce and thus improves our organizational success. Research indicates that employees who believe that their employer values them are more likely to work productively toward organizational goals. Moreover, a workforce that reflects the makeup of the communities it serves is better able to identify and satisfy the needs of those communities.

We are very proud of the level of employee engagement in our organization. Our employees are actively involved in the communities in which they live. They help us recruit new talent to the organization, enhance our business goals by providing customer service to our diverse market segment, and identify needs that particular customers may have for products and services.

Many of our diverse employees are also active members of employee affinity groups. The Heritage Coalition, established in 1998 and composed of postal employee groups, advances and supports the Postal Service's commitment of providing all current and future postal employees equal access to career opportunities. Heritage Coalition members include the Hispanic Organization of Postal Employees, African-American Postal League United for Success, National Hispanic Society, Asian-American Postal Employees Association, Emerging Postal Leaders, Jewish Postal Workers Welfare League, National Alliance of Postal and Federal Employees, and NETWORK, an organization composed of female postal employees. The Coalition provides a valuable forum for ongoing dialogue and collaboration between employee groups and Employee Development and Diversity.

One of our most successful programs in promoting employee involvement in diversity is the National Awards Program for Diversity Achievement. The Program, sponsored by the Postmaster General and the Postal Service's Executive Committee, provides employees an opportunity to recognize individuals and teams who have made significant contributions to encourage, promote, support, and value diversity.

The awards recognize individual employees and teams for their contributions to the business, customers, and suppliers; for changing the lives of people in their communities; and for serving as role models in the workplace. Open to all employees, this program is the largest peer-recognition program in postal history.

Key to our retention strategies is creating employee awareness about the availability of developmental programs and opportunities that will enhance their skills and prepare them for future leadership positions. This also allows us to address the potential loss of postal leadership and develop a pool of well-prepared potential successors at all levels of the organization.

To develop future leaders and improve employee performance at all levels of the organization, the Postal Service has developed a strategic "Learning Continuum" -- a "whole career" approach to learning.

A critical objective of the Learning Continuum is to strengthen and further develop an educated pool of dedicated postal executives and leaders prepared to meet the current and future strategic objectives of postal business.

I would like to take this opportunity to discuss some components of the Continuum that focus on leadership development and talent management.

The Advanced Leadership Program (ALP) is a developmental program for high-performing employees who exhibit the desire and potential for increased levels of responsibility. The program seeks to develop a highly competent managerial base from which future organizational leaders will emerge. The Postal Service developed the ALP in an effort to create a pipeline of talented future leaders.

The Career Management Program (CMP) is a training program for mid-level managers. The courses, based on critical competencies developed by Postal Service managers, provide the skills and knowledge managers and supervisors need to perform successfully.

The Executive Development Continuum (EDC) is a comprehensive new approach to executive development within the Postal Service. The EDC offers four specific developmental tiers to newly promoted, mid-career, and senior PCES managers. The intention of the EDC is to create a world-class executive development program that encompasses best industry practices, as well as customized cutting-edge development.

To strengthen our succession planning, we created our Corporate Succession Planning (CSP) process. CSP is a succession planning model and process that is aligned with industry best practices and serves as a conduit to channel future leaders into executive positions. CSP identifies employees at Executive and Administrative Schedule (EAS) levels 22 and above as potential successors for Postal Career Executive Service positions. This standardized process is open and inclusive, allowing employees to nominate themselves for consideration for higher-level assignments in the executive ranks. CSP supports the Postal Service's commitment to diversity by helping to identify individuals who have the potential for highly effective executive performance.

The EAS Leadership Development (ELD) process prepares individuals for managerial positions. Individuals approved to participate in ELD have demonstrated the potential for highly effective management and leadership performance. The ELD process is open to field employees at EAS-levels 19 and above who wish to apply for developmental pools. Our goal with ELD is to create a pool of qualified employees ready to fill future managerial and

leadership positions competitively.

Those employees selected to participate in CSP or ELD go on to develop comprehensive Individual Development Plans that include training, formal education, special projects, and detail assignments.

The Learning Continuum concept is a comprehensive approach to developing the skills and abilities of our leaders and future leaders. We are very proud of all our leadership development programs that support our succession planning efforts.

The Postal Service has always had a strong culture of developing employees from within the organization. Out of 40 Postal Service officers, 21 began their careers as craft employees, while four began their careers in one of our structured development programs. We continue to build upon this key human resource strategy, which has proven to be very successful over the years.

Perhaps Postmaster General Jack Potter best illustrates the effectiveness of this approach to promoting Postal Service employees. Jack, whose father was also a postal employee, joined the Postal Service as a clerk in New York in 1978. He holds a degree in economics from Fordham University. He is a Sloan Fellow and earned a master's degree at the Massachusetts Institute of Technology. He has served as chief operating officer, vice president of Labor Relations, and in a number of other senior operational positions, both at postal headquarters and in the field.

Delores Killette is another example of this tradition. Delores, a graduate of Coppin State University, began her postal career in 1968 as a distribution clerk in Baltimore, Maryland. She has held a number of management positions over the years, including Manager for Operations Support in the Baltimore District. Delores was the 39th Postmaster of Washington, DC, when she was selected to serve as the Consumer Advocate and Vice President of Consumer Affairs.

I would like to share one more story that illustrates the inclusiveness of Postal Service management. Betty Henderson is a Supervisor, Distribution Operations, for the Philadelphia Processing and Distribution Center. She has been a Postal Service supervisor for 17 years – and she has been deaf all of her life. Betty has an excellent rapport with her employees, with whom she communicates by signing, writing, and occasionally using an interpreter. Betty coordinates activities for the Deaf and Disabilities Awareness Group with the Mail Processing function at the plant.

I am pleased to report that Betty has been selected by Equal Opportunity Publications, Inc. (EOP), publisher of CAREERS & the disABLED, as the "Employee of the Year." With this award, which was presented to Betty on

May 7, EOP has recognized her outstanding contributions to diversity and her commitment to improving the work life of deaf and hard-of-hearing employees.

Assessment of our progress in promoting diversity is an indispensable element in determining our success. To reinforce accountability for managing and integrating diversity, the performance ratings for field executives, managers, and supervisors reflect the degree to which they have been effective in communicating and leading a diverse workforce.

The Voice of the Employee Survey is another valuable tool in measuring effectiveness in promoting inclusiveness. This survey allows our employees to identify barriers to effectively performing their jobs.

Another important measurement of our success in promoting diversity is reflected in the Equal Employment Opportunity (EEO) complaint process. The Postal Service has been making steady progress in reducing the number of formal and informal EEO complaints, and the findings of discrimination continue to be low. We have made a concerted effort to review and resolve workplace disputes quickly, and the results show that we have been increasingly successful in this effort. Appropriate field managers are held accountable for the number of complaints filed by their employees; and their success is measured by a compensable factor in their annual job performance.

It is also important to note that the Postal Service, as an organization, will be held to an accountability standard under the new postal reform law, the Postal Accountability and Enhancement Act. The law requires the Board of Governors to submit to the President and Congress a report concerning the extent to which women and minorities are represented in supervisory and management positions within the United States Postal Service.

Serving as a champion of diversity has played a major role in the Postal Service's ability to provide excellent service to all Americans. The unique qualities of all employees are valued, and the Postal Service will continue to seek out and develop the talents and skills that each individual brings to the organization.

Our commitment to diversity has been widely recognized by private organizations that monitor and evaluate diversity best practices.

In 2004, the Postal Service was recognized by *Fortune* magazine as one of "50 Best Companies for Minorities" for the fourth straight year.

Moreover, just last month, Postmaster General Jack Potter received the LeGree Daniels Heritage Award from the African American Postal League United for Success (A-PLUS). A-PLUS is a nonprofit association created to mentor and develop postal managers toward successful career paths. The organization's highest award recognizes individuals who are positive role models, who

demonstrate significant professional contributions and service, and who support diversity through ongoing involvement in community service.

For more than 200 years, the Postal Service and its predecessor, the Post Office Department, have provided individuals from a variety of cultural and socioeconomic backgrounds with the opportunity to earn a living, support their families, develop their careers, and serve their country. We proudly continue that tradition today.

I would be pleased to answer any questions that the Subcommittee may have.

Mr. DAVIS OF ILLINOIS. Well, thank you all so very much. I also want to thank the Members for their patience and indulgence.

It is my understanding that we have five votes, the first of which is a 15-minute vote and then the others will be 5-minute votes, which means that we are probably going to be gone for at least 40 minutes. So let me thank you all so much and, Members, thank you for being here. We have to run off and vote.

[Recess.]

Mr. DAVIS OF ILLINOIS. The committee is back in session.

We had a little intrigue. Somebody wanted to have a secret vote. We haven't figured out what that one was about, but somebody wanted to clear everybody out of the House except the Members so that we could discuss something in secret. Fortunately, more people decided that they didn't want to do that than those who did.

Let me just thank you, though, for your patience and for still being here.

I will begin with a few questions that I have.

Ms. Lovelace, let me start with you. The number of career SES at GSA has decreased from 84 in 2000 to 71 in 2006. Are additional changes in the number of career SES expected over the next several years? And, if so, how might this affect diversity in the career SES?

Ms. LOVELACE. Well, we don't expect a chance in the number of SESers we have, but we expect that people will turn over in those positions. You may know that our positions are actually allocated to us from OPM and there is a certain number that are allocated as non-career, some as career. Those numbers are not changing, as best I know right now, so right now our challenge is keeping those jobs filled with qualified people to carry out the mission.

Mr. DAVIS OF ILLINOIS. And does the GSA have a candidate development program?

Ms. LOVELACE. We don't have a candidate development program, per se. We have something called an advanced leadership development program, which is similar, but you just don't get a certain qualification that OPM stamps on people that are in formal candidate development programs.

Mr. DAVIS OF ILLINOIS. And so that is the reason that you don't feel the need to have a formal program? I mean, you have a similar program?

Ms. LOVELACE. We have a similar program. Because our numbers are so small, we didn't want to make that kind of investment into a candidate development program, but it is so similar we might as well go on ahead and do it.

Mr. DAVIS OF ILLINOIS. I am just sort of assuming, then, that there really is not, in the estimation of the agency, a need because of the numbers and also because of the experiences that you are having relative to progress that is being made?

Ms. LOVELACE. We think we are making good progress in our programs to develop people for these leadership positions. We have a good cross mix of people that we believe we are preparing to fill many of the jobs that we have.

Mr. DAVIS OF ILLINOIS. Thank you very much.

Let me go to Ms. Meadows.

Ms. Meadows, the Patent and Trademark Office has been a performance based organization. I guess people called them PBOs for a few years. Of course there is controversy around performance based activity. Could you tell us how the status has, if at all, affected work force diversity within the agency?

Ms. MEADOWS. Mr. Chairman, I would say that it has probably enhanced work force diversity, and certainly awareness, through our performance appraisal programs at the USPTO. We are holding our executives much more accountable to results. Diversity is a part of the leadership component to our performance appraisal plans, and I think, because we are more results oriented under our performance based status, that our executives are held more accountable.

Mr. DAVIS OF ILLINOIS. Some agencies have mentoring programs to prepare mid-level employees for possible future executive status by pairing them with mentors who can provide advice and guidance. Does the PTO have such a program?

Ms. MEADOWS. We do have a mentoring program in our patent corps, but that is more geared toward the patent examining process. We are in the process of developing a leadership development program at the Patent and Trademark Office which will include aspiring leaders at the 9 to 11 level, then go on to the executive leadership program at the mid-manager level, and all the way up to a senior executive program. We are looking to put together our own SES candidate development program.

We have had plans to do that in the past. There are a lot of training opportunities at the U.S. Patent and Trademark Office for our managers and our future leaders, but we want to formalize a program, and right now we have the resources to do that and are actively engaged with a contractor to develop a program for our office.

Mr. DAVIS OF ILLINOIS. Do you know how many minorities and women are involved in the mentoring program, I mean, how many are actually being mentored?

Ms. MEADOWS. No, sir. In the existing mentoring program?

Mr. DAVIS OF ILLINOIS. Yes.

Ms. MEADOWS. Well, no, sir, I don't know that number.

Mr. DAVIS OF ILLINOIS. Dr. Wells, let me ask you, central personnel data file as of September 2006, the percentage of women in the career SES at the Social Security Administration was 39.6, and the percentage of minorities was 29.9. Of these, African Americans made up 21.5 percent, Hispanics 7.7 percent, Asian American/Pacific Islanders none, and American Indian/Alaska Natives 0.7 percent. To what extent do these representation levels represent significant progress in recent years, and what might be needed to increase these numbers?

Mr. WELLS. Well, Mr. Chairman, I think I guess the first thing I would say is that we are, like a lot of agencies, struggling under the retirement wave to hold our numbers where they are. I think we have been successful as an organization because we do put so much attention into tracking our diversity and working through our recruitment campaigns to make sure that we always have a very rich applicant pool to choose from.

In terms of what would need to be done to improve that situation that you described, I think we have actually been doing it. We are fortunate enough as an organization to have some well-defined career development programs and we do operate a Senior Executive Service candidate development program.

But we also have a very rich applicant pool at the GS–15 and 14 levels which, of course, are the feeders for those people, at least within our organization, that we would consider for Senior Executive positions.

All of those groups are showing increases over where we were in 2003, so, while we are just holding our own with regard to our Senior Executive corps and, as I mentioned, we have a fair number of vacancies right now, mainly because of the retirement wave but also we are still working through the transition from Commissioner Barnhart to Commissioner Astrue, and during that kind of transition it takes a while for the new Commissioner to come in and sort of get a sense for what the needs are and then actually move to fill those. But we believe that there will be a lot of applicants, either through our Senior Executive Service candidate development program or our GS–15 cadre. All categories are showing increases over where we have been. So I think we feel like we are postured well to replenish the ranks and probably even exceed where we were in 2003.

Mr. DAVIS OF ILLINOIS. Recognizing that all of us are concerned about the number of retirements and people reaching the age where I guess they won't have to work, is there a serious succession planning program or effort underway at GSA?

Mr. WELLS. I am sure GSA, too. But at SSA absolutely. In fact, what I was going to say is that the Office of Personnel Management, as part of the President's management agenda, has really encouraged and actually required agencies to be doing more in the way of formal succession planning and succession management, and so at Social Security we are very much engaged in that.

We have been pretty gratified that our field structure in particular, those regional offices that we have around the country, have been really excited about this and are doing some pretty impressive things in terms of assessing what their needs are going to be and then taking a look at what the potential talent is at the regional level and beyond and really setting the stage for, I think, what will be our ability to continue to replenish our ranks with qualified minority candidates.

Mr. DAVIS OF ILLINOIS. And you are a serious large agency——

Mr. WELLS. We are.

Mr. DAVIS OF ILLINOIS [continuing]. In terms of the number of people that you employ.

Mr. WELLS. We are 62,000 strong.

Mr. DAVIS OF ILLINOIS. Yes. And so you have no responsibility for what anybody else does, but do you think that your agency perhaps could be looked at by others as not necessarily a model but certainly something that they might look at to see how it is done?

Mr. WELLS. I tend to think of us as engaging and practicing a lot of very promising approaches to these kinds of human capital issues, and we always welcome other agencies or even private orga-

nizations, for that matter, benchmarking some of the things that we do.

I do think we try really hard to strategically manage our human capital, and I think there has been, I think, really good foresight in the leadership of the organization. As I always say, necessity is the mother of invention, and I think the leadership at SSA, over time, has been real concerned about the ability to always have sufficient numbers of workers, first of all, but also the composition of that work force, because we do serve the American public and you want your work force to be as much a mirror of that public as it can be.

Mr. DAVIS OF ILLINOIS. Thank you very much.

Ms. LaChance, how does the U.S. Postal Service, not necessarily being what we would call a Federal agency, but a pseudo, in a sense, how does the Postal Service monitor the diversity of its workplace?

Ms. LACHANCE. Chairman, while we are not necessarily considered a Federal agency following all of OPM's rules, we are required to follow the guidelines as set forth by the EEOC in MD–715, and that requires us to really look at the diversity of our work force overall, as well as to evaluate all of our personnel practices and employment practices to ensure that we have nothing that would get in the way for fair and equal treatment and an inclusive workplace.

Mr. DAVIS OF ILLINOIS. Succession planning, I think everybody recognizes to an extent the need for it. How important does the Postal Service view this area as being, and what is being done to prepare for future management personnel?

Ms. LACHANCE. The Postal Service has actually had succession planning for a number of years, and one of the things that we have done really has been look constantly back at the practices of succession planning, trying to improve it.

Many years ago we had what we called a closed succession planning process whereby individuals didn't know whether or not they were being considered as a succesioner. In around 2003 we went to an open succession planning process where it kind of enforces our whole philosophy of inclusion, and individuals are allowed to make application and make it be known that they are interested in taking on additional responsibilities.

The second piece of that is that we have really focused in going beyond just having a name on a list to really looking at individuals that have skills and competency gaps and working on individualized development plans to assist them to be the best when an opportunity would be considered, come up for them.

Mr. DAVIS OF ILLINOIS. And I guess my last question is: to what extent does the Postal Service actually devote resources to diversity initiatives? I mean, does it really put money into initiatives to develop programs that are going to help move forth the desired results?

Ms. LACHANCE. Chairman, I would describe our focus on diversity initiatives to be perhaps three-fold. One would be the focus in on resources in general, and by resources I would call that people. We have diversity development specialists who we really rely on that are located throughout the Nation, as well as at our head-

quarters and area offices, that assist us in getting the message out. For us, inclusion means making people know that the opportunity exists, and awareness is critical, so the resource is there to get that message out.

The other piece as far as resources, I would call resources time and effort. Our senior officers participate in an awful lot of activities that go on, both with what we call our affinity groups—under our Heritage Coalition we have the Hispanic Organization of Postal Employees, the African American Postal Employees Organization, as well as Asian American. Our officers and our managers participate in activities that they sponsor to create awareness among their membership.

We also put a lot of time and effort and dollars throughout the Nation in what we call career awareness conferences, assisting our own employees to be better prepared and know what opportunities are available.

Mr. DAVIS OF ILLINOIS. Well thank you all so very much. Again, I really appreciate your patience and the fact that you were able to wait until we returned from voting. I appreciate your participation. Thank you very much.

Ms. LACHANCE. Thank you.

Ms. MEADOWS. Thank you.

Mr. WELLS. Thank you.

Ms. LACHANCE. Thank you.

Mr. DAVIS OF ILLINOIS. And, of course, our last group, the real troopers. Let me introduce our last panel, panel three.

Mr. William Bill Brown has served as national president of the African American Federal Executive Association Inc. since its founding in 2002. AAFEA promotes the professional development and advancement of African Americans into and within the senior levels of the U.S. Government. It sponsors an annual executive leadership and training conference and advocates for programs, policies, practices, and processes that promote career-enhancing opportunities for African Americans. Membership consists of active and retired Federal employees in grades GS–13 through the SES.

Ms. Rhonda Trent is the current president of Federally Employed Women. Federally Employed Women is an organization that works as an advocacy group to improve the status of women employed by the Federal Government and by the District of Columbia Government. Ms. Trent is a contracting officer assigned to the Joint Strike Fighter Program in Crystal City, VA. Rhonda Trent has long been active in the FEW, holding chapter, regional, and National offices.

Mr. Gilbert Sandate is a senior policy associate with the National Association of Hispanic Federal Executives. Mr. Sandate is the former Director, Office of Workforce Diversity for the Library of Congress, Washington, DC. In this capacity he served as the Library's senior expert on work force diversity, equal employment opportunity, alternative dispute resolution, and ADA accommodation matters. He retired from the Federal Service in June 2006, as a member of the Career Senior Executive Service after a distinguished 34-year Government career.

Ms. Darlene Young is the current president of the National Association of Blacks in Government. Ms. Young was elected to office in January 2005 and was re-elected to a second term in January

2007. Blacks in Government was organized in 1975 and incorporated as a nonprofit organization under the District of Columbia jurisdiction in 1976. BIG has been a National response to the need for African Americans in public service to organize around issues of mutual concern and use their collective strength to confront workplace and community issues. Ms. Young is currently employed at the U.S. Department of State as a computer specialist.

Last, but not least in any way, is Mr. William Bransford. He is currently the general counsel and lobbyist for the Senior Executives Association. Mr. Bransford is a partner in the law firm of Shaw, Bransford, Veilleux and Roth, P.C., where he has practiced since 1983. His practice is concentrated on the representation of Federal executives, managers, and employees before the U.S. District Courts, the Merit System Protection Board, the Equal Employment Opportunity Commission, the Office of Special Counsel, Offices of Inspector General, and with offices that adjudicate security clearances.

Let me thank all of you.

As is our custom of this committee and all of our committees, we swear in the witnesses.

[Witnesses sworn.]

Mr. DAVIS OF ILLINOIS. The record will show that each witness answered in the affirmative.

We thank you so very much, again, for staying and for being here.

Your entire statement is in the record, and so if you would summarize in 5 minutes we would appreciate that. Of course, the green light indicates 5 minutes, the yellow light means your time is running down, 1 minute, and the red light means that we have finished.

Mr. Brown, would you begin?

STATEMENTS OF WILLIAM BROWN, PRESIDENT, AFRICAN AMERICAN FEDERAL EXECUTIVES ASSOCIATION; RHONDA TRENT, PRESIDENT, FEDERALLY EMPLOYED WOMEN; GILBERT SANDATE, SENIOR POLICY ASSOCIATE, NATIONAL ASSOCIATION OF HISPANIC FEDERAL EXECUTIVES; DARLENE YOUNG, PRESIDENT, BLACKS IN GOVERNMENT; AND WILLIAM BRANSFORD, GENERAL COUNSEL, SENIOR EXECUTIVES ASSOCIATION

STATEMENT OF WILLIAM BROWN

Mr. BROWN. Good afternoon, Mr. Chairman, subcommittee members, and staff.

As you mentioned, I am president of the African American Federal Executive Association, Inc. AAFEA was founded in 2002 by myself and three other members of the Senior Executive Service. We have one purpose: the professional development and advancement of African Americans into the senior executive levels of Government.

We have held three national conferences and training workshops attended by over 550 Federal employees. At these training events, African American senior executives conducted workshops and coun-

seled and mentored all the African Americans seeking SES positions.

We also use these conferences to obtain further insight into many of the challenges facing African Americans as they strive to compete for SES positions.

With that as a backdrop, I would like to comment on SES diversity in the Federal Government. Currently, there are 6,100 SES positions in the Federal Government. Only 200, or 3.2 percent of these positions, are occupied by African Americans. This appalling statistic has remained constant for the last seven or 8 years, despite increased emphasis on training, temporary assignments, and other initiatives.

These statistics clearly support the position our organization and myself, in particular, articulated in 2003 during a Congressional hearing, that the reason our Federal work force is not adequately diversified is not because of lack of training, but due to flaws in the selection process.

Many of our members have accepted temporary assignments, moved their families across country, and in some cases outside the country, obtained advanced degrees at their own expense, while others have had their education supported by their agency, and gone the extra mile in hopes of advancing to the next level of Federal service, only to be denied that opportunity by selecting officials.

Over the next 10 years, approximately 89 percent of the Federal work force is expected to retire. AAFEA recommends the following steps be taken so that the resulting replacement work force will represent the mosaic of America:

One, we recommend that this subcommittee champion legislation mandating that, for positions in grades GS–14, 15, and SES, Federal agencies must use panels comprised of three people to screen and select all individuals. At least one member of each panel would be required to be a minority. The panel would be required to provide written justification for their recommendation, and the agency head would have to approve the selection. This process will cause selecting officials to take diversity seriously, and it will hold agency heads accountable.

Two, we recommend that this subcommittee task the Government Accountability Office with conducting a formal, detailed study on diversity in Federal agencies by grade, ethnicity, and age. Current OPM reports group all minorities in grades 14, 15, and SES together. This presents a distorted view of diversity and makes it impossible to determine makeup or progress by ethnicity. We need an accurate baseline to measure progress.

Three, we recommend that you pass legislation requiring all temporary assignments or details exceeding 120 days be filled in the same manner as permanent positions. Too often we hear of individuals being pre-positioned for promotion by being temporarily detailed to a vacancy, gaining competitive advantage over other possible candidates.

Four, we recommend OPM's candidate development program be expanded and fully funded to accommodate 200 positions. We applaud OPM for launching this program; however, over, 5,000 appli-

cants applied for 20 slots, making chances of being selected difficult to impossible.

Five, our final recommendation is about reward and recognition. We recommend establishment of an annual Federal SES diversity award to be presented to the Federal agency that achieved the most diverse SES work force over the past year. This would encourage and promote diversity and reward and recognize agencies that take steps to increase diversity in their senior ranks.

Mr. Chairman, I thank you for the opportunity to appear before this subcommittee. I would be happy to answer any questions.

[The prepared statement of Mr. Brown follows:]

Testimony of
William A. Brown SR, P.E., HAIA,
President, African American Federal Executive Association Inc.
Before the House of Representatives
Committee on Oversight and Government Reform
Subcommittee on Federal Workforce, Postal Service, and the
District of Columbia, May 10, 2007

Good afternoon, my name is William A. Brown SR. I am President of the African American Federal Executive Association Incorporated. I am a retired federal senior service executive, SES level 5. The African American Federal Executive Association Incorporated was founded in 2002 by me and three other members of the Senior Executive Service. AAFEA has one purpose, the professional development and advancement of African Americans into the senior levels of Government. While our membership is open to any federal employee in grades GS-13 thru SES, the overwhelming majority of our members are African Americans in grades GS-14, 15 and SES. We have held three national conferences and training workshops attended by over 550 federal employees. At these training events African American senior executives conducted workshops and counseled and mentored other African Americans seeking SES positions. We also used these conferences to obtain further insight into many of the challenges facing African Americans as they strive to compete for SES positions. I would also like to mention that everyone in our organization is a volunteer, we have no paid positions in our organization. With that as a backdrop I would like to comment on SES diversity in the federal government.

Currently there are 6100 SES positions in the federal government. Only 200 or 3.2 percent of these positions are occupied by African Americans. This appalling statistic has remained constant for the last seven or eight years despite increased emphases on training,

temporary assignments and other initiatives. These statistics clearly support the position our organization articulated in 2003 during a congressional hearing that the reason our federal workforce is not adequately diversified is not because of a lack of training but due to flaws in the selection process. Many of our members have accepted temporary assignments, moved their families across country and in some case outside of the country, obtained advanced degrees at their own expense while others had their education supported by their agency and gone the extra mile in hopes of advancing to the next level of federal service only to be denied that opportunity by selecting officials. What is ironic is that by denying African Americans advancement into the senior ranks of government selecting officials are denying American the talent it needs to keep our nation strong.

Over the next ten years approximately 89 percent of the senior federal workforce is expected to retire. AAFEA recommends that the following steps be taken so that the resulting replacement workforce will represent the mosaic of America.

1. We recommend that this sub-committee champion legislation mandating that federal agencies use the following process for selecting individuals for positions in grades GS 14, 15 and SES. All federal agencies would be required to use panels comprised of three people to screen and select all individuals for positions at grade GS-14 through SES. At least one member of each panel would be required to be a minority and the panel would be required to provide written justification for their selection and their non-selection. This written justification would have to be approved by the Agency Head before the position could be offered to the selected individual. Mr. Chairman we believe this process will cause selecting officials to take selection and diversity seriously and it will hold selecting officials and agency heads accountable for their actions/decisions. We have heard many

stories of individuals being selected for promotion by their immediate supervisor with no other input from any other supervisor and no other person being seriously considered for the vacancy. This selection of individuals who look, feel and talk like current selecting officials is counter to achieving diversity in the work place and has no place in our federal workforce. Diversity will never occur if we allow this selection process to continue.

2. We recommend that this subcommittee task the General Accountability Office with conducting a detailed study on diversity in federal agencies, by grade, ethnicity and age. Current OPM reports group all minorities in grades GS 14, 15 and SES together. This presents a distorted view of diversity with respect to the SES since SES are not broken out as a separate reporting group. It also is impossible to determine makeup or progress by any ethnic group because of the lumping together of all figures. We need an accurate baseline to measure progress or the lack thereof. Information on age has been included because we have noticed that a large percentage of the few African Americans who reach the SES level are doing so much later in life than their majority counterparts. This shortens the period that African Americans will be able to impact agency policy and in many cases rules them ineffective.

3. We recommend that you pass legislation requiring all temporary assignments or details exceeding 120 days be filled in the same manner as permanent positions. Too often we hear of individuals being pre-positioned for a promotion by being temporarily detailed to a vacancy gaining competitive advantage over other possible candidates.

4. We recommend that OPM's Candidate Development Program be expanded and fully funded to accommodate 200 positions. We applaud OPM for launching this program however, over 5000 applicants applied for the twenty plus slots making chances of being selected difficult. This huge response indicates interest, bench strength and readiness for senior executive positions. What is lacking is opportunity. Am expansion of this program would be a powerful tool in the diversity toolbox.

5. Our final recommendation is about reward and recognition. We recommend establishment of an "Annual Federal SES Diversity Award". This award would be presented to the federal agency that achieved the most diverse SES workforce over the past year. This would encourage and promote diversity and reward and recognize agencies that take steps to increase diversity in their senior ranks.

Mr. Chairman, I thank you for the opportunity to appear before this subcommittee. The African American Federal Executive Association Incorporated stands ready to assist any federal agency in achieving diversity in the senior executive service ranks within our limited resources. Together we can provide our nation with the leadership and talent necessary to tackle the challenges a diverse world will pose now and in the foreseeable future.

Mr. DAVIS OF ILLINOIS. Thank you very much, Mr. Brown.

We will next go to Ms. Trent.

STATEMENT OF RHONDA TRENT

Ms. TRENT. Thank you so much. Federally Employed Women, FEW, very much appreciates the opportunity to participate in this important hearing on behalf of the 1.2 million women employed in the Federal Government and military. We thank Chairman Danny Davis and the other legislators serving on this subcommittee for inviting us today.

Progress in diversity: we are happy to see that between 1992 and 2003 women made progress in moving into the SES, moving up to 26.2 percent of total SES employees. Further, the representation of women at the higher general schedule grades and at senior pay levels increase. However, we would suggest that these numbers should move higher to better reflect the percentage of women and all minorities employed in the Federal Government overall.

As of December 2005, women represented 47.1 percent of the Federal work force, yet, according to the December OPM statistics, December 2006, women only make up 28.7 percent of the career SES and 34.8 percent of all employees in grades 13 through 15. Increasing the ranks of women in the SES by 2 percent over 4 years is simply not good enough.

FEW suggests the following for improvements. We have queried all of our members and our leadership and offer the following suggestions that could help the improvement of the ability of women and minorities to move up through the ranks into the SES by training. By far, our FEW members cited the lack of training and cross-training as a major obstacle to women moving into the top levels of the Federal Government. There are several areas in which training can be improved for women aspiring to move up in the ranks.

First and foremost, training dollars have shrunk to a truly unbelievable low level over the last couple of years. When funding is tight, training is one of the first things cut; yet, it critically impacts the quality of our Federal work force.

Second, women tend to be employed at the lower ranks in the Federal Government at much greater numbers than men. This does not mean that they do not aspire to be in leadership or management positions. We argue that, to help women move into higher-level jobs, they need the training opportunities along the way, and therefore should be permitted to take manager and upper-level training along with their progression. FEW believes so strongly in this approach that, during our national training programs held over many years, any attendee, whatever their GS level or job description, can take any training workshop that they would like, including those geared toward upper management and leadership positions.

Further, by attending our national training program, attendees are exposed to high-ranking officers, Government employees, in both educational and social settings.

Mentoring: having a mentor is an extremely important aspect to any Federal worker's progression; however, there are no formal mentoring programs for women or minorities in the Federal Gov-

ernment. Women need to have leaders to whom they can ask questions, obtain advice about their careers, and receive suggestions on career moves. FEW also suggests that perhaps incentives should be made available to the senior managers to establish, endorse, and participate in this very mentoring program. Further, the establishment and participation in a mentoring program should be part of the manager or supervisor and the employee's performance requirements to hold those leaders responsible for increasing diversity.

The OPM Federal candidate development program: as we remarked during our 2003 testimony before this subcommittee, the creation of the Federal candidate development program was important; however, there are many ways the program should be improved. Only an extremely low number of applicants are actually admitted into the program. For instance, my figures from 2004 show that there were 4,704 applicants received yet only about 50 candidates were accept. Considering the vast numbers of retirements expected in the next couple of years, especially from the top levels of the Government, many more potential candidates for SES must be trained to fill these slots.

Of more critical importance is the lack of outreach to potential candidates. An overwhelming majority of my FEW members had never heard of this program, many of whom were already qualified and could have possibly been a candidate and accepted.

The Federal women's program: it was instituted in 1967 by an Executive Order No. 11375, and it created Federal women's programs which were mandated to have in every Government entity to provide ongoing training, career counseling, leadership, and to ensure women were provided guidance for advancement. However, this Federal women's program became another victim of our vastly decreased funding.

Again, we very much appreciate the subcommittee and chairman's interest, and I and the other 1.2 million Federally Employed Women are proud of the work we do for the Federal Government and to help women and minorities aspire and succeed in entering the SES.

I was going to ask for more time because I have such a Southern accent, but looks like I went over, but anyway, thank you so much.

[The prepared statement of Ms. Trent follows:]

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ORAL TESTIMONY OF THE

FEDERALLY EMPLOYED WOMEN (FEW)

Presented by FEW President
Rhonda Trent

HOUSE SUBCOMMITTEE ON FEDERAL WORKFORCE, POSTAL SERVICE AND THE DISTRICT OF COLUMBIA

HEARING ON "The Lack of Diversity in the Top Levels of Federal Government"

May 10, 2007

Federally Employed Women (FEW)
1666 K Street, NW
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(202-898-0994)
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FEW is a private, non-profit organization founded in 1968 after Executive Order 11375 – that added sex discrimination to the list of prohibited discrimination in the federal government – was issued. FEW has grown into a proactive organization serving the more than one million federally employed women (both civilian and military). FEW is the only organization dedicated solely to eliminating sex discrimination in the federal workplace, and the only organization that monitors legislation particularly of concern to women employed in the federal government.

INTRODUCTION

Federally Employed Women (FEW) very much appreciates the opportunity to participate in this important hearing on "The Lack of Diversity in the Top Levels of the Federal Government." On behalf of the 1.2 million women employed in the federal government and military, we thank Chairman Danny Davis and the other legislators serving on this Subcommittee for inviting us to testify.

BACKGROUND

FEW is a private, non-profit organization founded in 1968 after Executive Order 11375 – that added sex discrimination to the other forms of discrimination prohibited in the federal government – was issued. The early organizers of FEW realized that the government could dismantle the Federal Women's Program (FWP) that was established after E.O. 11375 was issued within most federal agencies and they wanted to ensure that there would always be an organization dedicated to promoting equality for women and addressing concerns of women in the federal workforce.

As a private organization, FEW works as a constructive pressure group to improve the status of women employed by the federal government. This includes contact with Congress to encourage progressive legislation. FEW national officers also meet with agency officials at all levels to demonstrate support of the FWP, encourage officials to support the program and to obtain insight on the effectiveness of the FWP at agency and local levels. FEW has been called on in past years to testify before Congress on sexual discrimination, Senior Executive Service (SES) diversity and sexual harassment cases.

For 39 years, Federally Employed Women has been working to end sexual discrimination and enhance opportunities for the advancement of women in government. Every day, nationwide, FEW members work together to bring about an awareness of the issues facing women throughout the federal government and achieve positive reforms and equality for women in the federal workplace. In

addition, FEW members support all efforts within the government to improve operations and efficiencies in the federal workforce.

FEW has instituted a diversity program with the aim of developing strategies to identify and eliminate barriers within the federal government. We also offer diversity training annually at our national, regional and chapter training programs.

PROGRESS IN DIVERSITY

We were happy to see that between 1992 and 2003, women made progress in moving into the SES, moving from 12.3% to 26.2% of total SES employees. Further the representation of women at the higher General Schedule (GS) grades and at senior pay levels increased in 2006. According to the US Office of Personnel Management (OPM), the number of women in grades 13 through 15 rose to 125,889 in 2006 from 124,827 in 2005.[1] Employees from these grades are referred to as "feeder" pools from which SES candidates are sourced.

However, we would suggest that these numbers should move higher to better reflect the percentage of women employed in the federal government overall. As of December 2005, women represented 47.1% of the federal workforce,[2] and men 52.9%. Yet according to December 2006 statistics obtained from the OPM website,[3] women only make up 28.7% of the career of the SES and 34.8% of all employees in grade 13 through 15. Increasing the ranks of women in the SES by 2% over four years is simply not good enough.

FEW'S SUGGESTIONS FOR IMPROVEMENT

We have queried the FEW leaders and members and offer the following suggestions that could help improve the ability of women and minorities to move up through the ranks and into the Senior Executive Service.

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[1] Annual Report to the Congress, Federal Equal Opportunity Recruitment Program, FY 2006, page 5.
[2] Congressional Budget Office Report, "Characteristics and Pay of Federal Civilian Employees," March 2007, page 12.
[3] Office of Personnel Management, Federal Human Resources Data, FedScope (http://www.fedscope.opm.gov/), December 2006.

Training:

By far, FEW members cited the lack of training and cross-training as a major impediment to women moving into the top levels of the federal government. There are several areas in which training can be improved for women aspiring to move into the SES. First and foremost, training dollars have shrunk to truly unbelievably low levels over the last couple of years. When funding is tight, training is one of the first things cut, and yet it critically impacts the quality of our federal workforce.

Second, women tend to be employed at the lower ranks in the federal government at much greater numbers than men. This does not mean that they do not aspire to be in leadership or management positions. Yet, they are not permitted to obtain upper grade training because they are not in upper management jobs. We argue that to help women move into these higher level jobs, they need the training first and therefore should be permitted to take manager and upper level training.

FEW believes so strongly in this approach that during the National Training Programs held over the years, any attendee – whatever their GS level or job description – can take any training workshop that they want – including those geared towards management and leadership. Further, by attending our National Training Program, attendees are exposed to high ranking officers and government employees in both educational and social settings. This allows attendees to receive mentoring tips and suggestions that would not be afforded on the job.

Mentoring:

Having a mentor is an extremely important aspect to any federal worker's progression into the Senior Executive Service. However, there are no formal mentoring programs for women in the federal government. Women need to have

leaders to whom they can ask questions, obtain advice about their careers, receive suggestions on career moves, training needs, and special project assignments, and obtain general information about the process of moving up the career ladder.

Obviously because there are far fewer female SES and high ranking employees in the federal government, our mentor pool is much smaller than that of men. With the male mentor pool being so large, it is often easier for men to become schooled and guided into the ranks of the upper career set. Thus men are often referred or recommended for higher positions while women are not - simply because they do not have the luxury of getting under the wing of a female mentor as readily as men.

FEW has tried to fill the void by offering exposure and time with its organization leaders who are often sought out as mentors and role models. However, more needs to be done.

FEW suggests that perhaps incentives should be made available to senior managers to establish, endorse, and participate in a mentoring program. Further, the establishment and participation in a mentoring program should be part of the manager/supervisor and the employee's performance requirements.

OPM's Federal Candidate Development Program:

As we remarked during our 2003 testimony before this subcommittee, the creation of the Federal Candidate Development was an important and critical first step in increasing diversity in the Senior Executive Service and developing a more diverse pool of candidates for positions in the SES. However, there are many ways the program should be improved.

First, only an extremely low number of applicants are actually admitted into the program. For instance, in 2004, 4,704 applications were received, while only

about 50 were accepted. (NOTE: We tried to get totals for 2005 and 2006, but OPM could not provide these to us.) Considering the vast numbers of retirements expected in the next couple of years – especially from top levels the government – many more potential SES candidates must be trained to fill these slots.

Second, not all agencies are participating. According to OPM, twenty-one agencies currently have a program in place. It should be mandatory that each agency create and institute a Federal Candidate Development Program.

Of more critical importance is the lack of outreach to potential candidates about the program. An overwhelming majority of our members have never heard of the program – many of whom would have qualified and could have been accepted. Of the members that did, most heard through FEW events, the National Training Program and publications – and not from their respective agency managers. We are concerned that managers and agency heads are not adequately informing their employees about the existence and benefits of this program.

Federal Women's Program:

In 1967, Executive Order 11375 added sex to the other forms of discrimination prohibited within the federal government. Also the Order created the Federal Women's Program (FWP) which was to provide ongoing training, career counseling, leadership training, and ensure women were provided guidance and information to further their careers in the federal workforce. These programs also helped provide training for women to help them excel and improve their job skills.

However, FWP has become another victim of vastly decreased funding in each federal agency. Over the years, staff assigned to run these programs have been cut drastically to a point now where the responsibilities are given to a federal worker on top of his/her other full-time job tasks. The obvious end result has been the virtual disappearance of an effective women's program in the federal government.

As FEW President, I travel around the country conducting Agency visits at government offices to spread the word about FEW and to ask for support. As part of these meetings, I always ask about their internal FWP. It has been disappointing to me to find that there are very few active and operating programs in the field now. This is simply not right as the Federal Women's Program was established to benefit women and to help steer their careers.

FEW had partnered with FWP to ensure that women were given the opportunities and guidance to advance in their professional careers. Without an active FWP, FEW is operating in a vacuum and it is difficult to gain attention, support and funds for women to receive the guidance and support they need to advance.

Again, we very much appreciate the Subcommittee and Chairman's interest in increasing diversity in the Senior Executive Service and all the support you have given federal workers in the past. I, and the other 1.2 million federally employed women, am proud of the work we do for the federal government, and offer to help in any way to ensure that more women and minorities can aspire and succeed in entering the Senior Executive Service.

Mr. DAVIS OF ILLINOIS. Thank you very much. We will certainly have some time in the question and answer period.

Mr. Sandate.

STATEMENT OF GILBERT SANDATE

Mr. SANDATE. Good afternoon, Mr. Chairman and members of the subcommittee. Thank you for the opportunity to appear before you today.

My name is Gilbert Sandate and I am the senior policy advisor to Jose Osegueda, president and CEO of the National Association of Hispanic Federal Executives [NAHFE]. I am also a past president of NAHFE.

NAHFE is proud to represent all senior level Hispanics in the Federal work force and to speak on their behalf at this hearing today. As you may be aware, NAHFE's mission is to promote the development and advancement of qualified Hispanics to senior level policymaking positions in the Federal Government.

Hispanics are the largest minority in the country, representing 14.5 percent of the total population and 13.6 percent of the national civilian labor force. Yet, Hispanic representation in the Federal work force was but 7.5 percent as of June 30, 2006, leaving them the only under-represented minority group in the Federal work force. And according to recent OPM reports, Hispanics were represented in career SES level jobs at 2.5 percent as of June 30, 2006. In the key feeder occupations leading to SES positions, OPM data reported minimal representation for Hispanics.

Mechanisms are needed to ensure that Hispanic candidates in the pipeline can move successfully into senior career level positions.

Having worked my entire 34-year Federal career in the civil rights and human resources fields, primarily as a manager, I can speak with some authority about the barriers and obstacles that minorities, especially Hispanics, face in reaching career goals. I have witnessed first-hand the unfairness, the prejudice, and discrimination that is often present in hiring, promotion, and advancement decisions in the Federal workplace. I have worked for and with Federal managers who viewed the Government's diversity and equal employment opportunity programs as a nuisance, something to be tolerated and marginally complied with, but always relegated to third-tier priority status.

NAHFE believes the answer to successfully diversifying the senior level ranks of Government is to set in place and to enforce meaningful systems of accountability so that managers and supervisors may be held accountable for effectively carrying out their legal mandate to implement and promote equal employment opportunity and diversity programs.

The diversity practices in hiring, development, retention, and promotion of Hispanics in the Federal work force are not being enforced. As a result, we have agencies such as the Department of Defense, with nearly one million civilian and 1,200 SES level employees, with a Hispanic representation in the SES levels of 1.5 percent. This is especially shameful when you consider that today over 12 percent of all casualties in Iraq and Afghanistan are young Hispanic soldiers. We submit to this subcommittee that if we are

good enough to die for our country, we ought to be good enough to serve it as Government employees at all levels of the Federal work force.

Another agency that should be a model for the Hispanic community is the Department of Education, yet, out of 165 SES positions, DOE has a total Hispanic representation of 1 employee.

NAHFE believes that the administration and oversight of Government career training and leadership development programs must be monitored so that barriers to fair and equal participation by Hispanic and other minority candidates can be eliminated. Too often these training and development decisions are made based on favoritism, prejudice, and exclusion.

In summary, NAHFE recommends the following: Congress should strengthen existing diversity accountability systems by tying them to the appropriation and budget oversight process.

Congress should require agencies to forcefully implement the accountability systems for which they are responsible.

Congress should provide a funding source for nonprofit, constituency-based organizations such as NAHFE to partner with Federal agencies in identification and training of talented Hispanic candidates to prepare them for senior-level positions.

Congress should require that all agencies initiate SES candidate development programs.

And, last, this subcommittee can serve as a diversity model by retaining a cadre of well-qualified Hispanic career civil servants to work with the subcommittee staff on a 1-year temporary assignment on issues related to improving Hispanic diversity at the SES levels of the Government.

Chairman Davis, members of the subcommittee, we thank you for the opportunity to share these views with you today.

[The prepared statement of Mr. Sandate follows:]

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Promoting the Senior Executive Service for Hispanics

May 10, 2007

Statement to the Subcommittee on Federal Workforce,
Postal Service and the District of Columbia

DIVERSITY IN THE SENIOR EXECUTIVE SERVICE, THE POSTAL CAREER EXECUTIVE SERVICE AND IN THE TOP LEVELS OF THE FEDERAL GOVERNMENT

Chairman Davis, Representative Marchant, and Members of the Subcommittee on Federal Workforce, Postal Service and the District of Columbia, thank you for the opportunity to appear before you today.

My name is Gilbert Sandate and I am the Senior Policy Advisor to Jose Osegueda, President and CEO of the National Association of Hispanic Federal Executives, or NAHFE. I am also a recently retired member of the career Senior Executive Service and a past President of NAHFE. NAHFE is proud to represent all senior level Hispanics in the federal workforce and to speak on their behalf today at this hearing. As you may be aware, NAHFE's mission is to promote the development and advancement of qualified Hispanics to senior level, policy-making positions in the federal government.

While NAHFE commends this Committee for its noble intention of examining diversity at the senior levels of government, we must ask why this hearing is not more all-encompassing and looking at all levels of diversity in the federal workforce. Perhaps one answer is in the fact that, aside from Hispanics, all other ethnic and gender groups are at or near parity with their numbers in the national civilian labor force. According to OPM's Sixth Annual Report to the President on Hispanic Employment in the Federal Government, Hispanics remain the only underrepresented ethnic group in the federal workforce. Thus, some may not view diversity at all levels of government as being problematic, or, if they do, not with the same sense of urgency as Hispanics.

These facts are clear about the state of Hispanics in America and their representation in the federal workforce:

Hispanics are the largest minority group in the country, representing 14.5% of the total population and 13.6% of the national civilian labor force. They are the fastest growing and youngest segments of the U.S. population. Since 2000, Hispanics have accounted for half of all the population growth in the U.S., and nearly 35% of all Hispanics are younger than 18, compared with 25% of the total U.S. population. Hispanic purchasing power, now at 800 billion, will top one trillion by the year 2010.

Yet, despite this robust presence in the fabric of American society, Hispanic representation in the federal workforce was but 7.5% as of June 30, 2006. This means there is an underrepresentation gap of 6.1% for Hispanics in the federal workforce in order to reach parity with their numbers in the national civilian labor force. This underrepresentation gap represents the loss of 120,000 jobs and 5.5 billion in salaries alone to the Hispanic community each year. Moreover, with an average annual hiring rate of 0.13% over the past 40 years, Hispanics will **never** reach parity with their numbers in the national civilian labor force unless dramatic measures are taken to fix the broken federal personnel hiring system.

Predictably, Hispanic representation at the senior levels of government is even more dismal. According to recent OPM reports, Hispanics represented 3.7% of all federal senior pay positions as of June 30, 2006. However, because this occupational category includes political appointees, who are temporary employees, and other non-managerial employees who earn senior pay, a more accurate analysis reveals that Hispanics were represented in **career** SES-level jobs at 2.5% as of June 30, 2006. This is the exact same level of Hispanic representation at the SES-levels as it was in FY 2001, a zero net change over the past five years.

In the key feeder occupational groupings leading to SES positions, OPM reported that Hispanics represented 5.2% of all GS-13 positions, 4.3% of all GS-14, and 3.9% of all GS-15 positions as of June 30, 2006. Here the results are a bit more encouraging because, while not seismic shifts, the numbers represent positive changes when compared with similar data reported three years ago when this Committee last met to discuss this issue. Then, Hispanic representation was reported at 4.5%, 3.8% and 3.3% of all GS-13, GS-14, and GS-15 positions, respectively. The challenge, of course, is to set in place systems or mechanisms to ensure that many of these well-qualified Hispanic candidates are able to matriculate successfully into senior level positions in the near future.

Sadly, it has been our collective experience that many highly qualified Hispanics have found themselves channeled into dead-end, career-ending positions never to be heard from again. Quite candidly, NAHFE believes that many fine Hispanic candidates have been unable to reach the senior level ranks due to favoritism and discrimination by selecting officials. They have been denied career-building training, developmental assignments, coaching and mentoring that would make them more competitive when seeking promotion to SES-level positions.

Having worked my entire 34 year federal career in the civil rights and human resources fields, I can speak with some authority about the barriers and obstacles minorities, but especially Hispanics, face in forging a successful, long-term career and in reaching career goals. I have witnessed first-hand the unfairness, the prejudice and discrimination that is often present in hiring, promotion and advancement decisions in the federal workplace. I have worked for, and with, federal managers who viewed the government's diversity and equal employment opportunity programs as a nuisance, something to be tolerated and marginally complied with, but always relegated to third-tier priority status.

NAHFE believes one answer to successfully diversifying the senior level ranks of government is to set in place and to enforce meaningful systems of accountability, so that managers and supervisors may be held accountable for effectively carrying out their legal mandate to implement and promote equal employment opportunity and diversity programs. In fact, a number of accountability tools are already in place, they just haven't been effectively monitored or enforced. For example, the EEOC has failed to enforce the Uniform Guidelines on Employee Selection Procedures to monitor agency selection practices; OMB and OPM have seemingly rubber-stamped agencies' progress in implementing the diversity component of the President's Management Agenda for the Strategic Management of Human Capital; and OPM has failed to effectively monitor and enforce agencies' implementation of Executive Order 13171, *Hispanic Employment in the Federal Government.* In short, no one agency seems to be minding the store when it comes to enforcing diversity practices in the hiring, development, retention and promotion of Hispanics in the federal workforce.

This culture of non-accountability has resulted in disgraceful levels of Hispanic representation at SES levels in federal agencies that should be leaders in diversity.

For example, the Department of Defense, with nearly one million civilian and 1200 SES-level employees, has but 1.5% Hispanic representation in SES level positions. This is especially shameful when you consider that today, in an ironic deadly twist on successful diversity, over 12% of all casualties in Iraq and Afghanistan are young Hispanic soldiers. We submit to members of this Subcommittee that if we are good enough to die for our country, we ought to be good enough to serve it as government employees at all levels of the federal workforce. Another agency that should be a model for the Hispanic community is the Department of Education. With its mission of ensuring that America's educational system is providing a solid educational foundation for our nation's youth, we would expect that the makeup of its leadership team reflect the diversity of the population it serves. Yet, out of 165 SES positions DOE has a total Hispanic representation of one employee. Other agencies with less than stellar records of senior level diversity for Hispanics include the Department of Commerce, with 1.9%, and the Department of Health and Human Services, with 2.5% Hispanic representation at the SES levels.

Conversely, other departments have been able to shape enviable records of Hispanic inclusion in their workforce. For example, Hispanics at the Department of Homeland Security make up 18.5% of its total workforce, including 5.6% at the SES levels. Similarly, the Social Security Administration can boast of 12.5% Hispanic representation in its total workforce, with 7.9% of its SES positions filled by Hispanics. The key to their diversity success, of course, is directly correlated to the level of support from the highest levels of agency leadership. As quoted recently in Government Executive Magazine, Felicita Sola-Carter, Assistant Deputy Commissioner for Human Resources, Social Security Administration, cited as the reason for SSA's diversity success, "It is leadership commitment and a business case hinged on diversity...we set out to represent the Public we serve...that really has been our mantra."

NAHFE also believes that the administration and oversight of government professional career training and leadership development programs must be improved so that any barriers to fair and equal participation by Hispanic and other minority candidates may be eliminated and their inclusion assured. As the gateway to professional career advancement, these developmental opportunities should be available to all in a fair and equitable manner. Yet, because a commitment of resources is involved, too often these decisions are made based on favoritism, prejudice and exclusion. These barriers

are evident just by looking at the number of Hispanics recommended for SES Candidate Development Programs, for participation at OPM's Federal Executive Institute and Management Development Centers, and for participation in interagency and intra-agency Loaned Executive Programs.

In summary NAHFE recommends that organizations advocating excellence in Public Service be given the opportunity to participate in the process of making it better. Non-profit, constituency-based organizations such as NAHFE should have access to small business, education and training funding opportunities to assist federal agencies in the identification, preparation, training and career development programs of employees that will improve diversity in the Federal workforce. In recent years NAHFE has sponsored six SES Summits whereby senior level managers from all agencies have collaborated to focus on ways to increase the representation of Hispanics in SES-level positions. NAHFE welcomes the opportunity to partner with federal agencies to educate and prepare Hispanic candidates through training programs, seminars, mentoring and other tools so that they may be competitive for senior level positions. Working in collaboration with federal agencies NAHFE will continue to inspire a new generation of Hispanics striving to ascend to SES-level positions, and to enrich the pool base of Hispanic candidates for senior level positions.

NAHFE recommends the following solutions for the Subcommittee's consideration:

1. Congress should strengthen existing diversity accountability systems by tying them to the appropriation and budget oversight process. The Congress should hold agencies accountable at appropriation hearings by requiring that they report on their bottom-line diversity accomplishments, especially net increases in Hispanic representation at senior levels. If agencies report no progress in achieving diversity goals, they should be penalized with a lesser appropriation.

2. Congress should require agencies to forcefully implement the accountability systems for which they are responsible. This includes EEOC's responsibility to enforce the Uniform Guidelines on Employee Selection Procedures; OMB and OPM's responsibility to objectively enforce the diversity provisions contained in the Strategic Management of Human Capital as part of the

President's Management Agenda; and OPM's responsibility to hold federal agencies' accountable for effectively implementing Executive Order 13171, *Hispanic Employment in the Federal Government.*

3. Congress should provide a funding source for non-profit, constituency-based organizations such as NAHFE to partner with federal agencies in the outreach and identification of talented Hispanic candidates to prepare them for senior-level positions through education, training and development, mentoring, coaching, and the identification and implementation of inter- and intra-agency developmental assignments.

4. Congress should require that all agencies initiate SES Candidate Development Programs to ensure that qualified GS-14 and GS-15 employees now in the pipeline have every opportunity to get the training they need to qualify for SES vacancies.

5. This Subcommittee can serve as a diversity model by seeking out a cadre of well-qualified Hispanic career civil servants to work with Subcommittee staff on a one-year temporary assignment on issues related to improving Hispanic diversity at the SES-levels of government. Through such an example of diversity leadership, the Subcommittee can serve as a diversity model that other Congressional committees and subcommittees may wish to emulate. NAHFE will gladly provide resumes of qualified candidates for such an assignment.

Chairman Davis, Representative Marchant, and other Members of the Subcommittee on Federal Workforce, Postal Service and the District of Columbia, we thank you for the opportunity to share our views and ideas for improving diversity at the SES levels of government. We look forward to working with you, with other committees, and with federal agencies to ensure that our federal workforce truly reflects the diversity of America's population at all levels, but especially at the senior ranks.

Thank you.

Mr. DAVIS OF ILLINOIS. Thank you very much. We sure appreciate your testimony.

Ms. Young.

STATEMENT OF DARLENE YOUNG

Ms. YOUNG. Good afternoon, Chairman Davis, Ranking Member Marchant, and subcommittee members. Thank you for this opportunity to speak to the topic of diversity in the Senior Executive Service and top-level executive positions, GS–14 and 15 of the Federal Government. In 2003, my predecessor, Gregory Reeves, also testified for Blacks in Government.

Last year Blacks in Government celebrated 30 years of being an advocacy and training organization on behalf of African Americans employed by Federal, State, and municipal governments. Our goals and objectives are to promote professionalism among blacks in government, eliminate practices of racism and discrimination, maintain a mechanism for the gathering and dissemination of pertinent information, and to develop and promote programs which will enhance ethnic pride.

Increasing the percentage of African Americans in the highest level positions is and has always been one of our most difficult and significant challenges. We have yet to overcome.

The number of African Americans in almost every Senior Executive Service position and job category lags significantly when you compare to whites. Today, African Americans comprise roughly 6.6 percent of SES positions, while the whites is approximately 90 percent.

The low rate of SES appointments for African Americans is unacceptable, regardless of whether it is measured against the overall distribution of 20 percent of African Americans in the Federal work force or against 11 percent employed in the civil labor force.

Today I will highlight four systematic personnel process that we believe adversely impact the recruitment of African Americans for SES positions. The four are: the expansion of the applicant pool; training and development programs; modification of selection process; and making top managers accountable for the results.

Expansion of the applicant pool: increasing the internal recruitment, involving advocacy groups in the external recruitment. Some of those examples would be such as giving that information of all those SES positions to Blacks in Government at our training conference. At our training conference we have over 5,000 applicants that are at our conference, and at that time we have agencies who have booths, so if that information is available those applicants who are qualified could then apply for those positions in the SES.

Institute SES training and development programs: what Blacks in Government has done to help with that process is we have partnered with the U.S. Graduate School. We have developed our own leadership program that will enhance our members to be able to qualify for the SES level.

Modification of selection process: decentralize selection process, eliminate OPM's ratification, and involve SES minorities in the selection process.

Top management involvement: ensure that top level is aware of the SES diversity goals and problems. Include diversity progress in the standards and the evaluations.

I could go on and on about how you can increase the level of SESers among African Americans and minorities, but at this point I will stop.

I want to thank this subcommittee for allowing me this opportunity to speak on behalf of Blacks in Government. I will look forward to entertaining any questions that you may have.

[The prepared statement of Ms. Young follows:]

TESTIMONY
BEFORE THE
SUBCOMMITTEE ON FEDERAL WORKFORCE, POSTAL SERVICE
AND THE DISTRICT OF COLUMBIA
COMMITTEE ON OVERSIGHT AND GOVERNMENT REFORM
BY
DARLENE H. YOUNG
NATIONAL PRESIDENT
BLACKS IN GOVERNMENT
Thursday, May 10, 2007, 2:00 P.M.

Good afternoon Chairman Davis, Ranking Member Marchant, and Committee Members. Thank you for this opportunity to speak to the topic of "Diversity in the Senior Executive Service and Top Level Executive Positions (GS 14 and 15)" of the Federal government. The full text of my testimony was previously provided to your staff.

Last year, Blacks In Government celebrated 30 years of advocacy on behalf of African Americans employed by federal, state and municipal governments. Our goals and objectives are to promote professionalism among Blacks in government, eliminate practices of racism and discrimination, maintain a mechanism for the gathering and dissemination of pertinent information, and to develop and promote programs that will enhance ethnic pride.

Increasing the percentage of African Americans in the highest level positions is and has always been one of our most difficult and significant challenges -- we have yet to overcome. The number of African Americans in almost every Senior Executive Service (SES) position and job category lags significantly when compared to whites. Today, African Americans comprise roughly 6.6% of SES positions while for whites it is approximately 90%. This low rate of SES appointments for African Americans is unacceptable. Regardless, of whether it is measured against the overall distribution of 20% of African Americans in the federal workforce; or against the 11% employed in the civilian labor force (CLF).

Today, I will highlight four (4) systemic personnel processes that we believe adversely impact the recruitment of African Americans for SES positions. Legislative and/or administrative modifications to these procedures are required in order to achieve true workforce diversity in SES positions. These systemic actions are Expansion of the Relevant Applicant Pool, Development of SES Training and Development Programs, Modification of the SES Selection Process, and creation of a Top Level Accountability, Reporting and Evaluation procedure designed to achieve positive results.

EXPANSION OF THE RELEVANT APPLICANT POOL
The overwhelming majority of SES promotion selections are made from candidates outside the federal government. This is not an accident, but a design by those who conceived the current SES regulation because it was felt, at the time, that there were an insufficient number of "in-house" candidates qualified to meet the Office of Personnel Management's (OPM's) core competencies. Measures OPM felt were necessary to manage large and complex Federal

organizations. These core competencies called Executive Core Qualifications (ECQs) are Leading Change, Leading People, Results Driven, Business Acumen and Building Coalitions/Communications.

The current SES regulation has resulted in an influx of a stream of perhaps qualified applicants, who were and are mostly white males. The reality is that when vacancies do occur recruitment information is essentially disseminated informally by "word of mouth" or via the "good ole boy" networks and passed along to industries, friends, family members, and professional organizations doing business with the government. OPM officially recruits SES and other applicants through its website (www.usajobs.opm.gov) or through its automated bulletin board for SES vacancy announcement system (USAJOBS). Most African Americans outside the federal workforce have no knowledge that these recruitment sources even exist.

The disproportionate use of these informal processes to fill SES vacancies adversely impact the recruitment and selection of African Americans, other minorities and women. Agencies that are serious about making progress in the recruitment and selection of African Americans in SES and GS 14 and 15 positions must expand employment initiatives beyond these traditional methods and include African American advocacy organizations such as Blacks In Government (BIG), the National Association for the Advancement of Colored People (NAACP), the National Urban League (NUL), and the African American Federal Executive Association (AAFEA). Further, OPM must advertise these vacancies in afro-centric broadcast media, journals, magazines, and websites. The stream of African American applicants can also be expanded by increasing internal SES recruitment efforts. In most federal agencies and departments, the overall African American demographics are higher than those in external applicant pools. This leads to the next personnel process, training and development programs.

DEVELOPMENT OF SES TRAINING AND DEVELOPMENT PROGRAMS

There are many African Americans in the Federal government who hold advanced degrees and who have many years of specialized experiences. Some may lack the core competencies prescribed by OPM. However, these measures can be acquired by the development of rigorous and targeted training enhancement programs designed to prepare participants for SES consideration. OPM provides support and assistance to agencies in developing such programs. It also grants certification to agencies and departments that formulate and implement training and development courses and initiatives.

A recent initiative is the partnership between the U.S. Department of Agriculture's (USDA) Graduate School, Blacks In Government and the Deloitte Company in the establishment of the Young Leadership Academy Program. The Young Leadership Academy (YLA) began operations in September 2006. USDA in coordination with BIG developed YLA's curriculum and set the standards for certification at the completion of all criteria. BIG's members at the various levels of government are provided the opportunity to be trained to be "Leaders for Life". This in and of itself will increase the number of qualified African Americans' eligibility at all levels of government including SES positions. Another major event that provides professional development to members is the SES Workshops held at Blacks In Government's Annual National Training Conference; this year August 13-17 in Nashville, Tennessee.

In addition to USDA, there are other agencies and departments such as the U.S. Department of State that have made significant progress through increased utilization of training, development and outreach programs designed specifically to increase the number of minorities and women in the area of the Foreign Service Officer Program. In summation, federal agencies and departments must increase internal SES recruitment and seek assistance and support from African American organizations when recruiting externally.

MODIFICATION OF THE SES SELECTION PROCESS

Currently, OPM is the final arbiter for all SES selections. Not only do they control who gets those appointments, but also the number of positions allocated to the various federal agencies and departments. If we are to hold officials in those entities accountable for diversity outcomes, we must give them more authority in the selection process. At present, they utilize Executive Review Boards' (ERBs) procedures to conduct merit staffing for SES appointments. These boards review the executive qualifications of each eligible candidate and make recommendations to the appointing officials concerning the applicant. Once the selection is made by that official the agency and/or department cannot appoint their executive choice until a Qualifications Review Board (QRB) certifies the aspirant's credentials. This appears to be an unnecessary redundancy that can be eliminated by providing officials more control and authority over the final outcomes in the selection process. OPM can execute its oversight responsibilities by simply certifying the qualifications of ERB members. Whether or not it is the QRB or the ERB who makes the final decision on selections, there must be more SES minorities and women involved in the process. OPM and/or agencies and departments can staff these boards with current, former and/or retired SES appointees.

TOP EXECUTIVE ACCOUNTABILITY, REPORTING AND EVALUATIONS

All agency and department heads and top level officials must be held personally accountable for efforts made in increasing diversity within their organizations. In the latest EEO Annual Report on the Federal Workforce: Fiscal Year 2005 only 44% of agency heads were even briefed regarding performance with regard to diversity matters. For most of them, their efforts for diversity initiatives are not part of any critical elements in their performance evaluations. Assessments made in this regard need not be based on quantitative outcomes, but on the undertaking of specific qualitative initiatives designed to improve the agency's diversity demographics in both SES and GS 14 and 15 positions.

Chairman Davis, this concludes my formal testimony. Again, thank you for giving me the opportunity to articulate our views regarding this very important matter. I'll be glad to answer any questions.

Mr. DAVIS OF ILLINOIS. Thank you very much, Ms. Young.

We will go to Mr. Bransford.

STATEMENT OF WILLIAM BRANSFORD

Mr. BRANSFORD. Thank you, Mr. Chairman Davis.

The Senior Executive Association appreciates the opportunity to testify about the important topic of the lack of diversity in the senior ranks of Government. I am Bill Bransford, general counsel of SEA.

We applaud your oversight of diversity in the career SES and other senior positions in Government. SEA also seeks to work toward an SES that represents fully the diversity of America. Not only is it the right thing to do, but achieving diversity will pay dividends by producing a Government lead by executives that reflect America.

The 2003 Government Accountability Office report on this subject showed that women and minorities were significantly underrepresented based upon their overall presence in the Federal work force. The upcoming retirement tsunami presents an excellent opportunity to get it right with respect to diversity in the SES. OPM projects that 90 percent of the current SES will retire over the next 10 years, with the largest number retiring in 2009. This is a chance to change the culture of the Federal workplace to one that promotes diversity.

SEA sees four areas where the Government could dramatically improve diversity. First, develop clear data and make it accessible. Second, build pipelines for career development to assure that minorities and women will be promoted to the Senior Executive Service. Third, respect the merit system. Finally, and perhaps most important, adopt a culture of leadership that emphasizes being inclusive of all employees.

In most agencies data on diversity remains in the realm of the agency EEO office. Promoting diversity needs to be a team effort, with the entire organization knowing where it stands, where it wants to go, and how it plans to get there.

If agencies looked at data in the context of other issues in the organization, such as dead-end jobs and EEO complaints, it can be even more valuable in identifying and solving problems. Agencies should work with associated interest groups such as the ones on this panel to recognize where their diversity problems lie.

Once issues are identified through good data and collaboration, agencies can better tailor their hiring, training, and promotion to support diversity.

Diverse, qualified, quality candidates must be placed in the pipeline leading to senior executive positions. While good data helps us understand how to accomplish this, leadership is what will make it happen.

Promoting a diverse leadership is more easily said than done. As it stands now, promoting diversity in the Federal workplace is not rewarded. Quite conversely, many senior personnel are confounded by the EEO system and work to avoid complaints, not to promote diversity. An atmosphere of "gotcha" seems to pervade some Federal workplaces and causes many managers to believe that higher-level management will not support them on the issue of diversity.

The basic notion of the best candidate should be promoted has not changed, nor should it change as we seek a more diversity work force. Developing a qualified and diverse work force does not violate the merit system. Agencies need to encourage managers who promote diversity as an agency-wide, inclusive culture.

Our final and most important point is about leadership for diversity. Gathering data, creating talent pipelines, dispelling myths, and training leaders are all steps on a longer journey. In an ideal workplace, holding diversity as a value must be acknowledged, promoted, and rewarded. The best way to move beyond the status quo is to encourage agency heads and individuals in leadership to actually champion diversity rather than simply pay lip service to it. Managers at all levels must act and speak diversity every day. If higher-level political appointees do it, lower-level career managers will know that promoting diversity in a fair and inclusive workplace will be rewarded and it can become a model for senior Government leadership that reflects the America of today and into the future.

This must be a genuine effort that continuously identifies problems, eliminates barriers, and communicates the values of diversity through our Government. With perseverance and commitment, we believe a diverse civil service from top to bottom can be achieved. There was a time when the Federal workplace was less diverse than it is now. It is time for the top echelons of the Federal work force to catch up.

Thank you again for the opportunity to testify before this subcommittee. SEA looks forward to working with you and with agencies on this important issue.

Thank you.

[The prepared statement of Mr. Bransford follows:]

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TESTIMONY

of

WILLIAM L. BRANSFORD

General Counsel

SENIOR EXECUTIVES ASSOCIATION

Before the

FEDERAL WORKFORCE, POSTAL SERVICE, AND THE DISTRICT OF COLUBIA
SUBCOMMITTEE OF THE HOUSE OVERSIGHT & GOVERNMENT REFORM
COMMITTEE

May 10, 2007

Chairman Davis and Distinguished Members of the Subcommittee:

The Senior Executives Association (SEA), the professional association representing the interests of members of the career Senior Executive Service and those holding equivalent positions, appreciates the opportunity to testify about the important topic of the lack of diversity in the senior ranks of government and what to do about it. We applaud your oversight of diversity in the career Senior Executive Service (SES) and other senior positions in government. SEA seeks to work with you, the Subcommittee on the Federal Workforce, Postal Service and the District of Columbia, and others who care about this issue, to assure that the SES of the future represents fully the diversity of America. It is not only the right thing to do, but achieving diversity will pay dividends by producing a government led by executives who are better able to respond to and provide services to all Americans.

The current record is not good enough. The 2003 Government Accountability Office report on this subject showed that women and minorities were significantly under represented based upon their overall representation in the federal workforce. The latest data from OPM's fedscope section of its website shows that little, if any, improvement in diversity has been made over the last few years.

The upcoming retirement tsunami presents an excellent opportunity to get it right with respect to diversity in the SES. OPM projects that 90% of the current SES will retire over the next 10 years, with the largest number retiring in 2009. This is a chance to change the culture of the federal workplace to one that promotes diversity more effectively.

SEA sees four areas where the government could dramatically improve diversity. First, improved, accessible and clear data needs to be developed. This can tell us what groups are under represented, and show how access to resources can be improved and barriers can be eliminated. Second, specific work needs to be done on building pipelines for career development to assure that minorities and women are actually in a place to be promoted to the Senior Executive Service. Third, the merit system needs to be respected and must be a complement assuring that the SES of the future is the best it can be rather than a crutch against change. Finally, and necessary for any other factors to work, agencies must adopt a culture of leadership that emphasizes being fair to and inclusive of all employees.

Improving Data

In most agencies, data on diversity remains in the realm of the agency EEO office. Promoting diversity needs to be a team effort, with the entire organization knowing where it stands, the challenges in its way, and how it plans to get there. In the most basic of terms, an agency cannot reach goals if it does not know where it currently stands. Agencies need to know where they stand by having good data on diversity shared throughout the organization.

This data can be even more valuable in identifying problems if agencies look at it in the context of other diversity issues, such as EEO complaints and dead-end positions that stifle advancement. Agencies should work with associated interest groups to crunch and develop this data in ways that identify areas ripe for improvement. This will enable agencies to recognize where their diversity problems lie. Is the agency hiring a diverse workforce? Is a diverse workforce is being promoted through the ranks? Finally, are there bottlenecks or barriers to minorities being promoted?

Identifying Barriers and Improving the Pipeline

This is only the beginning, though. Diversity cannot be achieved without appropriate data, but once these issues are identified through good data and collaboration, agencies can better tailor their hiring, training, and promotion to support diversity. Pipelines to the SES need to be identified and diverse qualified, quality candidates must be placed in that pipeline. Good data helps accomplish this. Leadership, as discussed below, makes it happen. Genuine opportunities must be available to minorities in the workplace. Resources must be directed in a manner that is consistent with promoting the values of diversity. Training and development pipelines should advance a workforce that reflects America.

The Merit Systems

Promoting a diverse leadership is more easily said that done. This brings us to our third point. As it stands now, promoting diversity in the federal workplace is often not perceived as something that is necessarily rewarded. Quite conversely, many senior personnel are confounded by the EEO system and work to avoid complaints, not to promote diversity. An atmosphere of "gotcha" seems to pervade some federal workplaces and causes many managers to believe that higher levels of management will not support them.

But in this environment, the merit system remains paramount. The basic notion that the best candidate should be promoted has not changed, nor should it change, as we seek a more diverse workforce. But the development of a qualified and diverse workforce does not in and of itself violate the merit system. Agencies need to reward managers who promote an environment where diversity can become a reality and at the same time assure well-intentioned and fully trained managers of higher level support when dealing with the complex employee complaint, grievance and appeals system.

Leadership That Promotes Diversity

Our final point is about leadership for diversity. Gathering data, creating talent pipelines, dispelling myths, and training leaders are all small steps on a longer journey. Those small steps will succeed more easily if accompanied by a transformational change that comes from top-level agency leaders. In an ideal workplace, holding diversity as a value must be acknowledged, promoted and rewarded.

The best way to move beyond the status quo is to encourage agency heads and individuals in leadership to champion diversity. These champions must identify diversity as a real value of importance instead of the lip service that it sometimes receives. Managers at all levels must act and speak diversity everyday. If higher level political appointees do it, lower level managers will know that promoting diversity is to be rewarded.

By individual champions at the highest levels of government holding up diversity as a key value and promoting the notion that those at lower levels insist on a fair and inclusive workplace, our civil service can model a senior government leadership that reflects the America of today and into the future.

This must be a genuine effort that continuously identifies problems, eliminates barriers and communicates the values of diversity throughout government. With perseverance and commitment, we believe a diverse civil service—from the top to the bottom—can be achieved.

I thank you again for the opportunity to testify before this Subcommittee. SEA looks forward to continuing to work with this committee and with agencies on what our organization sees as one of the most important matters facing our members. We hope to continue to be an effective voice of the federal government career executive leadership on this and other matters about the civil service.

Mr. DAVIS OF ILLINOIS. Well, thank you all very much. You know, as I listened to the testimony and as we got closer and closer to the end of the hearing, I was reminded, I guess, of this notion that sometimes we save the best for last. I mean, in terms of the goals and objectives that we have set for this subcommittee—and I am pretty up front in terms of who I am and what I believe and what I do—the testimony that you have provided I think gives a kind of blueprint in a way for some directions that we could take. I really do appreciate it.

One of the things that I have said relative to my own being is that when I leave this subcommittee and if I leave its chairmanship I certainly don't intend that the numbers reflect the same, and I don't intend that the problems when delineated will be the same with no concrete direction for how we change them.

I will ask, and perhaps each one of you can respond. Where do you suggest that we start? Mr. Brown? I mean, we have delineated some barriers, we have laid out some situations, and if we begin to change them what is a good place to start?

Mr. BROWN. Thank you, Mr. Chairman. I think the first place I would start would be with the existing cadre of personnel you have now and work force. In other words, there is a system in place now. I would tweak that system. And I think I would do more than tweak it; I would really give it a shot in the arm. That was the basis for our testimony of holding the selecting officials accountable.

You know, our membership tells us about individuals having sole authority to promote people. You know, we have to get serious about the business of requiring that this is a committee selection, there is minority representation on that committee, and the agency head is going to review those recommendations in light of the strategic vision that you have put forth in terms of diversity in the workplace. So I would start with giving a shot in the arm to the existing process by holding them accountable.

On the other hand, I would send another message by setting up a reward system, a diversity award. For those of you that understand and comply with the vision set forth by this committee, there is a reward at the end. Now, we can talk about reward being a better America and the talent and so forth, but I am talking about right away your agency, we are going to show you and hold you up as a model. That is where I would start, Mr. Chairman.

Mr. DAVIS OF ILLINOIS. Anyone else, would you respond?

Mr. SANDATE. Yes, Mr. Chairman. To us it is very clear that what needs to be done in order to improve the system of advancing minorities to the senior levels is that somebody needs to hold Government agencies accountable for doing what they are supposed to be doing.

There are tools that are out there now. For example, the Uniform Guidelines on Employee Selection Procedures, EEOC has the responsibility to enforce and monitor those. That is not happening. The implementation of Executive Order 13171, Hispanic Employment in the Federal Government, OPM has the responsibility to monitor and enforce agencies' effective implementation of that. It is not happening. The Federal Equal Opportunity Recruitment Pro-

gram, or FEORP, again, OPM has that responsibility, not happening. And so forth. The tools are there.

The strategic management of human capital, which is a responsibility that OMB and OPM has to ensure that the diversity component is being implemented effectively, not happening. Everybody is getting a green pass, a rubber stamp on their diversity efforts under strategic management of human capital. No one seems to be holding Federal agencies accountable for carrying out their mission effectively in this area.

Ms. TRENT. Chairman Davis, I would offer that we need to hold close and dear to us that we need to prepare these candidates in order to move up. The preparation is paramount.

Whatever happened to the upper mobility programs, the job sharing programs in order to help people get into the career fields that would aspire them to have a high motivation or to aspire them to go on in the Federal Government? I personally was picked up on an upper mobility program. That is how I went from a job to a career in the Federal Government. Those upper mobility programs don't exist. There are very, very few. Women and minorities would jump on the chance to have an upper mobility or a job sharing program. Those things used to be very, very sought after.

We have to prepare these people, and by all means we have to help these people become educated. Most of my FEW members that answered my questions when I was preparing on this, most of them didn't really even understand the SES and how to aspire and get there. We have to have mentoring programs that help get the word out, train these people in order so they can be a candidate, and then they can be a candidate and go through the proper selection panel process that these gentleman have just discussed.

Mr. DAVIS OF ILLINOIS. Thank you.

Ms. YOUNG. Chairman Davis, Blacks in Government spent many years of bringing SES to our training conference over years. We have many African Americans that are sitting, waiting to be placed in SES positions. They don't fit the criteria for the jobs that are available.

I would say that you would need to start with the SESers that are out there. There is a pool of us out there that should be placed in some of these jobs that are vacant, but if you are not from—an example would be I have a young man that is from HUD who is an SESer, but there is no SES position at HUD that he can fill, so there are applicants that are out there that are ready, but these agency's SESers are not being selected.

Mr. BRANSFORD. Mr. Chairman, I think one of the first things that can be done is to improve the data. When you look at the data now, you look at OPM's FedScope, first of all, it takes a lot of effort to figure out what it is trying to tell you, and then it doesn't tell you enough. For example, in talking to some of the Asian Pacific American groups, they tell me that their members tend to get dead-ended into technical jobs and they can't get into management positions, but they really don't have the data to show this because the data is not being developed at that level of detail.

So I think if we look at the data, develop a level of detail with the idea of trying to discover the barriers, not only develop the data but then have a program to do something with it, something about

it, I think then we can figure out just why this has become such a big problem.

Mr. DAVIS OF ILLINOIS. Well, you know, I could go on and on with this and could sit and listen to you for the next several hours, but I won't put you through that punishment, but I will say that the insight that you have provided for the committee, that we will certainly take that information. I mean, we will take your information, your experiences, your feelings, and really sift through it and try and come up with something that becomes doable.

I am sitting here saying to myself, why do you always take these real tough things to do? I mean, systems that are ingrained, that people do everything within their power to protect, feelings and prejudices and discriminations and all of those things that are as old as time. Here I am talking about we are going to take this subcommittee and attempt to seriously do something with it. Well, we are going to do that, and I thank you for the inspiration and motivation and for your participation which has helped push that forward.

Again, I thank all of those who have remained to hear the end of the session. We will just determine that this hearing is adjourned.

Thank you.

[Whereupon, at 4:58 p.m. the subcommittee was adjourned.]

[The prepared statement of Hon. Elijah E. Cummings and additional information submitted for the hearing record follows:]

CONGRESSMAN ELIJAH E. CUMMINGS OF MARYLAND
OPENING STATEMENT

"ENSURING DIVERSITY AT SENIOR LEVELS OF THE FEDERAL GOVERNMENT AND U.S. POSTAL SERVICE"

COMMITTEE ON OVERSIGHT AND GOVERNMENT REFORM
DOMESTIC POLICY SUBCOMMITTEE

THURSDAY, MAY 10, 2007

Mr. Chairman,

Thank you for holding this vitally important hearing to continue the Subcommittee's oversight of diversity at the highest levels of the federal government and the U.S. Postal Service.

This is an issue that is very important to me, and I appreciate the Chair's efforts.

As you will recall, Mr. Chairman, at our last hearing, which was entitled, "The Postal Service: 101," I asked witnesses whether women and minorities were successfully moving up within the ranks of the Postal Service.

The Government Accountability Office had not collected sufficient data to answer the question at that time, but I asked if they could get something together in time for today's hearing, and they did.

I want to thank our witness from GAO, George Stalcup, and his colleagues for getting this information to us in such a timely manner. I think it will greatly enhance our efforts.

I originally asked the question because I knew, anecdotally at least, that diversity is a problem.

Just this morning, I stopped by a breakfast hosted by the Maryland, Washington, D.C., and Virginia chapters of the Association of Letter Carriers.

[Congresswoman Norton was also there.]

During breakfast, one of my constituents from the letter carriers union told my staff something that I find very troubling.

He said women and minorities are moving up at the lower levels of the Postal Service, but the glass ceiling is still nearly impossible to break through.

Even worse, he said he knows of women in his office who have been passed over for promotions granted to men who were not nearly as qualified.

To hear this man tell it, you might think the U.S. Postal Service had barely made any progress at all with regards to diversity.

The data collected by the Government Accountability Office for today's hearing bears this out.

Of all Postal Career Executive Service employees, only 17 percent are minorities, and only 27 percent are women.

Minority women—or I should say, woman, because there is only one minority woman—make up just 2 percent of the Postal Career Executive service.

This is a problem. As a Member of this Subcommittee, I have consistently promoted the view that our federal workforce should

serve as a model for the private sector, as well as our state and local partners.

This, Mr. Chairman, is no model I would support.

Achieving diversity at the senior level should be a goal to which all federal agencies aspire.

I am troubled by reports that we have not achieved this goal, and I intend to hold all of our agencies accountable to a higher standard.

I look forward to the testimonies of today's witnesses and yield back the remainder of my time.

ELIJAH E. CUMMINGS
Member of Congress

Asian American Government Executives Network
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THE LACK OF DIVERSITY IN THE TOP LEVELS OF THE FEDERAL GOVERNMENT

Statement of
Asian American Government Executives Network

before

The Subcommittee on Federal Workforce, Postal Service and the District of Columbia
The Committee on Oversight and Government Reform
U.S. House of Representatives

May 10, 2007
Washington, D.C.

Good afternoon, Chairman Davis, Ranking Member Marchant, and distinguished members of the House Subcommittee on the Federal Workforce, Postal Service and the District of Columbia.

The Asian American Government Executives Network, also known as AAGEN, was founded in 1994. We are a 501(c)3, non-partisan, non-profit organization of current and former top managers and executives who share the mission to promote, expand, and support Asian Pacific American leadership in the federal, state, and local governments.

We thank you for the opportunity to appear before the Subcommittee to discuss the lack of diversity in the top levels of the federal government.

AAGEN OBSERVATIONS

Advocating diversity for Asian Americans, especially in breaking the "glass ceiling" to reach the top levels of the federal government, is like rowing a small boat upstream in a rapid river. We see very little progress despite all the efforts, but we also know that we will be falling further behind if we stop rowing.

Many letters and articles have been written; studies and analyses conducted; and congressional testimonies made about workforce diversity. AAGEN last testified in the House in October 2003. When we review our previous testimony, we see little progress, except that we are all four years older.

DEMOGRAPHIC WORKFORCE DATA

One of our major concerns in 2003 was the rapid disappearance of publicly available, timely, detailed, and accurate demographic workforce data for both civilian and uniformed federal personnel, including both employment and applicant pool information.

Today, the most recent statistics on senior positions in the Office of Personnel Management (OPM) website are based on 2004 data. While Asian Americans made up 5.0 percent of the federal workforce, only 3.2 percent were in "Senior Pay Levels" which include technical and non-managerial positions. Demographic data on the Senior Executive Service (SES) are no longer separately available, but usually commingled in other categories. Minorities in the SES dropped from 14 percent in 2002 to 12 percent in 2004 when the current minority population exceeds 30 percent.

We no longer know directly how many Asian Americans are in the SES. We know it has been around 100 for over 10 years. We are getting older, joining the 90 percent of the SES who are retirement eligible (regular or early out). We know at one time we were totally void and absent in the SES in about one third of the major federal agencies. The General Accountability Office (GAO) projected in early 2000 that there would be little change for Asian Americans in the SES if the hiring practices and trends at that

time continued. We have not observed any noticeable change of Asian American career executives in the upper ranks of the federal government since that time.

We request that the Subcommittee commission an update of the GAO reports and validate the projections it had made for 2007.

Some agencies are explaining that suppression of the SES employment statistics is to protect confidentiality. Since the number of Asian Americans is typically small, the lack of diversity in the top levels of these agencies is largely suppressed, even at the level of zero when there is no confidentiality to protect. Such isolated visibility is also cause of apprehension for AAGEN officers and members to testify in the Subcommittee hearing.

AAGEN believes that the statistics are important but diversity is more than just statistics. It is a matter of inclusion, participation, and achieving excellence. It is also a matter of how we treat our people, use our talents, and respect our views in our great nation.

AAGEN RECOMMENDATIONS

Mr. Chairman, in view of the lack of progress and more current data, we are re-submitting our 2003 testimony, as attached, for consideration by the Subcommittee. We also request that the GAO verify its model projections of diversity in the SES and produce a follow up report on the current status of the SES and make projections based on current trends and practices.

Mr. Chairman, AAGEN also recommends that where Asian American representation at the senior levels is insufficient, agencies and departments should identify barriers and develop results-oriented remedial strategies to address the underlying problems. These strategies should include the following: targeted recruitment; specially designed internal and external assignments to better prepare qualified employees for higher level management positions; an expansion of management training opportunities; an examination of the composition of promotion selection panels; and the development of SES Candidate Development and results-oriented mentoring programs.

AAGEN further recommends that OPM and EEOC should together identify best practices by federal agencies and make them available to all agencies. AAGEN also recommends that both should examine the differences in policy and administrative practices between the best and worst agencies in the federal structure to see what variables may have been different and that there should be opportunities created for the better performing agencies to work in close partnership with underachieving agencies. AAGEN further suggests that OPM and EEOC provide technical assistance and make statistical data and information more available and accessible to all agencies.

AAGEN believes that this would be an especially opportune time to employ these strategies and to focus on federal workforce diversity, given that, according to OPM and the Partnership for Public Service, 42 percent of senior executives will be eligible to retire or will retire by 2010, 58 percent of supervisory workers will be eligible to retire by 2010, and 42 percent of non-supervisory workers will be eligible to retire by 2010.

Mr. Chairman, thank you for this opportunity to share our ideas and recommendations with the Subcommittee on the persistent lack of diversity at the top levels of the federal government. We would be pleased to answer any questions that Subcommittee members may have or provide any additional information that Subcommittee members may need.

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ASIAN PACIFIC AMERICANS IN THE SENIOR EXECUTIVE SERVICE

Statement of
Jasemine Choy Chambers, Ph. D., Esq.
Chair, Asian American Government Executives Network

before

The Subcommittee on Civil Service and Agency Organization
The Committee on Government Reform
U.S. House of Representatives

October 15, 2003
Washington, D.C.

Good afternoon, Chairwoman Davis, Ranking Member Davis, and distinguished members of the House Subcommittee on Civil Service and Agency Organization.

The Asian American Government Executives Network, also known as AAGEN, was founded in 1994. We are a 501(c)3, bi-partisan, non-profit organization of current and former top managers and executives who share the mission to promote, expand, and support Asian Pacific American leadership in the Federal, state, and local governments.

My name is Jasemine Choy Chambers, and I serve as the Chair of AAGEN. I thank you for this opportunity to brief you on the under-representation of Asian Pacific Americans in the Senior Executive Service and to offer our thoughts and ideas to correct this situation and reverse the recent trend.

ASIAN AMERICANS

Available records indicate that Filipino sailors jumped ship from Spanish galleons and established a settlement in the Louisiana bayous in the 1760's. Three Chinese sailors first sailed into Baltimore harbor on board of the merchant ship "Pallas" in 1785. They were among the earliest arrivals of Asians in the United States.

More than two hundred years later, the Census Bureau reported 7.3 million Asian Pacific Americans,[1] or 2.9 percent of the total U.S. population, in the 1990 census. This total increased to 12.8 million, or 4.4 percent of the U.S. population in 2000, making Asian Pacific Americans one of the fastest growing segments in the nation.

The Asian Pacific American population is extremely diverse; they differ in language, culture, and length of residence in the United States. The Pacific Islanders are the indigenous peoples of Hawaii, Guam, Samoa, and other Pacific islands; many Chinese and Japanese Americans have been in the U.S. for generations, while Vietnamese, Hmong, and others of Southeast Asian origins are more recent immigrants. This year marks the centennial of the arrival of Koreans in the U.S. There has also been a steady influx of Filipinos and Asian Indians, who are now the second and third most populous Asian groups in the United States.

The diverse backgrounds of the Asian Pacific Americans are united in their contributions and sacrifices to this nation. They fought in the Civil War and built the trans-continental railroad in the 19th century; they risk their lives to carry out space shuttle missions and dedicate their research to develop new medical treatments to AIDS in the 21st century.

[1] This term refers to the combination of Asian Americans and Pacific Islanders. Although OMB revised the race and ethnic definitions to create a separate "Hawaiians and other Pacific Islanders" category in 1997, the Office of Personnel Management and the Equal Employment Opportunity Commission have continued to report combined workforce statistics for Asian Americans and Pacific Islanders.

The Asian Pacific Americans have also served the nation with pride, dedication, and loyalty in public service, including the Federal government. Today, about 87,000 Asian Pacific Americans serve in the Executive Branch,[2] 56,000 on active duty in the military, 26,000 in military reserve, and 56,000 in the Postal Service.[3] These figures do not include those in the Legislative and Judicial Branches and national security agencies. These 200,000+ men and women represent about 4.8 percent of the civilian workforce in the Executive Branch, 3.9 percent of the active duty military, and 3.0 percent of the reserve respectively.

THE SENIOR EXECUTIVE SERVICE

Despite their participation and contributions, Asian Pacific Americans have largely been absent in top Federal leadership and executive positions.

The first Asian Pacific American Congressman was Representative Dalip Singh Saund (D-CA), an immigrant from India who served in the House from 1957 to 1963. Hiram Leong Fong (R-HI), an American of Chinese ancestry, was the first Asian Pacific American elected to the Senate in 1959.

It was not until 2000 when Secretary Norman Y. Mineta became the first Asian Pacific American to hold a post in the presidential cabinet. Secretary Elaine Chao became the first female Asian Pacific American cabinet official in 2001.

With the retirement of General Eric Shinseki as Army Chief of Staff in June 2003, there is only one other Asian Pacific American above the rank of O-7 (the equivalent of Brigadier General) in the entire U.S. military.

Commissioned by the House Subcommittee on Civil Service and Agency Organization, the two reports[4] by the General Accounting Office (GAO) provide a grim assessment of the past, present, and future state of Asian Pacific Americans in the Senior Executive Service (SES).

For example, according to the GAO reports,

- In 1990, only 51 Asian Pacific Americans, representing 0.8 percent of the total, were members of the career SES. Among the 24 CFO agencies,[5] eight had no

[2] Not including the U.S. Postal Service.
[3] This is an estimate; workforce information about the U.S. Postal Service is not publicly available.
[4] GAO-01-377, *Senior Executive Service: Diversity Increased in the Past Decade*; and GAO-03-34, *Senior Executive Service: Enhanced Agency Efforts Needed to Improve Diversity As the Senior Corps Turns Over.*
[5] GAO defined CFO departments and agencies to be those covered by the Chief Financial Officer (CFO) Act. These 24 agencies reportedly covered more than 96 percent of the Federal civilian employees.

Asian Pacific Americans in the career SES, including 5 cabinet-level departments.[6]

- During the period of 1990-1999, there were almost 5,300 career SES vacancies. Asian Pacific Americans filled 89 such positions, a rate of 1.7 percent. During this ten-year period, 7 CFO agencies[7] had 376 career SES opportunities and did not fill one with Asian Pacific Americans.

- In 1999, the number of Asian Pacific Americans in the career SES reached 100, or about 1.6 percent of the total. Seven[8] of the 24 CFO agencies had no Asian Pacific Americans in the career SES ranks.

- Based on current separation and hiring trends, GAO projects that the number of Asian Pacific Americans in the career SES will increase modestly to 104 by the year 2007, or 1.7 percent of the total. Compared to the 2000 levels, the slight increase of Asian Pacific American women (from 33 to 39) will be offset by a corresponding decline of Asian Pacific American men (from 70 to 65). According to GAO projections, as many as 9 out of 24 CFO agencies,[9] - one more than in 1990 - will have no Asian Pacific Americans in the career SES by the year 2007.

GAO anticipates that severe under-representation of Asian Pacific Americans in the career SES will continue in the foreseeable future under the current trends. AAGEN shares this extremely alarming observation, and believes that the actual problems are in fact more severe than reported because:

- Data used by GAO did not cover the national security, intelligence, and law enforcement agencies such as the National Security Agency (NSA), Central Intelligence Agency (CIA), and the Federal Bureau of Investigation (FBI), as well as the newly created Department of Homeland Security and special pay-band plans, where representation of minorities and women in the upper ranks is well known to be weak.

- The GS-15 level is commonly recognized as the primary pipeline to the career SES; over 80 percent of the promotions to the career SES come from this level. However, more than half of the 2,900 Asian Pacific Americans in the reported GS-15 positions serve as non-supervisory medical personnel under special pay plans in the Department of Veterans Affairs. These positions are not structured

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[6] They include the cabinet-level departments of Agriculture (USDA), Housing and Urban Development (HUD), Interior, Labor, and Veterans Affairs (VA) and three other agencies – Office of Personnel Management (OPM), Small Business Administration (SBA), and U.S. Agency for International Development (AID).

[7] HUD, Labor, State, OPM, AID, Federal Emergency Management Agency (FEMA), and General Services Administration (GSA).

[8] HUD, Labor, State, OPM, AID, SBA, and FEMA.

[9] Education, HUD, Interior, Labor, State, OPM, SBA, AID, and FEMA. AID and FEMA no longer exist due to AID's merger with the Department of State and FEMA's migration to the Department of Homeland Security.

to advance into the career SES. Among the remaining GS-15 employees, many are not in supervisory positions, nor are they in occupational series that would lead them into the senior positions. Therefore, Asian Pacific Americans face a similarly serious under-representation problem (well less than 2.7 percent of the total) in the GS-15 positions.

- As the "Federal Government's Human Resource Agency," the Office of Personnel Management (OPM) itself has not had one Asian Pacific American serving in either its career SES or the GS-15 ranks since 1990. It is quite possible that OPM has never had an Asian Pacific American serving in either of these top positions since its establishment.

- To illustrate the pipeline problem, the only Asian Pacific American member of the career SES in the 65,000-employee Social Security Administration is expected to retire soon. There are only 8 Asian Pacific Americans in the GS-15 pipeline to fill this or any other upcoming vacancies, and some of them are eligible for retirement.

- As another example of the pipeline problem, out of a class of 50 candidates, only three minorities (one Asian Pacific American, two Hispanic Americans, and no African American) were recently accepted into a SES Candidate Development Program conducted by the U.S. Department of Agriculture.[10]

According to the GAO, representation of Asian Pacific Americans in the career SES ranks was "more than 50 percent below its percentage in five out of six labor forces"[11] selected by the GAO - it was the most significant disparity among all of the women and racial and ethnic groups studied by the GAO. The sixth labor category was the Postal Service career executive corps, which demonstrates only that representation of Asian Pacific Americans is similarly poor in the U.S. Postal Service.[12]

AAGEN OBSERVATIONS

The GAO reports show Federal departments and agencies with a paucity of Asian Pacific Americans in the career SES now and into the future. While the Government has an important opportunity to affect SES diversity, "little will change if current appointment trends continue."[13] In fact, the percentage of all minorities in the SES

[10] USDA added 33 candidates to the class after protests by multiple groups. The total number of Asian Pacific Americans in the class increased to 2 after the addition.
[11] GAO-01-377, page 31, Table 1.
[12] Asian Pacific Americans reportedly made up slightly over 2 percent of the nearly 800-member Postal Career Executive Service.
[13] GAO-03-34, page 7.

dropped from 14.4 percent in 2000 to 13.7 percent in 2001.[14] There are pipeline and succession issues that are similarly important.

Equal employment opportunity is not only a matter of law; diversity at all grades and ranks is a sound business case.

AAGEN believes that lack of appreciation and understanding of the Asian Pacific American perspective in the Federal government has contributed to the campaign finance controversy and the incarceration of Dr. Wen Ho Lee. Hate crimes led to the death of Vincent Chin in Detroit in 1982. In times of tension or conflict with Asian countries, as in 1942 after the Japanese attacked Pearl Harbor or in the late 1990s after the allegations of Chinese espionage in the national weapons laboratories, Asian Pacific Americans suffered hostility and profiling because of their race and ancestry. In the aftermath of the September 11 tragedy, there were violence and bigotry against fellow Americans of Sikh and Arab origin.

We believe that the lack of Asian Pacific American perspective in the Federal government nurtures an institutional bias and culture that contributes to the continuing negative image of Asian Pacific Americans as "perpetual foreigners," despite our achievements and dedication to the American society and loyalty to the United States for many generations.

The Committee of 100[15] conducted a national opinion poll[16] about American attitudes toward Chinese Americans and Asian Americans in 2001. It was found that 25 percent of the American public holds a very negative attitude toward Chinese Americans and Asian Americans. That is one out of every four Americans! This can be extremely damaging to our nation if similar views are held or inherent in the making of public policies and decisions. Lack of Asian Pacific American leadership in the intelligence agencies, the law enforcement agencies, and public service in general denies all of us an opportunity to help unite the nation.

It is perhaps most alarming to observe that OPM, which is expected to "provide government-wide leadership and policy direction in the selection, development and management of diverse, highly-qualified Federal executives,"[17] is among the worst performing agencies toward inclusion of Asian Pacific Americans. A lead agency with this kind of performance record for at least 13 years lacks credibility in the Asian Pacific American community.

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[14] Latest available statistics from the OPM web site at http://www.opm.gov/ses/demograph.html, as of October 4, 2003.

[15] A national non-partisan organization composed of prominent American citizens of Chinese descent. Additional descriptions available at http://www.committee100.org/.

[16] American Attitudes Toward Chinese Americans and Asian Americans, A Committee of 100 Survey conducted in collaboration with the Anti-Defamation League (ADL) and performed by Martilla Communications Group and Yankelovich in February and March 2001.

[17] GAO-01-377, page 103.

While statistical representation is very important, AAGEN firmly believes that members of the career SES must be among the best qualified and the most talented. The few Asian Pacific Americans who are able to join the career SES typically have one or more advanced degrees and extensive experience. They have also demonstrated that they are exceptional leaders and performers among their peers. There are many more Asian Pacific Americans who are qualified, able, and willing to take responsibilities as 21st century Federal senior executives.

AAGEN recognizes that the 21st century Federal senior executives can be quite differently from those of our past and present generations. We fully support changes that will lead to an accountable Government that serves all of its people, values the diversity of its workforce, and produces top performance and results. Some of the changes being proposed to the SES and the Federal workforce are needed and can have profound effects on the future of the Government. There will be discussions and debates of many issues. Asian Pacific Americans have a significant role in this national dialogue; we want to be included and become a constructive and significant part of the 21st century United States Government.

Sound decisions can be made only with good data and good analysis. We commend the Subcommittee and GAO for taking the initiative and producing two insightful reports. However, we also note that there are significant data and information gaps about the Federal workforce.

Military and civilian data are reported separately; the civilian data are scattered and incomplete. The vacancy and hiring data used by the GAO are public information that is not readily available to the public. In addition, applicant flow data are rarely collected. When they are collected, the results are not reported. Consequently, when under-representation problems are identified, as the GAO has, it is not even clear whether they are caused by an agency's failure to conduct outreach or its persistent employment barriers in the application and selection process.

FedScope, an excellent interactive data resource available from the OPM web site, explicitly suppresses the reporting of race and national origin data. As the Government's human resource agency, OPM is expected to monitor the diversity of the Federal workforce, particularly at senior levels. However, OPM's demographic data have become less available to the public. The most recent demographic profile of the Federal workforce on the OPM web site dates back to September 30, 2000.

Timely and reliable information is a form of public accountability. Beginning October 1, 2003, The Notification and Federal Employee Antidiscrimination and Retaliation (No FEAR) Act became effective. It is an extraordinary legislation passed unanimously by the House and by voice vote in the Senate. No FEAR was prompted in part by testimony before Congress of continued, widespread discrimination and retaliation

within the Federal government. The law now requires Federal agencies to disclose publicly their employment complaint statistics on the Internet and make direct payment for complaint settlements and judgments without dipping into the Judgment Fund. AAGEN believes that the same principles underlying the No FEAR Act - public disclosure and accountability - are applicable in workforce diversity issues.

WHAT AAGEN DOES

To accomplish our mission, AAGEN networks with organizations who share our common interests. We are a member of the Coalition of Asian Pacific American Federal Employee Organizations and are active among community, civil rights, and professional organizations. We also interact with sister organizations including the National Association of Hispanic Federal Executives, the African American Federal Executives Association, and the Senior Executive Association.

Among other activities, AAGEN

- Sponsors events featuring prominent and influential speakers who share their insights and serve as role models;
- Educates our community by organizing seminars and publishing informative materials about the Government and public service;
- Organizes events to share lessons learned, emerging management concepts, and recent workforce trends and patterns; and
- Offers help to ourselves and others through mentoring, coaching, preparation for career development and enhancement, and information exchange.

In particular, during the creation of the Transportation Security Administration to enhance the nation's homeland security, AAGEN networked with the Asian Pacific American law enforcement organizations and assisted in the efforts to recruit Federal security executives and personnel by exchanging information on available opportunities, use of special Federal hiring authorities, and the required executive core qualifications for the SES under special pay-band plans.

AAGEN is committed to ensure that Asian Pacific Americans will have an opportunity to participate in and contribute to the most senior levels of the Federal, state, and local governments. Its members are dedicated to serve as mentors and lead in other capacities to successfully deliver the AAGEN mission.

WHAT WE WOULD LIKE CONGRESS TO DO

David Montoya, past President of National Image, Inc. and former Director of Civil Rights at the U.S. Department of Agriculture, once said,

> "Advocates of equal employment opportunity have observed that barriers to career advancement are flexible lids. For the groups who are reserved in their interaction styles, their lack of assertiveness is cited as a barrier. For those who are less advanced in formal education, their relatively low level of educational attainment is a barrier. For those who are vocal, they are considered too loud and therefore a liability to their career. For those who are focused in their professional pursuit, they are deemed to be not managerial material and they are left in their 'technical ghetto.' Some are blocked from advancement because they are too specialized; others are kept from upward mobility because they lack technical expertise."

Many analyses have been performed and reports written about the under-representation of women and minorities in the Federal workforce. Although some improvements have taken place when there was attention and intervention by Congress and the Administration, what has been lacking is the accountability to implement and enforce the recommendations.

The GAO reports confirm that Asian Pacific Americans are severely under-represented at the SES and other senior levels of the Federal government and that there are serious concerns about the lack of inclusion of Asian Pacific Americans at the pipeline levels and in succession planning.

AAGEN urges Congress and the Administration to proceed to the next stage of reaching out to Asian Pacific Americans and removing the employment barriers that prevent Asian Pacific Americans from reaching their full potential, offering true equal opportunities to enter the SES and other senior positions, and be included in the current transformation to a 21st century Government.

In summary, AAGEN concurs with the four GAO recommendations:

1. Recruitments directed at all under-represented groups;
2. Inclusion of diversity in workforce and executive succession planning;
3. Monitoring of existing workforce and selection for hiring and promotions; and
4. Holding executives accountable for diversity.

In addition, AAGEN proposes that

5. These recommendations should be linked to specific agency strategic plans and actions, established performance goals, continuous monitoring of results, and consequences of good or poor performance;

6. Congress continues to exercise oversight by directing GAO to perform annual audits and to hold hearings to address progress or the lack of it;

7. OPM and the U.S. Postal Service should be directed to restore the availability of timely, detail, and accurate demographic workforce data to the public, including both employment and applicant pool information; and

8. The Subcommittee continues to include AAGEN and the Asian Pacific Americans perspectives in the current transformation of the SES.

Chairwoman Davis, Ranking Member Davis, and distinguished members of the Subcommittee, this concludes my statement. AAGEN will be glad to respond to your questions and provide additional assistance to your efforts. I thank you most sincerely for the opportunity to share our views.

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