

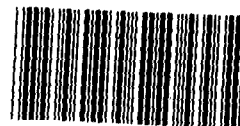
GAO

Report to the Honorable  
Barbara A. Mikulski, U.S. Senate

November 1992

# AID MANAGEMENT

## EEO Issues and Protected Group Underrepresentation Require Management Attention



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United States  
General Accounting Office  
Washington, D.C. 20548

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National Security and  
International Affairs Division

B-249283

November 23, 1992

The Honorable Barbara A. Mikulski  
United States Senate

Dear Senator Mikulski:

In response to your request, we reviewed the Agency for International Development's (AID) performance under the governmentwide equal employment opportunity and affirmative action requirements related to the employment of women and minorities. This report contains recommendations to the Administrator of AID that are intended to help the agency achieve the goal of a representative work force.

We are sending copies of this report to the Administrator of AID and to other interested parties. We will also make copies available to others upon request.

Please contact me at (202) 275-5790 if you or your staff have any questions concerning the report. Major contributors to this report are listed in appendix VII.

Sincerely yours,

A handwritten signature in cursive script that reads "Harold J. Johnson".

Harold J. Johnson  
Director, Foreign Economic  
Assistance Issues

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# Executive Summary

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## Purpose

The Agency for International Development (AID) has a mandate from the Civil Rights Act of 1964 and the Foreign Service Act of 1980 to develop and implement equal employment opportunity (EEO) and affirmative action measures in its civil and foreign service work forces. Senator Barbara Mikulski requested that GAO examine whether (1) women and minorities were fully represented by job category, major occupation, and grade level at AID; (2) AID had developed a recruitment strategy to ensure women and minorities are hired at representative rates; (3) AID's assignment and promotion practices had adversely affected any EEO group; and (4) AID had developed a process to monitor progress in achieving EEO and affirmative action goals.

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## Background

The Equal Employment Opportunity Commission (EEOC) provides agencies with guidance on how to develop affirmative action plans and monitors progress in achieving their goals. Agencies compare their work force profile to civilian labor force data and identify areas of protected group underrepresentation by job category, major occupation, and grade level. EEOC requires that agencies eliminate any potential barriers that might contribute to underrepresentation.

- Federal agencies must also comply with two other EEO requirements. The Office of Personnel Management requires that the pool of qualified women and minority candidates be increased for underrepresented occupations. EEOC requires that agencies collect and analyze data on hiring, training, assignments, tenure, promotions, and separations to determine whether selection procedures disproportionately affect any race, sex, or ethnic group. If evidence of adverse impact is found—that is, the selection rate for any group is less than 80 percent of the selection rate for the group with the highest selection rate—agencies must modify, validate, or justify the selection procedure, unless the adverse impact directly results from approved affirmative action efforts.

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## Results in Brief

As of September 30, 1991, women and minorities in AID's civil and foreign services were underrepresented in the professional and administrative job categories, in several major occupations, and at more senior grade levels. In most cases, protected groups were underrepresented by a small number of individuals; the numbers by which white females were underrepresented, however, were significantly higher. AID must determine the extent and timing of efforts needed to address such disparities.

AID lacked a recruitment plan that linked its recruitment efforts to specific areas of underrepresentation. Although AID did not collect and analyze hiring, assignment, and promotion data, the data available on AID's selection procedures showed evidence of adverse impact on several EEO groups. AID had not determined the reasons for the disparities. GAO's analysis showed that white females were generally not adversely affected by AID's hiring, assignment, and promotion practices and that this group often had the highest selection rates.

AID's EEO Oversight Board has not met since June 1986, and the AID Administrator did not establish two alternative review groups until November 1990 and December 1991, respectively. Also, senior managers were not held accountable for accomplishing action items listed in AID's affirmative action plan, and AID lacked an effective system to report progress in correcting protected group underrepresentation.

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## Principal Findings

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### Representation of Women and Minorities in AID's Work Force Is Mixed

In AID's civil service, white, Hispanic, and American Indian females and non-black minority males were the most underrepresented groups by job category. Hispanics and American Indians were the most underrepresented groups at more senior grade levels. Black males were represented at twice the comparable civilian labor force rate or greater in three out of four job categories; black females were represented at twice the civilian labor force rate or greater in all four categories.

In AID's foreign service, minority males, except for American Indians, were fully represented in the professional and administrative job categories. With the exception of Asian females, all other female groups were underrepresented in both categories. Minority males were generally fully represented at senior grade levels, while most female groups were not. For both services, American Indian males and all female groups were underrepresented in the major occupations GAO examined.

GAO found that as of September 30, 1991, minority group members were underrepresented by 81 individuals in the professional, administrative, technical, and clerical job categories in AID's foreign and civil service, whereas white females were underrepresented by 378 employees. In AID's major occupations, white females and other minority groups were underrepresented by 216 and 31 individuals, respectively. In AID's more

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senior grade levels, white females and other groups were underrepresented by 206 and 60 individuals, respectively.

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### **AID Lacks a Formal Recruitment Plan**

AID lacked a plan for recruiting and hiring underrepresented group members, as the Office of Personnel Management requires. From 1987 to 1991, white females, blacks, and Asians obtained entry-level administrative positions in the civil service at representative levels. Male and female Hispanics and American Indians were not hired at representative civilian labor force levels. For foreign service entry-level hiring, only Hispanic females and American Indians were significantly underrepresented in the administrative category.

Mid-level hiring results for the civil service show that black males, Hispanics, and American Indians were not hired at civilian labor force rates in the administrative category. In the foreign service, minority men, with the exception of American Indians, were hired for professional and administrative positions at the civilian labor force rate or above, while white and minority women were generally not.

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### **Assignment and Promotion Procedures Showed Evidence of Adverse Impact on Some EEO Groups**

Selection results from 1987 through 1991 show evidence that AID's assignment and promotion practices may have adversely affected some groups. The evidence indicated that white males—although not a protected group—and Asians were particularly affected by the agency's foreign service executive assignment process. No groups were adversely affected by the assignment system used for lower-graded foreign service staff. However, there was evidence that all EEO groups were adversely affected by AID's promotion practices.

One factor potentially affecting assignment and promotion of women and minorities was the agency's practice of granting a large number of limited career extensions to senior foreign service officers. From 1987 to 1991, an average of 68 percent of all eligible employees received an extension. Of the 131 AID extensions granted, 93 percent went to white males.

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### **EEO Oversight and Reporting Were Inadequate**

AID's permanent EEO Oversight Board has not met since June 1986. However, AID did establish two alternative oversight mechanisms, which have assumed many of the Board's functions. In November 1990, the Administrator formed a minority recruitment advisory group, which also is responsible for EEO and affirmative action issues affecting white women. In

December 1991, the Administrator created an EEO Task Force to oversee the operations of the Office of Equal Opportunity Programs. Both groups are made up of senior AID officials and report to the Deputy Administrator.

Several senior AID managers complained that the information they received on the agency's work force profile and affirmative action goals was difficult to understand and use. For example, internal reports did not compare the agency's EEO profile to the civilian labor force data. Several senior managers GAO interviewed did not understand how benchmark representation levels were actually set and had substituted their own definition of what AID's representation goals should be. Senior managers were not held accountable for achieving the agency's EEO and affirmative action objectives, and their performance plans were not used to delineate EEO and affirmative action responsibilities.

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## Recommendations

GAO makes a number of recommendations to the AID Administrator to improve AID's EEO and affirmative action efforts. (See chs. 3, 4, and 5.)

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## Agency Comments and GAO's Evaluation

In commenting on a draft of this report, AID indicated that it agreed with the facts but expressed concern that highlighting the underrepresentation of one group (white females) implies little need to address the employment status of minorities.

The GAO report contains no conclusions or recommendations that imply that AID should forego its responsibilities for addressing any inequities in the employment of minorities. AID's comments are presented in their entirety in appendix VI, along with GAO's evaluation.

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**Abbreviations**

AID	Agency for International Development
CLF	civilian labor force
EEO	equal employment opportunity
EEOC	Equal Employment Opportunity Commission
PATCO	professional, administrative, technical, clerical, and other



# Introduction

The Agency for International Development (AID) was established in 1961 to administer the U.S. foreign economic assistance program. The agency operates over 90 missions and offices worldwide. As of September 30, 1991, AID had 3,319 U.S. direct-hire employees<sup>1</sup> who were almost evenly divided between civil service (48 percent) and foreign service (52 percent) employees.

AID's civil service work force, which is based in Washington, D.C., is governed by federal personnel regulations, while the foreign service is governed by the Foreign Service Act of 1980. Although foreign affairs agencies are free to tailor their personnel practices to meet their particular needs, they must adhere to governmentwide equal employment opportunity (EEO) and affirmative action regulations as implemented by the Equal Employment Opportunity Commission (EEOC) and the Office of Personnel Management.

## AID's Civil and Foreign Service Work Forces

In accordance with EEOC and Office of Personnel Management guidance, AID's civil and foreign service employees are classified into five white-collar categories—that is, professional, administrative, technical, clerical, and other (PATCO). Specific job series are grouped by appropriate PATCO category. Agencies must develop their affirmative action plans using these five groupings. As a general rule, higher paid positions are grouped in the professional and administrative categories, while lower paid positions are concentrated in the technical, clerical, and other categories.

- Professional occupations require knowledge in a field of science or learning characteristically acquired through education or training equivalent to a bachelor's degree or higher with a major in a specialized field, as distinguished from general education. They include lawyer, accountant, economist, and auditor.
- Administrative occupations involve the application of a substantial body of knowledge to one or more fields of administration or management. Specialized majors are not required, but a college degree is generally expected. They include program officer, administrative officer, and budget analyst.
- Technical occupations typically support the efforts of professional and administrative employees and involve work that is nonroutine in nature and uses extensive practical knowledge, which is gained through on-the-job

<sup>1</sup>AID also employs foreign national direct hires and U.S. and foreign national contractors at its overseas missions, but the Equal Employment Opportunity Commission requires that agencies only analyze representation data for their U.S. direct-hire work force.

experience or training. These positions do not require a college education. They include computer operator, electronic technician, and procurement agent.

- **Clerical** occupations support an agency's business or fiscal operations and do not require a college education.
- **Other** occupations are those that cannot be related to the above categories. Predominant occupations include fire prevention, police, and security guards.

Table 1.1 shows the distribution of AID's civil and foreign service work force by PATCO category. As indicated, civil service employees mainly fall into the administrative and clerical categories, while the two predominant groups in the foreign service are professional and administrative employees.

**Table 1.1: AID's U.S. Direct Hire Work Force by PATCO Category** (As of September 30, 1991)

Number of employees		
<b>PATCO category</b>	<b>Civil service</b>	<b>Foreign service</b>
Professional	221	593
Administrative	753	1,066
Technical	190	16
Clerical	395	47
Other	38	0
<b>Total</b>	<b>1,597</b>	<b>1,722</b>

## EEOC and Office of Personnel Management Requirements

EEOC provides federal agencies with guidance for developing and implementing multiyear affirmative action plans designed to achieve full representation levels for women and minorities. These plans address each agency's EEO and affirmative action efforts and are updated annually.<sup>2</sup> Each agency's plan must (1) identify possible barriers or problems affecting women and minorities in such areas as recruitment, hiring, assignments, promotions, and discrimination complaints; (2) specify objectives and related action items to remove any problems or barriers identified; and (3) name the officials responsible for carrying out these actions and identify target completion dates.

<sup>2</sup>To date, EEOC has required two 5-year plans from federal agencies. Instructions for the first multiyear plan, Management Directive 707, were issued in 1981. Instructions for the second plan, Management Directive 714, were issued in October 1987 and covered fiscal years 1988 through 1992. EEOC extended the current 5-year planning cycle to fiscal year 1993 to allow the Commission sufficient time to develop instructions for the next multiyear cycle. These instructions are scheduled for release in fall 1992.

The Federal Equal Opportunity Recruitment Program was created as a result of the Civil Service Reform Act of 1978. It is managed by the Office of Personnel Management and functions apart from EEOC's multiyear affirmative action planning process. The main objective of the program is to increase the pool of qualified women and minorities for occupations where these groups are underrepresented. The program requires that agencies conduct an analysis of their mainstream occupations to determine whether areas of underrepresentation exist. If such areas are identified, agencies are expected to develop a recruitment plan that outlines any appropriate combination of recruitment sources to correct underrepresentation.

EEOC's Uniform Guidelines on Employee Selection Procedures requires that agencies collect and analyze data on hiring, training, assignments, tenure, promotions, and separations to determine whether agency selection procedures adversely affect any race, sex, or ethnic group. The guidelines measure whether agency selection procedures, absent any specific affirmative action programs, adhere to statutory EEO principles.<sup>3</sup> In contrast, multiyear affirmative action plans and the Federal Equal Opportunity Recruitment Program focus on additional efforts to recruit, employ, and promote qualified members of underrepresented groups.

According to the guidelines, a selection rate for any EEO group<sup>4</sup> that is less than four-fifths of the rate for the group with the highest rate will generally be regarded by federal enforcement agencies as evidence of adverse impact.<sup>5</sup> If a procedure is determined to have adverse impact, agencies must revise the selection procedure to eliminate the adverse impact or provide evidence that the procedure accurately measures required job skills. A number of factors, however, must be considered in arriving at a

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<sup>3</sup>The terms "EEO" and "affirmative action" are sometimes confused. Equal employment opportunity pertains to nondiscrimination in employment on the grounds of gender, race, ethnicity, religion, age, or handicapping condition. It requires the elimination of all employment policies and practices that operate to the detriment of any person on these grounds. Affirmative action goes beyond ensuring employment neutrality. It requires that an employer with an unbalanced work force with regard to gender, race, ethnicity, and handicapping condition make additional efforts to recruit, employ, and promote qualified members of underrepresented groups.

<sup>4</sup>EEOC guidance treats the following, broken down by gender, as EEO groups: white, black, Hispanic, Asian American/Pacific Islander, American Indian/Alaskan Native, and the handicapped. With the exception of white males, these groups are all considered "protected" since agencies may use affirmative action remedies to correct underrepresented conditions. This report does not deal with EEO issues pertaining to the handicapped, who are monitored under separate EEOC guidance.

<sup>5</sup>EEOC guidelines define "adverse impact" as "a substantially different rate of selection in hiring, promotion, or other employment decision which works to the disadvantage of members of a race, sex, or ethnic group."

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final determination. For example, affirmative action efforts, on occasion, can affect other groups' selection results and lead to a preliminary finding that adverse impact occurred. However, instances of adverse impact related to bona fide affirmative action efforts are permitted under the guidelines.

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## AID's EEO Organization

Within AID, the Office of Equal Opportunity Programs is responsible for developing the agency's multiyear plan and annual updates and for processing discrimination complaints. It is also responsible for providing centralized leadership, coordination, monitoring, and evaluation of agencywide EEO and affirmative action efforts.

AID's Human Resources Development and Management Division is responsible for implementing the affirmative action policies designed by the Office of Equal Opportunity Programs and approved by top management. It is responsible for ensuring that the civil service merit system conforms with the Civil Service Reform Act of 1978 and all applicable Office of Personnel Management rules, policies, and procedures. It is also responsible for ensuring that the foreign service personnel system conforms with the Foreign Service Act of 1980, such as convening and overseeing the foreign service selection boards, which make all hiring, assignment, tenure, promotion, and separation decisions. This division has lead responsibility for all civil service and foreign service recruitment matters, including the development of a formal recruitment plan.

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## Measuring Protected Group Representation Levels

Agencies evaluate the representation of women and minorities by comparing their work force profiles to the relevant civilian labor force (CLF).<sup>6</sup> Using information from the 1980 census,<sup>7</sup> EEOC developed CLF data for agencies to use in these analyses.<sup>8</sup> Each year, agencies analyze their work force by PATCO category, major occupation, and grade level.

EEOC uses the terms "manifest imbalance" and "conspicuous absence" to describe areas of underrepresentation. According to EEOC Management

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<sup>6</sup>CLF data is available at the national, regional, state, and standard metropolitan area levels. Agencies are expected to use the CLF benchmark that most closely approximates their scope of recruitment and hiring.

<sup>7</sup>Data from the 1990 census will not be available until fall 1992.

<sup>8</sup>CLF represents people, 16 years or older, excluding individuals in the armed forces, who are employed or seeking employment. EEOC matches CLF data to federal job series. The matched data is then aggregated by PATCO category.

Directive 714, manifest imbalance refers to situations where a protected group is “substantially below its representation in the appropriate CLF.” Conspicuous absence refers to situations where a protected group is “nearly or totally nonexistent from a particular occupation or grade level in the work force.” Prior to these two definitions being established, EEOC guidance used the term “severe underrepresentation” to describe situations where a group was represented at 50 percent or less of the CLF rate.

To address instances of conspicuous absence or manifest imbalance, agencies may institute numerical selection goals and other affirmative action efforts. According to EEOC guidance, numerical goals may be established as part of the agency’s formal affirmative action plan if they do not require or mandate the selection of unqualified persons and have a reasonable relation to the extent of underrepresentation, the availability of candidates, and the number of vacancies.

When specific areas of underrepresentation are being targeted, agencies may consider a candidate’s gender, race, or ethnicity when making employment decisions. When protected group members attain full representation, numerical goals and related affirmative action efforts may not be used to maintain these levels.

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## Objectives, Scope, and Methodology

Concerned about the status of women and minorities at AID, Senator Barbara Mikulski requested that we review AID’s policies and procedures for the hiring and advancement of protected groups in AID’s civil and foreign services. Our objectives were to determine whether (1) women and minorities were fully represented by job category, major occupation, and grade level; (2) AID had developed a recruitment strategy to ensure that women and minorities are hired at representative rates; (3) AID’s assignment and promotion practices show evidence of adverse impact on any EEO group; and (4) AID had developed a process to monitor its progress in achieving its EEO and affirmative action goals.

We reviewed relevant EEO statutes, the Foreign Service Act of 1980, and guidance issued by EEOC and the Office of Personnel Management. We also reviewed AID’s multiyear plan and updates, internal agency guidance, and other documents dealing with AID’s affirmative action efforts. We interviewed AID officials from the Office of Equal Opportunity Programs, Human Resources Development and Management Division, the Minority Recruitment Advisory Group, the EEO Task Force, and several employee



interest groups. We also met with officials from EEOC, the U.S. Civil Rights Commission, and the Office of Personnel Management.

AID's Human Resources Development and Management Division provided us with selection data, which we analyzed for evidence of adverse impact using appropriate EEOC criteria. AID's Office of Equal Opportunity Programs provided us with data on the agency's work force and its composition. We did not independently verify this data.

We developed representation profiles for the agency following EEOC criteria, which requires that agency work force data be compared to 1980 CLF data. (Data from the 1990 census is not due to be released to federal agencies until fall 1992.) Our representation profiles use an index that reflects a group's percent representation in AID's work force compared to the group's percent representation in the relevant CLF.<sup>9</sup> Full representation is indicated by 100, with numbers below this figure representing underrepresentation. Appendix I contains additional details on the methodology and data we used to calculate representation levels.

In our analysis of representation levels, we used 10 protected groups delineated by EEOC. These groups are white female, black male and female, Hispanic male and female, Asian/Pacific Islander male and female, American Indian/Alaskan Native male and female, and total female.<sup>10</sup> White males were not included in our analyses of representation levels because they are not a protected group subject to affirmative action remedies. While selection data must be collected and maintained by EEO group and gender subgroup (that is, white males, white females, black males, black females, etc.), EEOC guidance suggests that there is no obligation to separately analyze each subgroup in preparing an adverse impact analysis. Given the relatively small numbers involved, we elected to combine gender subgroup results for blacks, Hispanics, and Asians to obtain a more reliable estimate of whether adverse impact had occurred.

For AID's civil service, we examined a total of 40 groups or categories using PATCO divisions (the 10 protected groups times 4 PATCO occupational categories). For AID's foreign service, we examined a total of 20 categories (10 protected groups times 2 PATCO occupational categories). Our analysis of AID's major occupations involved 80 categories (10 protected groups

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<sup>9</sup>Consistent with AID's practice, we used national CLF data for our analyses.

<sup>10</sup>For brevity, we identify Asian Americans/Pacific Islanders as Asian and American Indian/Alaskan Native as American Indian throughout this report.

times 8 occupations). Our analyses of grade-level representation data in the professional and administrative job categories involved 40 civil service categories (10 protected groups times 4 grade levels) and 80 foreign service categories (10 protected groups times 8 grade levels).

The PATCO occupational categories and AID major occupations and grade levels with less than 100 employees were generally not examined. We adopted this cutoff because Office of Personnel Management guidance encourages that representation analyses be performed for groupings of 100 or more employees to permit more reasonable comparisons with CLF. However, in certain instances, we examined the extent of representation when the number of employees came close to the cutoff.

Since the terms "manifest imbalance" and "conspicuous absence" are not numerically defined, we used EEOC's prior definition for "severe underrepresentation," which exists when representation is 50 percent or less of CLF. While no standard criteria exists to describe significantly elevated representation levels, we adopted the phrase "substantially higher than the CLF rate" to refer to cases where an EEO group was represented at twice or above its CLF rate.

We performed our work between April 1991 and May 1992 in accordance with generally accepted government auditing standards. We obtained AID's comments on a draft of this report; they are presented in their entirety in appendix VI, along with our evaluation.

# Some Protected Groups Were Underrepresented in AID's Work Force

In AID's civil and foreign service work force, protected group members were in many cases underrepresented by PATCO category, major occupation, and grade level. Non-black minority males were not as well represented on average as females in the civil service. In contrast, minority males were generally well represented in the foreign service, while females were consistently underrepresented.

We found that as of September 30, 1991, white females were underrepresented in AID's civil and foreign service work force by 378 employees, whereas all other protected groups were underrepresented by a combined total of 81 employees. When analyzed by major occupation, white women were underrepresented by 216 employees, and other protected groups by a combined total of 31 employees. An analysis of representation of employees graded FS-03 and GS-13 and above showed that white women were underrepresented by 206 employees and other protected groups by a combined total of 60 employees.

## Representation Rates for Women and Minorities by PATCO Category Were Mixed

As of September 30, 1991, protected groups were underrepresented in 22 of 40 PATCO occupational categories in AID's civil service; they were "severely underrepresented" in 15 of these categories. Black males and females were represented at substantially higher rates than the comparable CLF rates in seven of eight PATCO categories. In AID's foreign service, protected groups were underrepresented in 12 of 20 categories. All five instances of "severe underrepresentation" were found among female employees. In contrast, with the exception of American Indians, minority males were fully represented in the professional and administrative categories. Additional details on civil and foreign service representation levels are provided in appendix II.

## Extent of Underrepresentation by PATCO Category

Tables 2.1 and 2.2 show the extent of underrepresentation of civil and foreign service employees, respectively, by PATCO category. As shown in table 2.1, as of September 30, 1991, white females were underrepresented by 206 employees in the 4 civil service PATCO categories we examined. Other protected groups were underrepresented by 54 employees.

**Chapter 2  
Some Protected Groups Were  
Underrepresented in AID's Work Force**

**Table 2.1: Extent of Underrepresentation of Civil Service Employees by PATCO Category (As of September 30, 1991)**

PATCO category (employees)	Extent of underrepresentation									
	Male					Female				
	Black	Hispanic	Asian	American Indian	White	Black	Hispanic	Asian	American Indian	
Professional (221)	0	1	0	0	11	0	3	0	0	
Administrative (753)	0	12	1	2	0	0	4	0	1	
Technical (190)	0	5	1	0	43	0	2	1	0	
Clerical (395)	0	7	3	0	152	0	11	0	0	
<b>Total</b>	<b>0</b>	<b>25</b>	<b>5</b>	<b>2</b>	<b>206</b>	<b>0</b>	<b>20</b>	<b>1</b>	<b>1</b>	

Note: "Other" category is not shown since it had less than 100 employees.

EEOC provides CLF data at the national, regional, state, and standard metropolitan statistical area levels. Agencies are required to use the benchmark that most closely matches the geographic area from which they recruit. According to AID, it recruits nationally for all PATCO categories, and therefore it uses national CLF data for its benchmark. Consistent with AID's practice, we used national CLF data for our analyses.

As shown in table 2.2, white women were underrepresented by 172 employees in the two foreign service PATCO categories we examined. All other protected groups in the professional and administrative categories were underrepresented by a total of 27 employees.

**Table 2.2: Extent of Underrepresentation of Foreign Service Employees by PATCO Category (As of September 30, 1991)**

PATCO category (employees)	Extent of underrepresentation									
	Male					Female				
	Black	Hispanic	Asian	American Indian	White	Black	Hispanic	Asian	American Indian	
Professional (593)	0	0	0	0	99	7	6	5	1	
Administrative (1,066)	0	0	0	0	73	1	6	0	1	
<b>Total</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>0</b>	<b>172</b>	<b>8</b>	<b>12</b>	<b>5</b>	<b>2</b>	

Note: Technical, clerical, and other categories are not shown since they had less than 100 employees.

## Women Were Underrepresented in Many Major Occupations

Analyses of major occupations<sup>1</sup> may be conducted using a variety of benchmarks. First, agencies may prepare their major occupation analyses using the relevant PATCO figure as a benchmark. Second, agencies may request a variance to use occupation-specific CLF data from EEOC.<sup>2</sup> Third, agencies may request to use some alternative labor force measure, such as degrees conferred. (See app. I for a discussion of alternative labor force measures.)

As of September 30, 1991, underrepresentation existed within 44 of 80 major occupational categories (that is, 10 protected groups times 8 major occupations). Female underrepresentation accounted for 33 (or 75 percent) of the 44 underrepresented categories. Only black males were fully represented in all eight occupations. All other protected groups were underrepresented in one or more occupations. Additional details are provided in appendix III, table III.1.

Shortages in some of these occupations could affect the future representation of protected group members at senior levels in the foreign service. As pointed out in a 1988 internal study<sup>3</sup> on recruitment:

Imbalances in some of these occupations are especially critical as they are among the more important routes for upward mobility in promotions and movement toward executive level positions. Overall agency numbers are much less significant than imbalances in particular occupations. Successful careers with upward mobility in AID are traditionally more likely in certain occupations. If women and minorities are concentrated in occupational specialties with less opportunity for upward mobility, then imbalances in these categories take on serious consequences.

The same report suggests that program and project development jobs are the agency's "fast track" occupations. In this case, the program officer and program manager positions would be considered particularly career-enhancing. Among minority males, only American Indians were underrepresented in program officer positions (see app. III). However, white, Hispanic, American Indian, and Asian women were

<sup>1</sup>Major occupations are defined by EEOC as having 100 or more employees and a career path leading to more senior positions within the agency. AID identified the following as major occupations: program officer, miscellaneous administrative, biologist, program manager, administrative officer, economist, auditor, and contract specialist. These eight occupations accounted for about 58 percent of AID's professional and administrative employees.

<sup>2</sup>AID chose to use occupation-specific data in its major occupations analyses. Consistent with AID's practice, we also used this data.

<sup>3</sup>Assessment of the Foreign Service and Civil Service Recruitment System (Nov. 16, 1988).

underrepresented. In the program manager position, among minority males, only blacks and American Indians were fully represented. Among females, whites, Asians, and American Indians were underrepresented.

**Extent of Underrepresentation by Major Occupation**

As indicated in table 2.3, as of September 30, 1991, white females in AID were underrepresented by 216 employees for all eight occupations. The combined total for all other EEO groups was 31 employees.

**Table 2.3: Extent of Underrepresentation by Major Occupation (As of September 30, 1991)**

Job title (employees)	Extent of underrepresentation									
	Male					Female				
	Black	Hispanic	Asian	American Indian	White	Black	Hispanic	Asian	American Indian	
Program officer (485)	0	0	0	<sup>a</sup>	82	0	6	1	<sup>a</sup>	
Miscellaneous administrative (239)	0	0	0	1	29	0	2	0	1	
Biologist (180)	0	0	0	0	43	1	2	3	<sup>a</sup>	
Program manager (154)	0	1	2	0	20	0	0	1	<sup>a</sup>	
Administrative officer (127)	0	1	0	0	0	0	0	0	<sup>a</sup>	
Economist (116)	0	0	0	<sup>a</sup>	12	1	1	0	<sup>a</sup>	
Auditor (112)	0	0	0	<sup>a</sup>	30	2	1	2	<sup>a</sup>	
Contract specialist (106)	0	1	0	<sup>a</sup>	0	0	1	0	<sup>a</sup>	
<b>Total</b>	<b>0</b>	<b>3</b>	<b>2</b>	<b>1</b>	<b>216</b>	<b>4</b>	<b>13</b>	<b>7</b>	<b>1</b>	

<sup>a</sup>Less than 0.5.

**Significant Representation Problems Exist at Senior Grade Levels**

In the senior grade levels of AID's civil service, protected groups were underrepresented in 25 of 40 categories. Even though all protected groups had instances of underrepresentation, Hispanics were underrepresented in seven of eight categories, and American Indians were underrepresented in all eight categories. Additional details are provided in appendix IV, table IV.1.

In the senior grade levels of AID's foreign service, protected group members were underrepresented in 53 of 80 categories. Women were underrepresented in 43 of the 53 categories. This underrepresentation of women was generally evenly spread across protected groups. Among males, only American Indians were significantly underrepresented by grade level. Additional details are provided in appendix IV, table IV.2.

**Extent of Underrepresentation by Grade Level**

As shown in table 2.4, as of September 30, 1991, white females were underrepresented by 13 employees in the senior grade levels of AID's civil service. The combined total for all other groups was 16.

**Table 2.4: Extent of Underrepresentation of Civil Service Employees in Senior Grade Levels (As of September 30, 1991)**

PATCO category/grade level (employees)	Extent of underrepresentation								
	Male					Female			
	Black	Hispanic	Asian	American Indian	White	Black	Hispanic	Asian	American Indian
Professional <sup>b,c</sup>									
GS-14 and -15 (125)	0	0	0	<sup>a</sup>	13	2	1	0	<sup>a</sup>
Administrative <sup>b</sup>									
GS-15 <sup>d</sup> (98)	2	2	0	<sup>a</sup>	0	0	1	<sup>a</sup>	<sup>a</sup>
GS-14 (148)	0	1	2	<sup>a</sup>	0	0	0	0	<sup>a</sup>
GS-13 (168)	0	3	0	1	0	0	1	0	<sup>a</sup>
<b>Total</b>	<b>2</b>	<b>6</b>	<b>2</b>	<b>1</b>	<b>0</b>	<b>0</b>	<b>2</b>	<b>0</b>	<b>0</b>
<b>Grand total</b>	<b>2</b>	<b>6</b>	<b>2</b>	<b>1</b>	<b>13</b>	<b>2</b>	<b>3</b>	<b>0</b>	<b>0</b>

<sup>a</sup>Less than 0.5.

<sup>b</sup>Senior executive service had only nine employees.

<sup>c</sup>GS-13 category had less than 100 employees.

<sup>d</sup>Includes two GS-18s and five GS-16s.

As indicated in table 2.5, as of September 30, 1991, white female employees were underrepresented by 193 employees in the foreign service professional and administrative categories for more senior positions. The combined total for all other groups was 44.

**Chapter 2**  
**Some Protected Groups Were**  
**Underrepresented in AID's Work Force**

**Table 2.5: Extent of Underrepresentation of Foreign Service Employees in Senior Grade Levels (As of September 30, 1991)**

PATCO category/grade level (employees)	Extent of underrepresentation								
	Male					Female			
	Black	Hispanic	Asian	American Indian	White	Black	Hispanic	Asian	American Indian
<b>Professional</b>									
Senior foreign service (93) <sup>b</sup>	0	0	2	<sup>a</sup>	19	3	1	1	<sup>a</sup>
FS-01 (139)	0	0	0	<sup>a</sup>	27	3	2	2	<sup>a</sup>
FS-02 (216)	0	0	0	<sup>a</sup>	37	1	1	0	<sup>a</sup>
FS-03 (110)	0	0	0	0	19	2	1	1	0
<b>Total</b>	<b>0</b>	<b>0</b>	<b>2</b>	<b>0</b>	<b>102</b>	<b>9</b>	<b>5</b>	<b>4</b>	<b>0</b>
<b>Administrative</b>									
Senior foreign service (183)	0	2	1	0	35	4	0	1	<sup>a</sup>
FS-01 (288)	0	0	0	0	39	4	3	0	<sup>a</sup>
FS-02 (304)	0	0	0	0	17	5	2	0	0
FS-03 (186)	0	0	0	1	0	0	1	0	<sup>a</sup>
<b>Total</b>	<b>0</b>	<b>2</b>	<b>1</b>	<b>1</b>	<b>91</b>	<b>13</b>	<b>6</b>	<b>1</b>	<b>0</b>
<b>Grand total</b>	<b>0</b>	<b>2</b>	<b>3</b>	<b>1</b>	<b>193</b>	<b>22</b>	<b>11</b>	<b>5</b>	<b>0</b>

<sup>a</sup>Less than 0.5.

<sup>b</sup>Data included since total was close to the 100-employee cutoff.



# AID Does Not Have a Formal Recruitment and Hiring Strategy

AID did not have a formal plan for recruiting and hiring underrepresented protected group members, as called for by Office of Personnel Management guidance. This unstructured approach was evident in AID's external and internal recruitment efforts as well as entry- and mid-level hiring results. Although AID did not maintain complete applicant data at all stages of its civil service hiring process, for 1989 through 1991, white women had the highest rates of selection and thus were the dominant group; comparative rates indicate that all other EEO groups showed evidence of being adversely affected. Concerning AID's foreign service hiring practices, no EEO group showed evidence of being adversely affected.

## AID Lacked a Written Recruitment Plan

Office of Personnel Management guidance requires that all agencies with underrepresented occupations prepare an annual plan with specific strategies for increasing the pool of protected group applicants for underrepresented occupations. An agency's Federal Equal Opportunity Recruitment Program plan should clearly integrate (1) known areas of underrepresentation, (2) projected hiring levels, and (3) external and internal recruitment efforts. Furthermore, recruitment priorities must be established based on the extent of underrepresentation and the availability of recruitment funding.

AID officials could only locate the annual updates for the last 2 years but not the plan itself. The Office of Personnel Management could not locate a copy of the plan either. According to AID officials, the last plan was completed sometime in 1985.

## External and Internal Recruitment Efforts

AID used both external and internal recruitment efforts to attract protected group members. External recruitment efforts included visiting schools or job fairs, advertising, and maintaining contacts with professional organizations. Over the past several years, AID has advertised in national and specialized publications, attended job fairs, and visited colleges and universities with traditionally high black and Hispanic enrollment rates. We reviewed AID's external recruitment activity for calendar years 1990 and 1991 and noted that AID's efforts focused on black and Hispanic institutions, but AID targeted few specific measures at other protected groups.

Internal recruitment efforts covered such areas as career development and staffing initiatives, upward mobility programs, student intern programs,

and job restructuring for lower-graded employees. AID's internal recruitment efforts differ for its foreign and civil service work forces. For the foreign service, its efforts have focused on two programs. First, in January 1991, AID established a career advancement program to allow its qualified civil service employees to compete for entry into the foreign service as career candidates. Second, in January 1992, it established an overseas residential intern program for minority graduate students to serve in AID's overseas missions for a maximum of 6 to 9 months. Graduates from the program will be eligible to apply for career candidate status through normal competitive channels. To date, AID has accepted five individuals into its career advancement program (1 white male, 2 white females, 1 black male, and 1 black female). The overseas intern program has accepted three candidates (1 black male and 2 black females).

Internal recruitment efforts for the civil service include the following:

- Office of Personnel Management cooperative education programs permit high school, undergraduate, or graduate students to work in the agency and convert to career status on a noncompetitive basis when all program requirements have been met.
- Presidential management interns are eligible to convert to career status on a noncompetitive basis.
- AID's summer intern program provides part-time jobs to high school, undergraduate, or graduate students. Program participants may apply for career status positions through normal competitive channels.
- AID encourages its supervisors to restructure job vacancy announcements to allow lower-graded employees to apply for positions with a career ladder to the GS-12 level. AID officials said that career ladder positions have been used as an ad hoc upward mobility program for civil service employees.

The current Director of the Office of Equal Opportunity Programs told us that she does not monitor such internal recruitment activities and that she lets individual bureaus and offices decide how active they wish to be in these programs. The current Director of Human Resource Development and Management confirmed that AID's internal recruitment efforts are not integrated into the agency's affirmative action plan. A senior EEOC official responsible for federal affirmative action planning told us that agency EEO offices should ensure that such programs (1) are integrated with the agency's overall affirmative action program and (2) serve only underrepresented groups and are not acting as feeder groups for occupations where protected group members are already fully represented.

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Table 3.1 shows the number of individuals for whom we could identify gender and ethnicity and who are participating in civil service career development and staffing programs. As indicated, the cooperative education program has a high proportion of black females (39 out of 74 participants); as discussed in chapter 2, the representation of this group was substantially higher than the CLF rate in the four PATCO categories we examined. In contrast, the program did not have a high white female participation rate (10 out of 74). AID's career ladder programs also has a high proportion of black employees (77 out of 131 positions).

**Table 3.1: Civil Service Internal Recruitment Efforts (1987 Through 1991)**

Program	Male					Female				
	White	Black	Hispanic	Asian	American Indian	White	Black	Hispanic	Asian	American Indian
Cooperative education program	14	7	0	1	0	10	39	1	2	0
Presidential management intern program	7	0	0	0	0	19	2	0	0	0
Career ladder positions	11	1	0	0	0	39	76	3	1	0
<b>Total</b>	<b>32</b>	<b>8</b>	<b>0</b>	<b>1</b>	<b>0</b>	<b>68</b>	<b>117</b>	<b>4</b>	<b>3</b>	<b>0</b>

Note: Gender and ethnicity data on AID's summer intern program was not available.

## Entry- and Mid-level Hiring Results Were Mixed

Table 3.2 shows AID's entry-level<sup>1</sup> hiring results for the administrative category. These results indicate the representation percent of each group in the total pool of new hires divided by each group's percent distribution in CLF.

Only the administrative category is shown because all other PATCO categories, with the exception of clerical, had far less than 100 new hires from 1987 through 1991. As indicated, in AID's civil service, Hispanics and American Indians were hired for entry-level positions at rates that fell below their CLF representation, while blacks and Asians were hired at rates that substantially exceeded their CLF representation. In the foreign service,

<sup>1</sup>Civil service entry-level positions are defined as GS-12 or below. Foreign service entry-level positions are defined as FS-04 or below.

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only Hispanic females and American Indians were not hired at CLF levels, while blacks and Asians were hired at rates that substantially exceeded their CLF levels. White females applied for and were hired into civil and foreign service positions at rates that exceeded or were about equal to the CLF rate.

**Table 3.2: Representation Index for Civil and Foreign Service Entry-Level Hiring Results for the Administrative Category (1987 Through 1991)**

Rates in percent

Work force (employees)	Male					Female				Total female
	Black	Hispanic	Asian	American Indian	White	Black	Hispanic	Asian	American Indian	
Civil service <sup>a</sup> (92)	269	39	201	0	127	417	84	1,066	0	168
Foreign service <sup>a</sup> (97)	255	149	286	0	97	198	79	404	0	111

<sup>a</sup>Data included since total was close to the 100-employee cutoff.

Table 3.3 shows mid-level<sup>2</sup> hiring results for the foreign service professional and administrative categories. Civil service hiring results for the professional category are not shown since they fell well below the Office of Personnel Management's recommended threshold of 100 employees. As indicated, with the exception of American Indians and black and Hispanic males in the civil service administrative category, minority males were hired at, above, or substantially higher than their CLF rates in both categories. Females were more frequently hired below CLF rates.

<sup>2</sup>Civil service mid-level hiring is defined as GS-13 through GS-15. Foreign service mid-level hiring is defined as FS-03 through FS-01.

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**Table 3.3: Representation Index for Civil and Foreign Service Mid-Level Hiring Results for the Professional and Administrative Categories (1987 Through 1991)**

Rates in percent

PATCO category (employees)	Male					Female				
	Black	Hispanic	Asian	American Indian	White	Black	Hispanic	Asian	American Indian	Total female
Professional										
Foreign service (132)	163	140	269	0	62	0	133	135	0	61
Administrative										
Civil service <sup>a</sup> (80)	69	45	231	0	155	120	96	245	0	150
Foreign service (121)	114	150	306	0	68	79	0	162	0	68

<sup>a</sup>Data included since total was close to the 100-employee cutoff.

From 1987 through 1991, 56 percent of all U.S. direct hires were at the mid-level, despite a Foreign Service Act provision generally restricting entry levels for foreign service officer candidates to FS-04 or below. AID officials attributed this pattern to hiring freezes imposed as a result of full-time staffing restrictions placed on the agency by the Office of Management and Budget. When the hiring freezes were lifted, the agency had to first fill critical vacancies with experienced workers, who were often personal service contractors or other employees from AID's extended work force.

In February 1991, the Deputy Administrator approved a new hiring policy that established AID's International Development Intern Program as the agency's principal recruiting mechanism. Under this policy, AID will attempt on an annual basis to limit its hiring of foreign service mid-level employees to 20 percent, while reserving the remaining 80 percent of foreign service positions for its intern program. The Administrator stated in May 7, 1991, testimony before the Subcommittee on Foreign Operations, Senate Committee on Appropriations, that the reinvigorated intern program is part of AID's effort to expand its recruitment of women and minorities.

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## **Numerical Hiring Goals Were Frequently Not Achieved**

AID established numerical hiring goals for protected group members for underrepresented occupations based on annual vacancies. From fiscal years 1989 through 1991, it generally did not meet its goals. This problem was most severe in 1991 when only 1 of 21 affirmative action hiring vacancies was filled.

In March 1991, AID changed its foreign service selection process to a strict rank order system to reduce the amount of time required to hire employees and to eliminate political influences and other nonmerit factors. Candidates are now hired in the order they are ranked by the technical review committee. This change eliminated the agency's ability to consider race, gender, and ethnicity when hiring an individual for an underrepresented occupation. Under AID's previous system, foreign service applicants were ranked by a technical review committee. A selecting official would then make his or her selection from the list of best qualified candidates. This approach has always been used for civil service hiring.<sup>3</sup>

Table 3.4 shows AID's progress in achieving its numerical hiring objectives from fiscal years 1989 through 1991. AID set hiring goals for a wide range of occupations, including computer specialists, budget analysts, program officers, engineers, and auditors. Goals were set for underrepresented occupations, without regard to the extent of underrepresentation. AID's limited success in meeting its affirmative action hiring goals may be attributed to a number of factors, but the lack of a written recruitment plan contributed to the agency's inability to identify qualified candidates from underrepresented occupations.

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<sup>3</sup>Under AID's civil service hiring system, selecting officials are notified in writing of any numerical goals for positions they are considering. Final selection certificates must be reviewed and approved by the Office of Equal Opportunity Programs.

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**Table 3.4: Numerical Hiring Goals** (Fiscal Years 1989 Through 1991)

Year	Number of occupations	Total hiring goal	Number hired	Percent of goal
<b>1989</b>				
Occupations where goals were met	5	10	16	160
Occupations where goals were not met	11	45	3	7
<b>1990</b>				
Occupations where goals were met	7	12	23	192
Occupations where goals were not met	19	106	15	14
<b>1991</b>				
Occupations where goals were met	0	0	0	0
Occupations where goals were not met	8	21	1	5

As discussed in chapter 2, black employees in both the civil and foreign services were represented at rates substantially higher than the CLF rates in several PATCO categories. AID did not consider this when setting numerical hiring goals. EEOC has not issued guidance on the implications of protected groups being represented at rates substantially higher than the CLF rate. However, a senior EEOC official responsible for affirmative action planning suggested it becomes “tricky” when full representation is achieved in a given PATCO category, while underrepresentation still exists in certain occupations within that category. He stated that an agency should not automatically set hiring goals for all underrepresented job series in this case. Hiring goals would only serve to push the protected group’s PATCO representation level even higher and could distort the representation rates for other protected groups and white males. Rather, the agency should examine why protected groups are represented at proportionally higher rates in certain occupations. The challenge would then become to generate internal movement, with the aim of distributing members of the protected group more evenly across job series.

**Evidence of Adverse Impact Found in AID’s Civil Service Hiring Procedures**

The hiring process at AID for civil service positions showed evidence of adverse impact on most protected groups. Except for white females, civil service hiring results from fiscal years 1989 through 1991 indicate that all other EEO groups were adversely affected by AID’s selection process. Foreign service selection results for the period 1987 through 1990 showed no evidence that any EEO group was adversely affected by AID’s selection

process. However, we could not conduct a complete analysis for AID's foreign service selection process because AID did not maintain applicant data for all stages of the hiring process.

Table 3.5 summarizes AID's civil service selection results for fiscal years 1989 through 1991. Table 3.5 shows that while the technical selection panels referred people from all groups in relative proportion to each other, all groups, except for white females, showed evidence of adverse impact at the selecting official stage.

To more clearly depict our preliminary findings, we developed an "impact rate," which was calculated by dividing a given EEO group's rate of selection by the highest rate of selection for any other group. According to the four-fifths rule, impact rates above 80 percent indicate the selection procedure did not have an adverse impact, while rates below 80 percent indicate evidence of adverse impact. Agency action is not required in cases where the adverse impact was related exclusively to a bona fide affirmative action effort; however, AID had not made this determination. Agency action is also not required where a finding of adverse impact would not have occurred had one more member of the EEO group been selected.

**Table 3.5: Civil Service Hiring Results**  
(Fiscal Years 1989 Through 1991)

<b>Selection stage</b>	<b>White male</b>	<b>White female</b>	<b>Black</b>	<b>Hispanic</b>	<b>Asian</b>
<b>Technical review panel</b>					
Number applying	532	240	228	29	56
Number certified	482	221	198	25	51
Percent certified	90.6	92.1	86.8	86.2	91.1
Impact rate (percent)	98.4	100.0	94.2	93.6	98.9
<b>Selecting official</b>					
Number selected	59	59	35	5	6
Percent selected	12.2	26.7	17.7	20.0	11.8
Impact rate (percent)	45.7	100.0	66.3	74.9	44.2

Note: Per EEOC guidance, data on American Indians was not collected since they represented less than 2 percent of the applicable CLF. Also, the selection of one more Hispanic would have eliminated evidence of adverse impact for that group.

As shown in table 3.6, hiring results for AID's foreign service show that no EEO group showed evidence of adverse impact at the selecting official stage. Data was not available at the application stage; as a result, only the number certified is shown.



**Table 3.6: Foreign Service Hiring  
Results (1987 Through 1990)**

<b>Selection stage</b>	<b>White male</b>	<b>White female</b>	<b>Black</b>	<b>Hispanic</b>	<b>Asian</b>
Technical Review Panel					
Number certified	322	136	49	21	40
Selecting official					
Number selected	209	82	27	11	21
Percent selected	64.9	60.3	55.1	52.4	52.5
Impact rate (percent)	100.0	92.9	84.9	80.7	80.9

## Conclusions

AID lacked a formal plan for recruitment. Although both external and internal recruitment efforts were conducted, these efforts did not always result in entry- and mid-level hiring that alleviated existing areas of underrepresentation. Also, AID's recruitment efforts were not sufficient to eliminate the agency's ongoing difficulties in meeting its affirmative action hiring goals.

Some EEO groups showed evidence of being adversely affected by AID's hiring procedures; however, AID did not routinely collect and analyze selection data to make this determination, nor did it attempt to ascertain whether the evidence of adverse impact was related exclusively to a bona fide affirmative action effort. This is a key oversight since adverse impact data is needed to determine whether existing areas of underrepresentation are mainly due to inadequate recruitment efforts or whether such problems are largely the result of agency selection procedures.

## Recommendations

We recommend that the AID Administrator

- develop a detailed Federal Equal Opportunity Recruitment Program plan that focuses the agency's attention on underrepresented groups and integrates the agency's external and internal recruitment efforts;
- ensure that external and internal recruitment activities are coordinated with the agency's affirmative action plan;
- prepare analyses of PATCO categories with substantially elevated protected group representation levels to determine how better balance might be achieved across job series;
- routinely collect and analyze selection data for evidence of adverse impact at each step in the hiring process and determine whether any actual adverse impact is related to bona fide affirmative action efforts; and

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- 
- modify or validate those selection procedures where adverse impact not related to bona fide affirmative action efforts is found.

# Assignment and Promotion Practices Showed Evidence of Adverse Impact

Our analyses provided evidence that white males—although not a protected group—and minorities may have been adversely affected by AID’s assignment and promotion practices in several instances. White females, in contrast, generally received requested assignments and were promoted at rates equal to or above all other groups. We also noted that selection panels were diverse in nature; however, the EEO briefings given to these panels did not always adhere to EEOC and Office of Personnel Management requirements.

## Limited Evidence of Adverse Impact in AID’s Assignment Process

Overall, from 1989 through 1991, every EEO group was affected by AID’s foreign service executive-level assignment systems. White males and Asians showed evidence of being negatively affected in all 3 years, while other EEO groups showed evidence of being negatively affected in 1 or 2 years.<sup>1</sup> At lower grades, no group showed evidence of adverse impact.

AID uses two systems to make foreign service assignments. A senior management group makes assignment decisions for high-level positions, such as mission director or office director. The foreign service assignment system is used for less senior positions. Currently, AID has about 150 senior manager positions—100 overseas and 50 in Washington. These positions were generally staffed by senior foreign service officers and FS-01s.

The selection process for executive assignments begins when AID asks senior officials to identify potential candidates at the FS-01 level and above. Individuals serving in executive assignments are also asked for their preferences for the next assignment.<sup>2</sup> After the responses are received, the Executive Management Division Chief develops a list of candidates and then forwards it to a senior managers panel.<sup>3</sup>

Table 4.1 shows the impact rate for executive-level assignments over the past 3 calendar years by EEO group. The impact rate shows whether EEOC’s four-fifths rule was violated. An impact rate below 80 indicates that the rule

<sup>1</sup>Although not a protected EEO group, white male selection data must be collected and maintained and may be analyzed for evidence of adverse impact.

<sup>2</sup>The annual cycle for the senior management group runs from June 1 to May 31.

<sup>3</sup>This panel is composed of the Deputy Administrator, assistant administrators and their deputies, the Counselor to the Agency, and a representative from the Office of Equal Opportunity Programs. Selections are based on the consensus of the panel, with the Deputy Administrator making the final decision.

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Evidence of Adverse Impact**

was not met and that there was evidence of adverse impact. The group with a 100-percent impact rate had the highest rate of selection and is used as the comparison group for all other selection rates. As indicated, the impact rates are evidence that white males and Asians were adversely affected in all 3 years, while all other groups showed evidence of being affected in at least 1 or 2 years. Additional details are provided in appendix V, table V.1.

**Table 4.1: Foreign Service Executive  
Assignment Impact Rates by EEO Group  
(1989 Through 1991)**

Rates in percent					
Year	White male	White female	Black	Hispanic	Asian
1989	66	100	85	51	58
1990	71	91	67	100	64
1991	27	25	100	0	0

AID's multiyear affirmative action plan identified the absence of executive development programs for protected group members as a potential barrier to advancement. To remedy this, AID instituted an affirmative action assignment program in 1988 to identify executive-level positions that would provide developmental opportunities for top performing minorities and women. For fiscal years 1988 through 1991, AID identified 33 qualified candidates from protected groups. From this group, 31 candidates were placed in executive assignments. According to the current Director of the Office of Equal Opportunity Programs, the program lapsed because the agency was not able to identify any additional suitable positions.

AID's affirmative action assignment program to identify candidates did not include white males in the process. A senior EEOC official told us that such programs must allow all EEO groups a fair chance of being considered, even if the program is a targeted affirmative action effort. He explained, however, that once candidates are identified, agency managers may then consider affirmative action requirements in making a decision. An AID official familiar with the executive assignment process acknowledged that the program had been exclusive, but she pointed out that any future activity would ensure that all groups have an equal opportunity for consideration.

The foreign service assignment system is used for FS-01s and below and senior foreign service personnel who do not receive executive-level assignments. Each spring AID announces the available positions and then eligible personnel submit a ranked list of their assignment preferences.

**Chapter 4**  
**Assignment and Promotion Practices Showed**  
**Evidence of Adverse Impact**

This information is assembled and presented to assignment boards for the final assignment decisions.

We analyzed entry- and mid-level foreign service assignment selection results for 1990 and 1991 and found that no EEO groups showed evidence of being adversely affected. The impact rates were as follows: white males (88), white females (95), blacks (100), Hispanics (87), and Asians (85). Additional details are provided in appendix V, table V.2.

**All EEO Groups Showed Evidence of Being Adversely Affected by AID's Promotion Practices**

Table 4.2 shows promotion rates for those eligible in grades FS-03 through FS-01 and each of the three levels in the senior foreign service. Impact rates of 80 or less indicate evidence of adverse impact. As indicated, white females were the dominant group in three out of five cases, whereas blacks and Hispanics were each dominant in one case. All EEO groups showed evidence of adverse impact in some promotion categories. Additional details are provided in appendix V, table V.3.

**Table 4.2: Foreign Service Promotion Impact Rates by EEO Group (1989 Through 1991)**

Rates in percent					
Grade	White male	White female	Black	Hispanic	Asian
MC to CM	13	61	100	0	0
OC to MC	47	100	96	70	0
FS-01 to OC	35	100	89	68	0
FS-02 to 01	50	61	41	100	88
FS-03 to 02	92	100	57	53	86

Legend  
 CM-Career minister  
 MC-Minister counselor  
 OC-Counselor

To help achieve full representation for protected group members at more senior levels in the agency, AID adopted a policy that permitted the agency to promote protected group members falling within five slots of the promotion roster's cutoff. This policy only applied if the protected group was conspicuously absent from the grade level. Conspicuous absence was defined by AID as three or fewer members from the protected group at a given grade level. This policy applied to selection boards held in fiscal years 1989 and 1990 and retroactively to fiscal year 1988. For the 3 years the policy was in force, AID made 12 affirmative action promotions. The

Director of the Office of Equal Opportunity Programs told us that AID is currently reevaluating its affirmative action promotion policy.<sup>4</sup>

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**Limited Career Extensions  
Reduce Promotion  
Opportunities**

Limited career extensions are authorized under the Foreign Service Act. They permit senior foreign service officers who would otherwise be separated from the foreign service to continue their careers for specific periods of time. This mechanism exempts those individuals who are granted extensions from time-in-class limitations, the expiration of which would trigger an individual's separation from the foreign service.

Over the last 5 years, AID granted extensions to 68 percent of eligible senior foreign service officers,<sup>5</sup> or 131 of 192 eligible individuals. Of these extensions, 122, or 93 percent, went to white males, who made up 85 percent of the senior foreign service. Beginning in 1992, AID has taken steps to restrict the granting of limited career extensions. According to AID officials, individual extensions will be limited to 3 years and 5 years in total without renewals. AID will also place increased emphasis on the needs and requirements of the agency. AID officials told us that this policy change is to preserve the integrity of the senior foreign service and its "up-or-out" concept and to provide greater advancement opportunities to lower-graded staff.

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**EEO Briefings and Selection  
Panel Diversity**

Office of Personnel Management guidance requires that selection panels, as opposed to selecting officials,<sup>6</sup> may only consider merit-related factors when evaluating and ranking candidates for promotion. As a result, selection panels may not consider such factors as a candidate's gender, race, and ethnicity or the composition of the agency's work force in their promotion-related deliberations.

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<sup>4</sup>AID's affirmative action promotion policy was opposed by the foreign service employee union because a poll of its membership showed, in the words of a union official, "overwhelming" opposition to the policy. The disagreement over this policy had to be referred to the Foreign Service Impasse Disputes Panel, which ruled in 1989 that affirmative action promotions would be permitted in cases of conspicuous absence as defined above.

<sup>5</sup>To be eligible, the individual must be in the last 2 years of his/her terminal time-in-class limitation.

<sup>6</sup>Assuming an underrepresented condition exists, a selecting official in AID's civil service may consider non-merit factors in choosing individuals from a list of best-qualified candidates. This option, however, does not currently exist in AID's foreign service, since promotions are made on a strict rank order basis.

AID officials have not always complied with federal regulations on what selection panels should be told. The former acting Director of the Office of Equal Opportunity Programs<sup>7</sup> told us that he had briefed at least one foreign service promotion panel on agency representation levels. The foreign service union learned of this and registered a complaint.

The Foreign Service Act of 1980 requires that a “substantial” number of women and minorities be appointed to selection panels. AID’s Handbook states that to the extent possible, panel membership will include minorities and women. Our review of the composition of assignment and promotion boards indicates that women and minorities were represented on selection panels that met over the past 3 years. None of the assignment boards during the period had less than 66 percent women and minority representation; only 4 of the 24 promotion boards had less than 50 percent women and minority representation.

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## Conclusions

AID’s assignment and promotion practices showed evidence of having adversely affected certain EEO groups. AID has not monitored its assignment and promotion practices to ensure that all groups are treated fairly. The use of limited career extensions has, in the past, unnecessarily limited promotion opportunities, and AID has indicated its intention to restrict such extensions in the future. In addition, AID’s selection panel briefings were not always limited to merit-based considerations.

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## Recommendations

We recommend that the AID Administrator

- routinely collect and analyze assignment and promotion data for evidence of adverse impact and determine whether any actual adverse impact is related to bona fide affirmative action efforts;
- modify or validate those selection procedures where adverse impact not related to bona fide affirmative action efforts is found;
- restrict the use of limited career extensions as AID officials have indicated they would be; and
- require that EEO briefings emphasize that selection panel members must only consider merit-based factors in their deliberations.

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<sup>7</sup>This individual left that position in April 1989.

# Management Oversight, Accountability, and Reporting Procedures Were Inadequate

AID's EEO Oversight Board has not met since June 1986, and the AID Administrator did not establish alternative oversight groups until more than 4 years later. AID's multiyear affirmative action plan lists several internal reporting mechanisms AID developed to assist with its EEO and affirmative action efforts. Our review showed that these mechanisms were not operating as described and were unnecessarily complex. Further, senior managers responsible for action items in AID's affirmative action plan are not held accountable for achieving these objectives through the annual performance appraisal system. Finally, AID's multiyear affirmative plan was filed with EEOC 21 months late, and three of its four annual updates were also delayed.

## AID's Oversight Board Is Inactive

Formed in 1982, the EEO Oversight Board was established with a broad mandate to oversee the agency's EEO and affirmative action efforts.<sup>1</sup> Its ongoing responsibilities include (1) reviewing the development and implementation of AID's affirmative action plan; (2) providing advice and counsel to the Administrator, Deputy Administrator, and the Director of the Office of Equal Opportunity Programs; and (3) considering any other initiatives deemed appropriate by the Board.

However, the Board stopped holding meetings in June 1986. AID's 5-year affirmative action plan lists the many functions to be performed by the EEO Oversight Board and states that the Board meets on a semi-annual basis and more frequently, if necessary. When the latest plan was signed by AID's Deputy Administrator in December 1989, the Board had not met for almost 3-1/2 years.

Some AID officials said that the EEO Oversight Board was not necessary and accomplished little of value when meetings were held. The current Director of the Office of Equal Opportunity Programs told us that Board meetings amounted to little more than protracted complaint sessions. A former acting Director of the same office told us that the Board was ineffective because designated senior officials were not required to attend. Another AID official told us the Board had difficulty focusing on major issues and often got bogged down in minutiae and special interest advocacy. The same official added, however, that the Board could serve a useful role, given its broad membership, if appropriate high-level officials attended and exercised effective leadership.

<sup>1</sup>The EEO Oversight Board membership includes the Deputy Administrator of AID, who serves as chairperson; the bureau and office heads; and representatives from the various employee interest groups and employee unions.



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## **AID's Alternative Oversight Groups**

In recent years, the AID Administrator established an advisory group and a task force that have served as alternatives to the EEO Oversight Board. Many of the Board's functions were assigned to these two groups. Both groups are made up of senior AID officials and report to the Deputy Administrator.

In November 1990, the Administrator created a minority recruitment advisory group, which reports to the Administrator through the Director of the Human Resources Development and Management Division. The group is charged with (1) advising the Director of Personnel on strategies to enhance AID's minority recruitment effort; (2) identifying existing and potential barriers to the successful recruitment and retention of minorities; (3) serving as an advocate for affirmative action throughout the agency; and (4) assisting personnel managers in the preparation of its initial report on the status of AID's minority recruitment. The group is also responsible for assessing the status of white women in AID's work force.

In October 1991, the group hired a consultant to prepare an overview report on the status of AID's EEO and affirmative action efforts. An oral presentation of the consultant's findings is scheduled to be presented to the Director of Human Resources Development and Management in November 1992.

In December 1991, the Administrator also created an EEO Task Force. The Task Force is responsible for determining whether the Office of Equal Opportunity Programs (1) has sufficient resources to do its work, (2) is accomplishing its objectives, and (3) can improve its performance. The Task Force has created an action plan for the Equal Opportunity Programs Office that covers the full spectrum of the office's activities. Specific action items include revising agency assessment practices to better highlight EEO concerns, reviewing whether AID's new organizational structure can be used to enhance the implementation and monitoring of EEO objectives, and developing a system of program reviews for AID bureaus and offices to assess their progress in meeting EEO responsibilities. The Task Force holds a progress meeting every 2 weeks.

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## **Senior Manager Accountability Is Lacking**

AID's current civil and foreign service performance appraisal systems do not require that action items listed in the agency's affirmative action plan be included in the responsible official's performance objectives under the EEO job dimension. Rather, agency officials are expected to meet only general performance criteria related to EEO and affirmative action. As a

result, performance plans for AID managers lack the specificity needed to truly gauge their success in implementing the agency's affirmative action objectives.

EEOC Management Directive 714 assigns agency heads the responsibility for ensuring that senior managers are held accountable for the achievement of the agency's affirmative employment objectives and the fulfillment of EEO requirements. AID's 5-year affirmative action plan assigns specific action items and deadlines to particular officials. For example, the Director of Staffing and Career Development is responsible for developing a data base on the underlying reasons women and minorities leave the agency. In another example, the Director of the Office of Equal Opportunity Programs is charged with reviewing the results of assignment board deliberations and making recommendations for improving work force imbalances.

Neither senior executive nor senior foreign service performance systems require evaluation of an individual's adherence to EEO principles or performance of specific action items. In June 1992, AID revised senior foreign service evaluation reports to include five skill areas. EEO is not one of them. However, the revised guidance for these reports expanded the EEO instructions.

Senior foreign service employee performance plans contain mandatory elements, including EEO. However, these elements are all classified as noncritical. In individual cases, rating officials may develop unique elements and standards covering any of these responsibilities and designate them as critical. In addition, each of these elements can be designated as a "continuing responsibility" or a "special initiative."

We reviewed the performance work plans of three senior executive service and two senior foreign service managers at AID who had been assigned responsibility for one or more action items in the latest affirmative action plan update. In all cases, we found that the manager's performance expectations did not include their assigned action item(s). This diminishes AID's ability to hold its senior-level managers accountable for EEO objectives.

We noted in an earlier report<sup>2</sup> that some managers might treat numerical goals as quotas. However, failure to reach a goal need not be a negative

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<sup>2</sup>EEO at Justice: Progress Made But Underrepresentation Remains Widespread (GAO/GGD-91-8, Oct. 2, 1990).

reflection on the executive's performance. For instance, the appropriateness of the goal and related action items may need to be reexamined.

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## **AID Managers Do Not Have Adequate Information**

AID provides senior managers with copies of the 5-year affirmative action plan, the annual updates, and an agency work force profile.<sup>3</sup> However, several AID managers told us that the information they currently receive is complex, difficult to interpret, and of little practical use. In addition, we noted that several senior AID officials we spoke with did not understand the appropriate criteria for setting and assessing AID's representation goals. These individuals were unaware of EEOC criteria for setting representation goals and had substituted their own definition of what AID's goals should be. Often, this substitution was based on a provision in the Foreign Service Act of 1980 stating that the foreign service should be representative of the American people. For example:

- One AID official charged with heading the EEO task force told us that AID's work force should approximate the general makeup of the U.S. population. When we explained EEOC's criteria for setting representation goals, he rejected this notion and stated that AID, as a foreign affairs agency, is in a unique situation and should be held to a higher standard. The same official later conceded it would be helpful if AID management clearly defined what AID's representation goals are and communicated this information to all relevant parties.
- An AID official in charge of the executive assignment system told us that women should represent approximately 40 percent of AID's work force at the executive level. EEOC data, however, shows that women exceed this level in only the technical and clerical job categories.
- The Director of AID's Personnel Office at the time of our review was not familiar with the CLF concept and asked for a detailed explanation of how the data is collected and how it should be used.

In addition, EEOC Management Directive 714 requires that each agency's affirmative action plan includes a statement describing the agency's monitoring and evaluation systems. AID's plan included the required statement, but the agency generally did not achieve the accomplishments it claimed. For example, it did not prepare the internal evaluation report mentioned in the statement.

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<sup>3</sup>The agency work force profile was initiated in 1986 and represented an attempt to provide information to senior managers in a standard format that would not change from year to year. The profile covers a wide range of EEO and affirmative action issues.

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## AID's Plans Have Generally Been Submitted Late

In May 1991, we testified<sup>4</sup> that AID was the last of 35 federal agencies to submit its affirmative action plan to EEOC. Since the multiyear plan was prepared, four accomplishment reports and updates have been issued. Only the last update was filed on time.

According to AID officials and associated correspondence, the current plan was 21 months late mainly because it was tied up in union negotiations for 13 months due to a dispute over AID's affirmative action promotion policy. The plan was under collective bargaining with the foreign service union from June 1988 through October 1988, or about 5 months. When negotiations reached an impasse, the mediation process continued before the Foreign Service Impasse Disputes Panel from October 1988 through June 1989, or about 9 months.

However, AID kept EEOC informed of the status of its collective bargaining efforts and the impasse dispute. The agency also provided EEOC with an advance copy of the multiyear plan in June 1988. As a consequence of the lengthy negotiations, EEOC agreed to approve the plan for implementation, based on the draft copy provided in June 1988.

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## Conclusions

AID recently established two oversight groups to monitor the agency's progress in meeting its EEO and affirmative action objectives. However, more than 4 years elapsed between the last meeting of AID's EEO Oversight Board and the formation of these two groups. Senior manager accountability is low since their performance appraisals do not include the action items they are responsible for.

The agency also lacks a clear and integrated work force profile that would help senior managers better understand which employee groups require priority attention and what the agency's representation goals are. Certain key managers we spoke with appeared to be in particular need of such data since they did not understand EEOC criteria for calculating representation levels and had substituted their own opinions of what the agency's employee profile should look like.

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<sup>4</sup>Federal Affirmative Action: Better EEOC Guidance and Agency Analysis of Underrepresentation Needed (GAO/T-GGD-91-32, May 16, 1991).

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## **Recommendations**

We recommend that the Administrator

- incorporate specific action items from the agency's affirmative action plan in senior managers' performance contracts;
- develop a work force profile format that uses representation indexes and tables showing the extent of underrepresentation by PATCO category, major occupation, and grade level; and
- ensure that senior- and mid-level managers are informed of EEOC criteria for setting representation goals and the current benchmark data being used by AID.

# Technical Notes

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The Equal Employment Opportunity Commission (EEOC) provides all federal agencies with data and instructions on how representation levels should be calculated. Federal agencies used 1980 census data to prepare their most recent multiyear plans and continue to use this data to prepare their annual plan updates. All federal agencies are expected to follow EEOC formatting and reporting requirements. However, EEOC permits some flexibility in how representation levels are calculated for major occupations and the use of alternative labor force data.

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## Calculating Representation Levels

For the purpose of calculating professional, administrative, technical, clerical, and other (PATCO) representation levels, we used the 1980 benchmark data supplied by EEOC to all federal agencies in appendix B of Management Directive 707. Because the civilian labor force (CLF) has changed since 1980, we compared 1983 and 1991 Bureau of Labor Statistics data to identify the shifts in the managerial and professional specialty category.<sup>1</sup> The managerial and professional specialty category most closely resembles the type of worker employed by the Agency for International Development (AID), excluding clerical and lower graded administrative employees.

This data shows that Hispanics had the largest relative increase, rising from 2.6 to 3.7 percent of the category in 1991. The largest absolute gain was recorded for white females, whose share rose from 36.7 to 41.1 percent. The lowest increase for any equal employment opportunity (EEO) group was black males, which went from 2.5 to 2.6 percent. White males declined in the category from 55 to 48.9 percent.

EEOC officials cautioned against using Bureau of Labor Statistics data as a basis for updating our representation analyses. They pointed out that their annual report to the Congress on the status of governmentwide EEO and affirmative action efforts still relies on the 1980 census and will continue to do so until the 1990 results are issued. EEOC provides CLF data at the national, regional, state, and standard metropolitan statistical area levels. Agencies are required to use the benchmark that most closely matches the geographic area they recruit from. Consistent with AID's practice, we used national CLF data for our analyses. This data is shown in table I.1.

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<sup>1</sup>This data is drawn from the Bureau of Labor Statistics' current population survey, which is given monthly to approximately 50,000 households nationwide. We used 1983 as our benchmark since the Bureau's current reporting format was introduced then.

**Table I.1: National CLF Data by PATCO Category**

Rates in percent

Occupational category	Gender	White	Black	Hispanic	Asian	American Indian
Professional	Men	60.62	2.33	2.16	2.53	.21
	Women	26.85	2.79	1.14	1.12	.13
Administrative	Men	60.44	3.64	2.76	1.08	.32
	Women	26.57	3.13	1.30	.51	.17
Technical	Men	45.22	3.54	2.69	1.24	.25
	Women	37.02	6.34	2.43	.91	.26
Clerical	Men	21.69	2.77	1.88	.68	.12
	Women	57.32	9.29	4.24	1.52	.36
Other	Men	75.25	8.34	4.77	.73	.76
	Women	7.71	1.61	.56	.09	.01

## Use of Alternative Labor Force Data

According to a senior EEOC official responsible for reviewing federal affirmative action plans, EEOC is very reluctant to authorize the use of alternative labor force measures, such as degrees conferred. He pointed out that the Commission prefers to have uniformity in agency submissions and that CLF data derived from the census has been upheld in court. The same official could not recollect a single instance when an agency had requested to use alternative labor force data.<sup>2</sup>

While degrees-conferred data can theoretically be used to measure representation levels in more than one PATCO category, it is particularly applicable to professional occupations that "require knowledge in a field of science or learning characteristically acquired through education or training equivalent to a bachelor's degree or higher with major study in or pertinent to the specialized field, as distinguished from general education." In contrast, EEOC guidance states that administrative occupations do not require specialized educational majors, although they involve the types of skills and judgment that are typically gained through a college-level general education or through progressively responsible experience.

<sup>2</sup>Currently, no satisfactory data base on degrees conferred exists. The U.S. Department of Education, which is the primary source of education statistics, does not provide degrees-conferred data by specific academic disciplines. Rather, data is organized into major academic fields. In October 23, 1991, testimony before the Senate Committee on Governmental Affairs (GAO/T-GGD-92-2), we recommended that EEOC work with the Department of Education and other agencies to develop an inventory of benchmarks that agencies could use in appropriate situations.

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**Approximately 25 percent of AID's work force falls into the professional category. In addition, AID selection criteria specifically state that a candidate must be a certified public accountant or have a graduate-level degree for the following professional occupations or occupational groupings: financial management officer, education/human resources development officer, health/population/nutrition officer, and program economist.**



# Minority and Female Representation at AID by PATCO Category

Tables II.1 and II.2 provide a representation index for protected group members in AID's civil and foreign service work force, respectively, as of September 30, 1991. Each table shows AID's white collar work force as a percentage of the national CLF. The index can range from 0 to 100+, with 100 indicating full representation. Numbers below 100 indicate underrepresentation. Table II.1 shows that out of 40 civil service PATCO occupational categories, protected groups were "severely underrepresented" (that is, a representation index under 50) in 15 groups and were represented at more than twice the CLF rate (that is, an index above 200) in 10.

**Table II.1: Civil Service Representation Levels** (As of September 30, 1991)

Rates in percent

PATCO category <sup>a</sup> (employees)	Male				Female					Total female
	Black	Hispanic	Asian	American Indian	White	Black	Hispanic	Asian	American Indian	
Professional (221)	272	84	107	0	81	276	0	444	0	107
Administrative (753)	179	43	86	0	127	713	61	260	0	184
Technical (190)	238	0	42	0	38	1,096	65	58	202	184
Clerical (395)	219	0	0	0	33	752	36	133	70	127

<sup>a</sup>Other category is not shown since it had less than 100 employees.

Table II.2 shows that protected group members were "severely underrepresented" in five groups and represented at more than twice the CLF rate in one.

**Table II.2: Foreign Service Representation Levels** (As of September 30, 1991)

Rates in percent

PATCO category <sup>a</sup> (employees)	Male				Female					Total female
	Black	Hispanic	Asian	American Indian	White	Black	Hispanic	Asian	American Indian	
Professional (593)	268	187	140	80	38	60	15	30	0	38
Administrative (1,066)	134	102	156	117	74	96	58	147	55	77

<sup>a</sup>Technical, clerical, and other categories are not shown since they each had less than 100 employees.

# Minority and Female Representation Within Aid's Major Occupations

Table III.1 provides a representation index for AID's major occupations as of September 30, 1991. The figures show AID's white collar work force as a percentage of the national CLF. The index can range from 0 to 100+, with 100 indicating full representation and numbers below this total indicating underrepresentation. The table shows that protected groups were "severely underrepresented" in 28 groups and were represented at more than twice the CLF rate in 21.

**Table III.1: Major Occupation Representation Levels** (As of September 30, 1991)

Rates in percent

Job title (employees)	Male				Female					Total female
	Black	Hispanic	Asian	American Indian	White	Black	Hispanic	Asian	American Indian	
Program officer (485)	178	222	247	69	61	102	26	69	69	66
Miscellaneous administrative (239)	260	97	0	0	72	195	52	279	0	91
Biologist (180)	205	324	139	556	14	65	0	25	0	17
Program manager (154)	189	85	0	325	46	122	144	0	0	53
Administrative officer (127)	295	68	131	394	102	1,033	175	197	0	161
Economist (116)	235	216	254	0	62	45	0	287	0	64
Auditor (112)	311	248	235	0	17	30	0	0	0	16
Contract specialist (106)	156	53	255	0	102	456	0	439	0	121

# Minority and Female Representation in AID by Grade Level

Tables IV.1 and IV.2 provide a grade-level representation index for protected group members in AID's civil and foreign service work force, respectively, as of September 30, 1991. Each table shows AID's white collar work force as a percentage of the national CLF. The index can range from 0 to 100+, with 100 indicating full representation and numbers below this total indicating underrepresentation. Table IV.1 shows that out of 40 civil service grade-level categories, protected group members were "severely underrepresented" in 16 and were represented at more than twice the CLF rate in 6.

**Table IV.1: Civil Service Representation Levels** (As of September 30, 1991)

PATCO category/grade level (employees)	Male					Female				Total female
	Black	Hispanic	Asian	American Indian	White	Black	Hispanic	Asian	American Indian	
Rates in percent										
Professional <sup>a,b</sup>										
GS-14 and -15 (125)	103	148	95	0	63	29	0	286	0	65
Administrative <sup>b</sup>										
GS-15 <sup>c</sup> (98)	56	37	94	0	92	163	0	0	0	93
GS-14 (148)	130	73	0	0	130	281	52	265	0	143
GS-13 (168)	213	43	276	0	155	475	46	117	0	180

<sup>a</sup>GS-13 category had less than 100 employees.

<sup>b</sup>Senior executive service category had only nine employees.

<sup>c</sup>Includes two GS-18s and five GS-16s.

Table IV.2 shows that protected group members were "severely underrepresented" in 40 groups and were represented at more than twice the CLF rate in 12.

**Appendix IV  
Minority and Female Representation in AID  
by Grade Level**

**Table IV.2: Foreign Service Representation Levels** (As of September 30, 1991)

Rates in percent

PATCO category/grade level (employees)	Male					Female				Total female
	Black	Hispanic	Asian	American Indian	White	Black	Hispanic	Asian	American Indian	
<b>Professional</b>										
Senior foreign service <sup>a</sup> (93)	369	100	0	0	24	0	0	0	0	20
FS-01 (139)	216	200	114	0	27	26	0	0	0	25
FS-02 (216)	278	150	165	0	36	83	41	83	0	42
FS-03 (110)	234	295	216	433	37	33	0	0	0	34
<b>Administrative</b>										
Senior foreign service (183)	135	59	51	171	29	35	126	0	0	33
FS-01 (288)	149	145	69	331	49	62	30	31	0	49
FS-02 (304)	254	122	78	157	78	59	58	88	253	77
FS-03 (186)	162	174	64	0	112	231	47	48	0	117

<sup>a</sup>Data included since total was close to the 100-employee cutoff.

# AID's Assignment and Promotion Results

Tables V.1, V.2, and V.3 show selection results for AID's foreign service executive assignment process, entry- and mid-level assignment process, and promotion process, respectively. To depict more clearly whether any group was adversely affected by AID's selection procedures, we developed an impact rate that shows whether EEOC's four-fifths rule was violated. An impact rate below 80 indicates that the rule was not met and that evidence of adverse impact occurred. The group with a 100-percent impact rate had the highest rate of selection and is used as the comparison group for all other selection rates. As shown in table V.1, each EEO group we examined showed evidence of having been adversely affected in at least 1 year between 1989 and 1991.

**Table V.1: Foreign Service Executive Assignment Results (1989 Through 1991)**

Year	White male	White female	Black	Hispanic	Asian
<b>1989</b>					
Eligible	601	64	41	23	10
Selected	68	11	6	2	1
Percent selected	11.3	17.2	14.6	8.7	10.0
Impact rate (percent)	65.8	100.0	85.1	50.6	58.2
<b>1990</b>					
Eligible	571	69	42	21	11
Selected	58	9	4	3	1
Percent selected	10.2	13.0	9.5	14.3	9.1
Impact rate (percent)	71.1	91.3	66.7	100.0	63.6
<b>1991</b>					
Eligible	555	67	42	24	11
Selected	18	2	5	0	0
Percent selected	3.2	3.0	12.0	0	0
Impact rate (percent)	27.3	25.1	100.0	0	0

**Appendix V  
AID's Assignment and Promotion Results**

Table V.2 shows that AID's assignment process for entry- and mid-level employees did not adversely affect any group.

**Table V.2: Foreign Service Assignment Results (1990 and 1991)**

<b>Item</b>	<b>White male</b>	<b>White female</b>	<b>Black</b>	<b>Hispanic</b>	<b>Asian</b>
Number expressing a choice	353	107	33	21	13
Number receiving first choice	254	83	27	15	9
Percent	72	78	82	71	69
Impact rate (percent)	88	95	100	87	85

Table V.3 shows that, except for Minister Counselor to Career Minister and FS-02 to FS-01 promotions, white females were awarded promotions at rates that exceeded all other groups. All groups showed evidence of having been adversely affected in at least two of the five promotion categories.

**Table V.3: Foreign Service Promotion Rates (1989 Through 1991)**

Grade	White male	White female	Black	Hispanic	Asian
<b>MC to CM</b>					
Eligible	206	18	11	8	1
Promoted	5	2	2	0	0
Percent promoted	2.4	11.0	18.2	0	0
Impact rate (percent)	13.3	61.1	100.0	0	0
<b>OC to MC</b>					
Eligible	651	42	44	20	5
Promoted	22	3	3	1	0
Percent promoted	3.4	7.1	6.8	5.0	0
Impact rate (percent)	47.3	100.0	95.5	70.4	0
<b>FS-01 to OC</b>					
Eligible	790	106	52	39	20
Promoted	42	16	7	4	0
Percent promoted	5.3	15.1	13.5	10.3	0
Impact rate (percent)	35.2	100.0	89.2	68.0	0
<b>FS-02 to FS-01</b>					
Eligible	991	225	111	53	43
Promoted	66	18	6	7	5
Percent promoted	6.7	8.0	5.4	13.2	11.6
Impact rate (percent)	50.4	60.6	40.9	100.0	88.0
<b>FS-03 to FS-02</b>					
Eligible	435	160	56	30	28
Promoted	50	20	4	2	3
Percent promoted	11.5	12.5	7.1	6.7	10.7
Impact rate (percent)	92.0	100.0	57.1	53.3	85.7

Note: Accompanying data provided by the Office of Equal Opportunity Programs showed no significant differences among EEO groups regarding average time-in-grade prior to promotion.

Legend  
 CM-Career minister  
 MC-Minister counselor  
 OC-Counselor

# Comments From the Agency for International Development

Note: GAO comments supplementing those in the report text appear at the end of this appendix.



U.S. AGENCY FOR  
INTERNATIONAL  
DEVELOPMENT

SEP 18 1992

Associate  
Administrator  
for Finance and  
Administration

Mr. Frank C. Conahan  
Assistant Comptroller General  
National Security and  
International Affairs Division  
United States General Accounting Office  
Washington, D.C. 20548

Dear Mr. Conahan:

Thank you for the opportunity to provide agency comments on the GAO draft report on the Agency for International Development's (A.I.D.) compliance with EEO and affirmative action requirements related to the employment of women and minorities. Enclosed are the final Agency comments on the draft report.

Although the Agency is providing written comments, I am again requesting the scheduling of an exit interview so that certain points might be discussed between GAO and A.I.D. staff following the receipt of our final comments. This forum will allow discussion on mutual issues and concerns regarding the GAO draft report.

If you or members of your staff have questions regarding the A.I.D. comments, please contact Jessalyn L. Pendarvis, Director, EOP, on (202) 663-1331.

Sincerely,

*R. A. Ames*  
Richard A. Ames  
Associate Administrator

See comment 1.

320 TWENTY-FIRST STREET, N.W., WASHINGTON, D.C. 20523



**Appendix VI  
Comments From the Agency for International  
Development**

**AGENCY FOR INTERNATIONAL DEVELOPMENT**

**Agency Comments on GAO Draft Report:  
"EEO Issues and Protected Group Underrepresentation  
Require Management Attention."**

The Foreign Service Act of 1980 provides guidance for the Agency for International Development (A.I.D.) to be "...representative of the American people." Further, in light of our mission to do business in a culturally diverse environment, A.I.D. strives to bring all of America into its workplace, as diversity is reflective of what is strong about the United States and what will enhance A.I.D.'s achievement of its mission. With these precepts in mind, A.I.D. has formulated its affirmative employment initiatives with the intent of reducing and eliminating underrepresentation and barriers to progress for minorities and women in a manner that is equitably responsive to the needs of all groups. This approach to affirmative employment drives the following initial comments to the draft report.

**REPORT BALANCE AND TONE**

A.I.D. believes the draft report, which reflects much Agency progress in EEO, also has some imbalances in the manner in which the underrepresentation levels in A.I.D.'s workforce are reported. The tone of the draft report, while relying on cumulative numbers, repeatedly highlights the underrepresentation of one group (white females), while it appears to downplay the underrepresentation of other groups (minorities). While A.I.D. neither argues the rate of availability of white females or their high representation in the occupation specific data, nor the lower rate of availability and representation of minorities, we are concerned with the presentation of the data and the inference of little need to address the employment status of minorities. Likewise, we are very concerned that one minority group, the disabled, was not mentioned at all.

See comment 2.

See comment 3.

Furthermore, it is important to note that while one group's numbers are larger than the others, the Agency's policies, promotions and assignments do not adversely affect one group (white females), but these same policies may adversely affect the other group (minorities). While we recognize the above is included the report, we are concerned that the findings be presented in a complete and objective manner. We believe the report should be balanced in its reporting of findings regarding the representation levels and status of minorities and women. Likewise, the tone should not be one that pits one group against another.

See comment 2.

**Appendix VI  
Comments From the Agency for International  
Development**

Now on p. 28.

**ESTABLISHMENT OF NUMERICAL GOALS**

In the draft report (page 44, line 7), GAO states "goals were set for all underrepresented occupations without regard to the extent of underrepresentation." With regard to the establishment of numerical goals, the agency provides the following response. Goals are established for absent and imbalanced EEO group members based on a utilization assessment conducted annually for all of the EEO groups. The utilization assessment provides for a comparison of the proportional representation rate of each EEO group member in each of the occupations in which employment opportunities have been projected for the given fiscal year with the availability rate of the particular EEO group member in the National Civilian Labor Force (NCLF) possessing qualifications relevant to the agency's occupations. For the past five fiscal years, projected employment opportunities have totalled less than fifty, of which the agency has used 30-35 percent for establishment of goals. Due to the paucity of employment opportunities, A.I.D. has not addressed separately the absent or imbalanced goals but sought to fill goals whenever there was an opportunity for affirmative employment initiatives.

See comment 4.

**EEO OVERSIGHT BOARD**

The GAO draft makes several references to the EEO Oversight Board, and its possible revitalization. As briefly mentioned in the report, an EEO Task Force, established by the Administrator, has taken over many of the functions of the former EEO Oversight Board. The EEO Task Force has been effective; its membership is made up of a wide representation of A.I.D. officials; action items have been established and the accomplishment of these action items resulted in considerable progress. The draft report as written does not do justice to the work that has been undertaken by the Administrator's EEO Task Force.

See comment 5.

**AFFIRMATIVE ACTION INITIATIVES**

A.I.D. believes it appropriate to have it noted that as reported in interviews with GAO staff members, certain initiatives have already been undertaken which respond to GAO concerns. For example, Human Resources and Development Management (HRDM) has begun to revamp its recruitment process into a more formal, reorganized recruitment plan. HRDM also has implemented a process for tracking personnel departures, which it had been operating on a trial basis previously, but is now fully in place.

See comment 6.

Finally, HRDM has focused on the application of limited career extensions and has addressed the need to limit the granting of such personnel actions.

DISCRIMINATION COMPLAINTS PROCESS

With regard to the complaints process, A.I.D. would like to note that considerable data was collected and submitted to GAO on complaints of discrimination and, although we are uncertain as to why there was no discussion about complaints in the draft, we believe it would not be inappropriate to report the fact that there have been very few complaints filed by white females alleging employment discrimination. This relates to the concern A.I.D. has that the report needs more balance.

See comment 7.

REPORT DATA MISSTATEMENTS AND INACCURACIES

1. Page 38, line 10 - "The current Director of the Office of Equal Opportunity Programs told us that she does not monitor such internal recruitment activities and that she lets individual bureaus and offices decide how active they wish to be in these programs." This attribution as used suggests the total absence of monitoring activities, with no direction provided to the bureaus in regard to recruitment. This does not accurately reflect the agency situation. When discussing this and other affirmative employment initiatives, the Director, EOP, noted the office's inability to conduct certain activities due to the lack of resources. However, it was also noted that the office had developed plans for increased monitoring and the agency had begun the process of providing additional resources. Once elements key to the implementation of planned activities are in place, there will be greater activity in areas such as monitoring. In conclusion, this statement should be used in the context it was made.

Now on p. 24.

See comment 8.

2. Page 59, line 1 - The EOP Director's comments are misconstrued. The EOP Director informed the GAO team that her briefings at selection panels did not provide individual EEO information on underrepresented groups or candidates. Her briefings have focused on reminding boards of their task to review relevant documents and to rate and rank employees fairly. She has requested that boards report out any instances of inappropriate comments/references in the EERs or trends in which it appears that minorities and women are not receiving assignments on par with non-minorities. Clarification of this response by the Director, EOP, will affect the recommendation made on page 60, line 9 of the report - "require that EEO briefings emphasize that selection panel members must only consider merit-based factors in their deliberations."

Now on p. 37.

Now on p. 37.

See comment 9.

Now on p. 19.

Now on p. 48.

Now on p. 20.

See comment 10.

3. Pages 31, paragraph 1, line 3 reference is made to Appendix III (page 78) stating that "Among females, whites, Hispanics and American Indians were underrepresented in the program managers category." However the table (on page 78) shows that white, Asian and American Indians are underrepresented in the program officers category and not Hispanics as listed in the text.

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Now on p. 20.

See comment 10.

Now on p. 21.

See comment 10.

Now on p. 22.

See comment 10.

4. Page 32, Table 2.3: Number of Additional Employees to Reach Full representation by Major Occupation (As of September 30, 1991) - GAO cites for the Job title of Miscellaneous administrative employees as a 293 total when in fact it is a 239 total.

5. Page 33, Table 2.4: Number of Additional Civil Service Employees to Reach Full Representation by Grade Level (As of September 30, 1991) - The figure of 160 cited for the PATCO category/grade level (employees) Administrative series at grade GS-13 should be 168.

6. Page 34, Table 2.5: Number of Additional Foreign Service Employees to Reach Full Representation by Grade Level ( As of September 30, 1991) - GAO lists at PATCO/category Grade Level Professional FS-01 employees at 193 when in fact the number is 139. Based on the agency generated civilian labor force data, the most significant impact is in this table. Staff analysis in reviewing the possible change in "number needed to reach full representation" (as a result of correcting the Professional FS-01 column from a 193 total to a 139) found the entire column for white females in error. The column for white females should read:

<u>Professional</u>	<u>White Female</u>
Senior Foreign Service	14
FS-01	20
FS-02	26
FS-03	<u>25</u>
TOTAL	85

<u>Administrative</u>	<u>White Female</u>
Senior Foreign Service	31
FS-01	32
FS-02	11
FS-03	<u>11</u>
TOTAL	74

GRAND TOTAL 159

See Appendix I.

See comment 11.

**Appendix VI  
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Now on p. 30.

See comment 12.

See comment 13.

7. Page 48, line 6, Table 3.5: Civil Service Hiring Results. (Fiscal Years 1989 Through 1991) at the Selection Stage, specifically the Technical Review Panel and number certified for Blacks at 198 instead of 199. The correction alters the percent Certified column from 87.3 to 86.7; the Task Force Panel Impact Rate figure to 94.1, and the Selecting Official Impact rate is 64.4.

While the numbers may appear insignificant, the impact may be substantial as noted in the footnote to Table 3.5 that "the selection of one more Hispanic would have eliminated a finding of adverse impact." Therefore, the correct number of one less black may very well eliminate the finding of overrepresentation of blacks.

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Appendix I

See comment 11.

**TABLE 2.5 NUMBER OF ADDITIONAL FOREIGN SERVICE EMPLOYEES  
TO REACH FULL REPRESENTATION BY GRADE LEVEL  
(AS OF SEPTEMBER 30, 1991)**

Based on Agency generated Civilian Labor Force Data: PATCO category/grade level (employees)

	W H I T E F E M A L E S			
	Total	Sept. 1991	CLF Data	Needed
<u>Professional</u>				
Senior Foreign Service	93	6	20	14
%	100	6.5	21.8	
Foreign Service 01	139	10	30	20
%	100	7.2	21.8	
Foreign Service 02	216	21	47	26
%	100	9.7	21.8	
Foreign Service 03	110	11	36	<u>25</u>
%	100	10	21.8	
TOTAL				85
<u>Administrative</u>				
Senior Foreign Service	183	14	45	31
%	100	7.7	24.6	
Foreign Service 01	288	38	70	32
%	100	13.2	24.6	
Foreign Service 02	304	64	75	11
%	100	21.1	24.6	
Foreign Service 03	186	56	45	<u>11</u>
%	100	30.1	24.6	
TOTAL				74
GRAND TOTAL				159

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The following are GAO's comments on the letter dated September 18, 1992, from the Agency for International Development.

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## **GAO's Comments**

1. We held the exit conference with AID officials on October 6, 1992.
2. The report addresses the representation status of all protected groups within the agency, except the handicapped.
3. As pointed out in the report, we did not review EEO issues pertaining to the handicapped, who are monitored under separate EEOC guidance.
4. We deleted the word "all" from the original statement. Otherwise, the agency's comments do not address the point that goals were set "without regard for the extent of underrepresentation."

Prior to the arrival of the current Director of AID's Equal Opportunity Programs Office, one criteria AID considered in setting affirmative action hiring goals was whether the occupation shortfalls were statistically significant and could not be solely attributed to chance. The current director of the Office of Equal Opportunity Programs suspended this criteria sometime after her arrival in April 1989.

5. The report provides details on the EEO Task Force's membership, roles, and responsibilities. The report also states that the Task Force created an action plan and that the group holds a progress review meeting every 2 weeks. We revised the report to highlight some of the more significant items listed in the action plan.
6. The existence of a system for tracking departing employees was not germane to any issue discussed in the report and thus was not mentioned. The other initiatives cited by AID are in the planning rather than the implementation phase.
7. Preliminary information that we collected indicated that the agency's discrimination complaints were generally being processed in a timely manner. We did not develop this matter further because it did not directly affect the issues we were addressing.
8. These initiatives are being planned; they have not yet been implemented.

9. This example has been removed from the report based on the Director's retraction. This retraction, however, does not affect the corresponding report recommendation since the report documents another instance where inappropriate information was supplied to a selection panel.

10. We have corrected the report in line with this comment.

11. AID's information is based solely on its own "agency generated" civilian labor force data. We used the CLF data provided by EEOC to federal agencies in appendix B of Management Directive 707.

12. Figure has been corrected. Both the figures shown in our draft report and in AID's comments were incorrect.

13. The corrected number of one less black does not eliminate the preliminary finding that there was evidence of adverse impact.



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