



June 2020

USAID

Mixed Progress in Increasing Diversity, and Actions Needed to Consistently Meet EEO Requirements

GAO Highlights

Highlights of [GAO-20-477](#), a report to congressional requesters

Why GAO Did This Study

USAID has a stated commitment to fostering an inclusive workforce that reflects the diversity of the United States and has undertaken efforts to increase diversity in its Civil and Foreign Services. However, concerns about the demographic composition of USAID's workforce are longstanding.

GAO was asked to review issues related to the diversity of USAID's workforce. This report examines, among other things, the demographic composition of USAID's workforce in fiscal years 2002 through 2018, differences between promotion outcomes for racial or ethnic minorities, and the extent to which USAID has identified workforce diversity issues and worked to address those issues. GAO analyzed USAID's personnel data for its full-time, permanent, career workforce for fiscal years 2002 through 2018—the most recent available data. GAO's analyses do not completely explain the reasons for differences in promotion outcomes, which may result from various unobservable factors. Thus, GAO's analyses do not establish a causal relationship between demographic characteristics and promotion outcomes. GAO also reviewed USAID documents and interviewed USAID officials and members of 13 employee groups.

What GAO Recommends

GAO is making four recommendations to USAID, including three to perform required EEO activities and one to demonstrate senior leadership attention to diversity efforts. USAID concurred with the recommendations.

View [GAO-20-477](#). For more information, contact Jason Bair at (202) 512-6881 or bairj@gao.gov.

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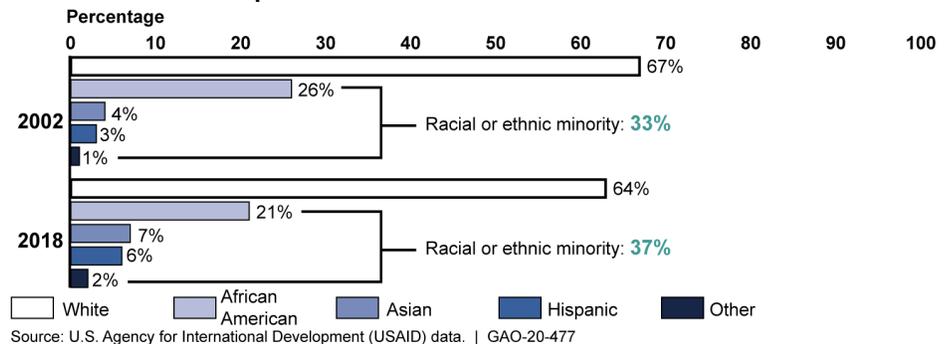
USAID

Mixed Progress in Increasing Diversity, and Actions Needed to Consistently Meet EEO Requirements

What GAO Found

The overall proportion of racial or ethnic minorities in the U.S. Agency for International Development's (USAID) full-time, permanent, career workforce increased from 33 to 37 percent from fiscal year 2002 to fiscal year 2018. The direction of change for specific groups varied. For instance, the proportion of Hispanics rose from 3 to 6 percent, while the proportion of African Americans fell from 26 to 21 percent. The proportions of racial or ethnic minorities were generally smaller in higher ranks. During this period, the overall proportion of women increased from 51 to 54 percent, reflecting their growing proportion in USAID's Foreign Service.

Racial or Ethnic Groups in USAID's Workforce in Fiscal Years 2002 and 2018



Promotion outcomes at USAID were generally lower for racial and ethnic minorities than for whites in early to mid career. When controlling for factors such as occupation, GAO found statistically significant odds of promotion in the Civil Service were 31 to 41 percent lower for racial or ethnic minorities than for whites in early and mid career. In the Foreign Service, average promotion rates were lower for racial or ethnic minorities in early to mid career, but differences were generally not statistically significant when GAO controlled for various factors.

USAID has previously identified underrepresentation of specific groups in its workforce, but staffing gaps, partly due to a lack of senior leadership attention, prevent the agency from consistently performing required Equal Employment Opportunity (EEO) activities. The Office of Civil Rights and Diversity (OCRD), responsible for USAID's EEO program, has been significantly understaffed. Vacancy rates in most OCRD divisions were 50 percent or higher in November 2019 and, despite attempts to hire more staff, remained at 30 to 50 percent as of April 2020. These staffing gaps have limited OCRD's capacity to process EEO complaints and investigations within mandated timeframes and analyze USAID's demographic data. Staffing gaps also prevented OCRD from submitting required reporting on the status of its EEO program in fiscal year 2018. A lack of consistent leadership in OCRD as well as a lack of senior USAID leadership attention to diversity has contributed to OCRD's staffing gaps. As a result, USAID lacks the capacity to respond to allegations of discrimination, identify potential barriers to equal employment opportunity, and submit required annual reports on the progress of its diversity and inclusion efforts in a timely manner—all of which are required EEO functions.

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Abbreviations

EEO	Equal Employment Opportunity
EEOC	Equal Employment Opportunity Commission
FEORP	Federal Equal Opportunity Recruitment Program
FY	fiscal year
GS	General Schedule
HCTM	Office of Human Capital and Talent Management
HRRB	Hiring and Reassignment Review Board
MD-715	Management Directive 715
OCRD	Office of Civil Rights and Diversity
OPM	Office of Personnel Management
RCLF	Relevant Civilian Labor Force
USAID	U.S. Agency for International Development

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June 23, 2020

Congressional Requesters

The U.S. Agency for International Development (USAID) has a stated commitment to fostering an inclusive workforce that reflects the diversity of the United States, and it has undertaken efforts intended to increase representation of diverse groups in its Civil and Foreign Services. However, concerns about the demographic composition of USAID's workforce are longstanding. For example, in 1992, we reported that women and minorities in the professional and administrative job categories and in USAID's senior ranks were underrepresented in the agency's workforce.¹ More recently, in its *Human Resource Transformation Strategy and Action Plan, 2016-2021*, USAID stated that diversity was an area that its staff continued to identify as needing improvement.

You asked us to review issues related to the diversity of USAID's workforce. This report examines (1) the demographic composition of USAID's workforce in fiscal years 2002 through 2018, (2) differences in promotion outcomes for racial or ethnic groups in USAID's workforce, (3) differences in promotion outcomes for men and women in USAID's workforce, and (4) the extent to which USAID has identified workforce diversity issues and worked to address them.

To examine the demographic composition of USAID's workforce over time, we analyzed National Finance Center data on the agency's full-time, permanent, career workforce (i.e., direct-hire U.S. citizen Civil and Foreign Service employees) for fiscal years 2002 through 2018.² For each year, we calculated the demographic composition of the workforce by racial or ethnic group and by gender for USAID overall and for

¹See GAO, *AID Management: EEO Issues and Protected Group Underrepresentation Require Management Attention*, [GAO/NSIAD-93-13](#) (Washington, D.C.: Nov. 23, 1992).

²Because our analysis focuses on full-time, permanent, career employees, it excludes personal services contractors, institutional support contractors, and foreign nationals—known as locally employed staff—at embassies abroad. USAID presents employee demographic data for different groups in some public reports. For example, annual reports that USAID submits to the Equal Employment Opportunity Commission (EEOC) in response to EEOC's Management Directive 715 (MD-715) present information on permanent employees, including both full-time and part-time status. See appendix I for a discussion of the limitations and other considerations of our analysis.

USAID's Civil and Foreign Services.³ In addition, we compared the demographics of USAID's workforce in fiscal year 2018 with the most recent available data on demographics of (1) the federal workforce, as reported by the Office of Personnel Management (OPM), and (2) the relevant civilian labor force, from the Census Bureau's Equal Employment Opportunity (EEO) tabulation.⁴ For both the Civil and Foreign Services, we examined workforce composition by racial or ethnic group and by gender across ranks for fiscal year 2018.⁵ We were unable to analyze the numbers and percentages of employees on the basis of sexual orientation, because the National Finance Center data we obtained did not include that information.⁶ Through documentation review, electronic testing, and interviews with knowledgeable agency officials, we determined that these data were sufficiently reliable for our purposes.⁷

³The Office of Personnel Management (OPM) requests employees to self-identify their race and ethnicity. If an employee does not self-identify, OPM allows agency officials to identify the employee's race and ethnicity on the basis of visual observation. For our analyses of the demographic composition of USAID's workforce, we included multiracial individuals—those who self-identified as two or more races—in an "other" category. If an employee record showed a change in race, ethnic group, or gender over time, we assigned the most recently recorded category to all available years. See appendix II for detailed data on this demographic analysis.

⁴OPM's most recent Federal Equal Opportunity Recruitment Program report was for fiscal year 2017. The report does not include the entire federal workforce but instead presents information only for permanent employees in nonpostal federal executive branch agencies that participate in the Enterprise Human Resources Integration. The Census Bureau's most recent EEO tabulation is from 2006 through 2010. We compared USAID's demographics across three federal sector occupational categories—officials and managers, professional workers, and technical workers and technologists—that corresponded to 99 percent of USAID's full-time, permanent, career workforce in fiscal year 2018. See appendix III for detailed data on this comparative analysis.

⁵In this report, "ranks" refers to Civil Service General Schedule (GS) grades and Senior Executive Service positions (GS-15 is the highest nonexecutive rank) and to Foreign Service salary classes and Senior Foreign Service positions (Class 1 is the highest nonexecutive rank). See appendixes IV and V for information specific to executives and employees with veteran's status, respectively.

⁶Because of USAID's involvement in disability-related litigation during the course of this engagement, we did not analyze the numbers and percentages of employees with disabilities. See appendix VI for USAID's previous reporting on disability demographics. We also excluded political appointees and USAID Office of Inspector General employees from our overall analysis, because USAID's Office of Human Capital and Talent Management does not have authority over these hires. For information about political appointees and Office of Inspector General employees, see appendix VII.

⁷See appendixes VIII through X for data on USAID applicants, new hires, and attrition rates.

To examine promotion outcomes for racial or ethnic minorities and women in USAID's workforce, we conducted two types of analyses using the agency's National Finance Center data on its full-time, permanent, career workforce for fiscal years 2002 through 2018.⁸ First, we conducted a descriptive analysis of USAID data that compared promotion rates for racial or ethnic minorities and whites and for women and men.⁹ Second, we conducted an adjusted analysis using a multivariate statistical method (i.e., duration analysis),¹⁰ which accounted for certain individual and occupational factors other than racial or ethnic minority status and gender that could influence promotion. Specifically, we used a discrete-time multivariate statistical logit model to analyze the number of yearly cycles it took to be promoted up to the executive level from Civil Service rank General Schedule (GS)–11 and from Foreign Service rank Class 4.¹¹ We examined the statistical relationship between promotion and racial or ethnic minority status and gender, incorporating various individual and position-specific characteristics in the models to control for differences¹²

⁸We considered promotion to be an increase in rank between 2 consecutive fiscal years.

⁹For each rank and fiscal year, we calculated these rates as the number of newly elevated employees in the next-higher rank in the following fiscal year divided by the number of employees in the given rank in the current year. Thus, rates are based on the total number of individuals in the given rank in the current year and not on the number of applicants for promotion. Additionally, rate calculations include employees who may have reached the maximum rank for their particular occupation and may therefore have no remaining promotion potential in that occupation. See appendix I for a more thorough discussion of the limitations and other aspects of our analyses. See appendix XI for detailed results of this promotion analysis. For additional information on this analysis with regard to time in rank, see appendix XII.

¹⁰We used duration analysis to estimate the odds of promotion across various demographic groups. Duration analysis is a statistical method for analyzing various event occurrences and event timing, used when the relevant variables take the form of a duration, or the time elapsed, until a certain event occurs (e.g., number of years until promotion). Duration analysis allows an estimate of the probability or odds of exiting the initial state—in our analysis, the initial Civil or Foreign Service rank—within a short interval, conditional on having been in the state up to the starting time of the interval (e.g., the probability of being promoted, conditional on not having been promoted at the time the data were observed).

¹¹We separately examined each rank increase in the Civil and Foreign Services, because Foreign Service ranks do not directly correspond to Civil Service ranks.

¹²We express our confidence in the precision of our estimates as statistically significant differences. We consider differences in our estimates to be statistically significant if they were significant at the 95 percent level.

in promotion outcomes.¹³ Our analyses do not completely explain the reasons for differences in promotion outcomes, which may result from various unobservable factors. Thus, our analyses do not establish a causal relationship between demographic characteristics and promotion outcomes.

To examine the extent to which USAID has identified workforce diversity issues and worked to address them, we reviewed annual reports on diversity efforts and data that USAID had submitted to the Equal Employment Opportunity Commission (EEOC). We also met with relevant USAID officials from the Office of Civil Rights and Diversity and the Office of Human Capital and Talent Management. In addition, we interviewed representatives of USAID's employee groups.¹⁴ For a more detailed description of our scope and methodology, see appendix I.

We conducted this performance audit from October 2018 to June 2020 in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

Background

Requirements and Guidance Related to Federal Workforce Diversity

Title VII of the Civil Rights Act of 1964 and Section 501 of the Rehabilitation Act of 1973 mandate that all federal personnel decisions be made without discrimination on the basis of race, color, religion, sex, national origin, or disability and require that agencies establish a program of equal employment opportunity for all federal employees and

¹³These factors included (1) time in each rank before promotion; (2) years of prior federal government experience; (3) age at the time of entering USAID; (4) receipt of veterans' preference points; (5) having transferred between the Civil and Foreign Services; (6) having worked overseas in the previous year (for the Foreign Service); (7) having worked in a location where the hardship differential was 20 percent or more (Foreign Service only) in the previous year; (8) proficiency in two or more languages other than English (Foreign Service only); (9) occupation; and (10) fiscal years. For more information on our full regression results and our results with regard to various racial or ethnic groups, see appendixes XIII and XIV.

¹⁴These 13 groups included two unions and 11 employee resource groups.

applicants.¹⁵ EEOC has oversight responsibility for federal agencies' compliance with EEOC regulations, which direct agencies to maintain a continuing affirmative program to promote equal opportunity and to identify and eliminate discriminatory practices and policies.¹⁶

In order to implement the programs described above, each federal agency is required to designate an EEO director. The EEO director's responsibilities include, among others, providing for counseling of aggrieved individuals, providing for the receipt and processing of individual and class complaints of discrimination, and advising agency leadership regarding equal employment opportunity matters.¹⁷

EEOC calls for federal agencies to conduct a continuing campaign to eradicate every form of prejudice or discrimination from the agency's personnel policies, practices, and working conditions.¹⁸ EEOC's Management Directive 715 (MD-715) calls for agencies to take appropriate steps to ensure that all employment decisions are free from discrimination and provides policy guidance and standards for establishing and maintaining effective affirmative programs of equal employment opportunity.¹⁹ The directive also sets forth the standards by which EEOC will review the sufficiency of agencies' Title VII and Rehabilitation Act programs, including periodic agency self-assessments and the removal of barriers to free and open workplace competition. MD-715 guidance further requires agencies to report annually on the status of activities undertaken pursuant to their equal employment opportunity programs and activities.

Federal agencies are required to submit an annual MD-715 report to EEOC on the status of their EEO programs. In addition to including employee demographic data, among other things, the MD-715 reports are to include an agency self-assessment checklist, plans to correct any

¹⁵Title VII refers to the Civil Rights Act of 1964, as amended, codified at 42 U.S.C. § 2000e et seq., and the Rehabilitation Act refers to Section 501 of the Rehabilitation Act of 1973, as amended, codified at 29 U.S.C. § 791.

¹⁶29 C.F.R. §1614.102(a).

¹⁷29 C.F.R. §1614.102(c).

¹⁸29 C.F.R. §1614.102(a)(3).

¹⁹Equal Employment Opportunity Commission, *Equal Employment Opportunity: Management Directive 715, EEO MD-715* (Oct. 1, 2003).

program deficiencies, and a description of any barrier analysis conducted and any plans to eliminate identified barriers. As part of a model EEO program to prevent unlawful discrimination, federal agencies are to regularly evaluate their employment practices to identify barriers to EEO in the workplace, take measures to eliminate identified barriers, and report annually on these efforts to EEOC, according to MD-715.²⁰

EEOC's MD-715 defines a barrier as an agency policy, procedure, practice, or condition that limits, or tends to limit, employment opportunities for members of a particular gender, race, or ethnic background or for individuals on the basis of disability status. According to EEOC's MD-715 instructions, many employment barriers are built into the organizational and operational structures of an agency and are embedded in the agency's day-to-day procedures and practices.

USAID's Efforts to Increase Workforce Diversity

USAID's Office of Civil Rights and Diversity (OCRD) administers programs intended to promote equal opportunity, foster diversity at all levels and occupations, and sustain an inclusive workforce. According to USAID, OCRD strives to maintain a model EEO program. As table 1 shows, OCRD consists of the Complaints and Resolution Division, the Reasonable Accommodations Division, the Diversity and Inclusion Division, and the Program Operations Division.

Table 1: USAID's Office of Civil Rights and Diversity (OCRD) Divisions and Responsibilities

Division	Responsibilities
Complaints and Resolution Division	Addresses allegations of discrimination in the workplace Manages the equal employment opportunity complaint process, the Alternative Dispute Resolution Program, and the Anti-harassment Program
Reasonable Accommodations Division	Serves as technical advisor regarding requests for reasonable accommodation from USAID employees and applicants for employment
Diversity and Inclusion Division	Provides diversity training to USAID's workforce Manages the affirmative employment program Recognizes the contributions of individuals and groups at USAID through commemorative events
Program Operations Division	Manages OCRD's budget, records, support services, and administrative processes

Source: U.S. Agency for International Development (USAID). | GAO-20-477

²⁰Equal Employment Opportunity Commission, *Equal Employment Opportunity: Management Directive 715*.

OCRD collaborates with the Office of Human Capital and Talent Management (HCTM) to develop and implement recruitment strategies intended to support a diverse and well-qualified workforce; consults with agency officials such as the Executive Diversity Council; partners with USAID employee resource groups to extend outreach opportunities and develop strategies of inclusion within USAID; and addresses allegations of discrimination, harassment, or retaliation.

Recruitment

According to a June 2019 testimony by USAID's Chief Human Capital Officer, OCRD collaborates with HCTM on the following recruitment programs intended to increase diversity²¹:

- **Donald Payne International Development Fellowship.** Launched in 2012, the Donald Payne International Development Fellowship targets underrepresented groups in USAID's Foreign Service. According to USAID officials, the purpose of the Payne Fellowship is to enhance diversity in the Foreign Service through outreach and strategic efforts focused on minority serving institutions. USAID provides support for selected candidates for 2 years of graduate school as well as an internship on Capitol Hill and another at a USAID mission overseas. On completion of the graduate program and internships, the selected candidate is appointed as a Foreign Service officer with a 5-year service agreement. According to USAID, each year the Payne Fellowship supports 10 fellows entering USAID's Foreign Service.
- **Development Diplomats in Residence.** Established in 2016, the Development Diplomats in Residence program aims to educate, recruit, and channel talent to USAID by placing senior USAID officials at universities. These officials provide guidance and advice on careers, internships, and fellowships to students, professionals, and faculty members at minority-serving institutions. Two USAID career Senior Foreign Service officers serve in this role at California State University, Long Beach, and at Morehouse College, respectively.
- **Pathways Internship Program.** The Pathways Internship Program provides targeted diversity recruitment, salaries, and payments for Pathways Interns, according to the USAID Chief Human Capital Officer's June 2019 testimony. The testimony states that the overall racial or ethnic minority representation rate in fiscal year 2018 for the Pathways Internship Program was 69 percent and that Hispanics, at

²¹U.S. Agency for International Development, *Written Testimony of Bob Leavitt, Chief Human Capital Officer of the United States Agency for International Development before the House Foreign Affairs Committee Subcommittee on Oversight and Investigations* (June 20, 2019).

31 percent, represented the largest minority demographic. USAID officials said that the agency views its internship programs as a succession-planning tool designed to convert as many internships as possible into full-time positions. According to USAID, the agency had no Pathways Interns in 2019, as a result of funding limitations, but as of April 2020 was planning 21 internships for 2020.

Training and Career Development

USAID provides training as well as a formal mentoring program intended to support diversity and inclusion, according to USAID officials. OCRD is responsible for providing mandatory agency-wide training on diversity awareness and equal opportunity. USAID officials stated that the agency has mandatory and nonmandatory training on diversity and inclusion issues. For example, USAID provides online mandatory training classes on the No FEAR Act and sexual harassment. According to USAID data, 326 people took versions of these courses in 2019. USAID also offers nonmandatory in-person classes such as EEO counselor training and unconscious bias training. In 2019, 17 people took EEO counselor training, and 36 people took USAID's in-person unconscious bias training. Additionally, USAID officials said that external partners of USAID have developed training related to diversity and inclusion, to which OCRD refers employees on request.

According to USAID, the agency's mentoring programs build on informal mentoring efforts and support strategic human capital initiatives for recruitment and retention, employee development, succession planning, and diversity. USAID officials stated that the mentoring program includes a facilitated process for matching mentors and mentees, formal mentoring training, an established tracking system, and goals used to measure success. According to the officials, the mentoring program is open to all employees.

USAID Workforce Categories

USAID reported to Congress on its workforce categories in 2018.²² USAID defines its core workforce as those who have an employer-employee relationship with the agency. This includes the following employment categories:

²²U.S. Agency for International Development, *Staffing Report to Congress* (Sept. 30, 2018). The report was submitted in response to H. Rep. No. 115-253, which accompanied H.R. 3362, a bill for Department of State, Foreign Operations, and Related Programs Appropriations Act, 2018. It directed USAID's Administrator to provide an update to the report required by House Report 114-154 to reflect employment data as of the end of fiscal year 2018.

U.S. Personal Services Contractors

U.S. personal services contractors represent a significant and growing proportion of USAID's workforce whose demographic composition is not included in USAID's Management Directive 715 reports. As we reported in 2017, USAID uses personal services contractors for a broader range of functions than other agencies, as its regulations permit (see [GAO-17-610](#)). Those regulations provide that personal services contractors who are U.S. citizens may be delegated or assigned any authority, duty, or responsibility that direct-hire government employees might have, although they generally cannot supervise direct-hire government employees or sign obligating documents except when specifically designated as a contracting officer.

Until recently, when looking to fill a vacancy through outside hiring or by promotions and reassignments, USAID bureaus and offices had to submit that action to USAID's Hiring and Reassignment Review Board for review. The board's guidelines exempted personal services contracts from review and approval. In April 2020, USAID officials told us that hiring decisions no longer required the board's approval. From June 2016 to September 2018, U.S. personal services contractors were USAID's fastest growing workforce category, increasing from 759 to 1,015 according to USAID's staffing reports to Congress. During this period, USAID's Civil and Foreign Service employees decreased from 3,548 to 3,002.

While USAID collects demographic data on U.S. personal services contractors for its payroll processor, it does not analyze this information. USAID does not report these data, because USAID does not regard personal services contractors as U.S. government employees. USAID officials noted that current reporting requirements call only for demographics of direct-hire employees, which excludes a considerable portion of the agency's workforce.

Source: GAO analysis of U.S. Agency for International Development (USAID) information. | [GAO-20-477](#)

- **Civil Service employees.** USAID's Civil Service employees are U.S. citizens who are direct hires. The agency's Civil Service employees are based in Washington, D.C., and perform core administrative, strategic, and technical program design and management functions to support USAID's program overseas. According to its staffing report to Congress, USAID had 1,313 Civil Service employees at the end of fiscal year 2018.²³
- **Foreign Service employees.** USAID's Foreign Service employees are U.S. citizens who are direct hires. Most Foreign Service employees serve at overseas missions and for limited periods in Washington, D.C. According to its staffing report to Congress, USAID had 1,689 Foreign Service employees at the end of fiscal year 2018.
- **U.S. personal services contractors.** USAID's U.S. personal services contractors are non-direct hire U.S. citizens on contract for the specific services of those individuals. As we reported in 2017, USAID uses personal services contracts for a broad range of functions, such as program management, security analysis, and logistics.²⁴ According to its staffing report to Congress, USAID had 1,015 U.S. personal services contractors at the end of fiscal year 2018.
- **Foreign nationals.** USAID's foreign national employees are non-U.S. citizens who are locally employed at posts abroad. They may be direct hires or personal services contractors. USAID uses foreign nationals to manage mission operations and oversee development activities. According to its staffing report to Congress, USAID had 4,712 foreign national employees at the end of fiscal year 2018.

Other categories of staff not directly employed by USAID, including institutional support contractors and staff detailed from other organizations and U.S. government agencies, also perform a wide range of services in support of the agency's programs. According to its staffing report to Congress, USAID had 1,681 institutional support contractors at the end of fiscal year 2018. EEOC has determined that contractors are a vulnerable group because of confusion as to where such personnel

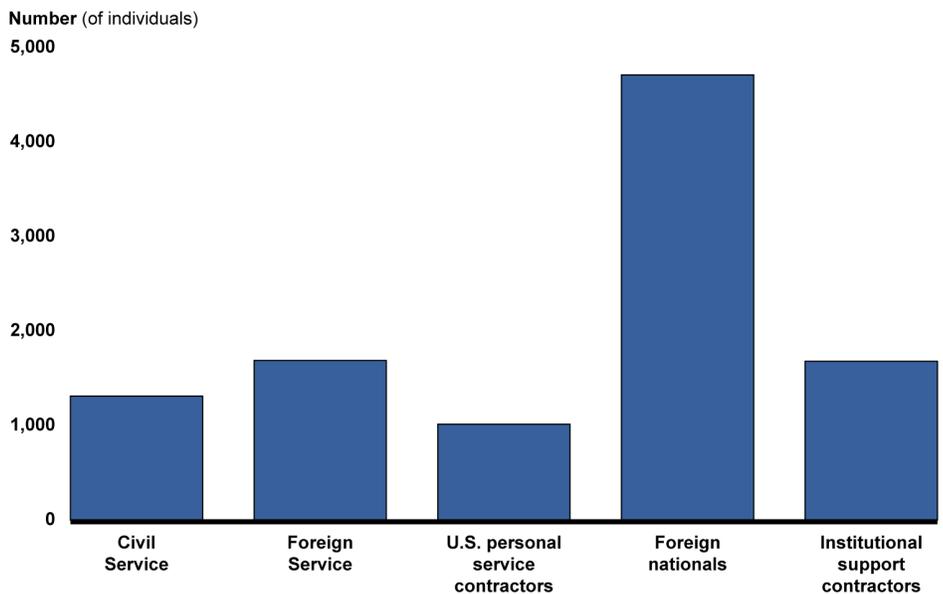
²³U.S. Agency for International Development, *Staffing Report to Congress* (Sept. 30, 2018).

²⁴See GAO, *Federal Contracting: Improvements Needed in How Some Agencies Report Personal Services Contracts*, [GAO-17-610](#) (Washington, D.C.: July 27, 2017).

should seek redress for EEO matters.²⁵ However, according to OCRD officials, OCRD is responsible for EEO matters for both direct and non-direct hires, including contractors.

Figure 1 shows the total number of staff in each of USAID's workforce categories in fiscal year 2018.

Figure 1: Numbers of Staff in USAID Workforce Categories, Fiscal Year 2018



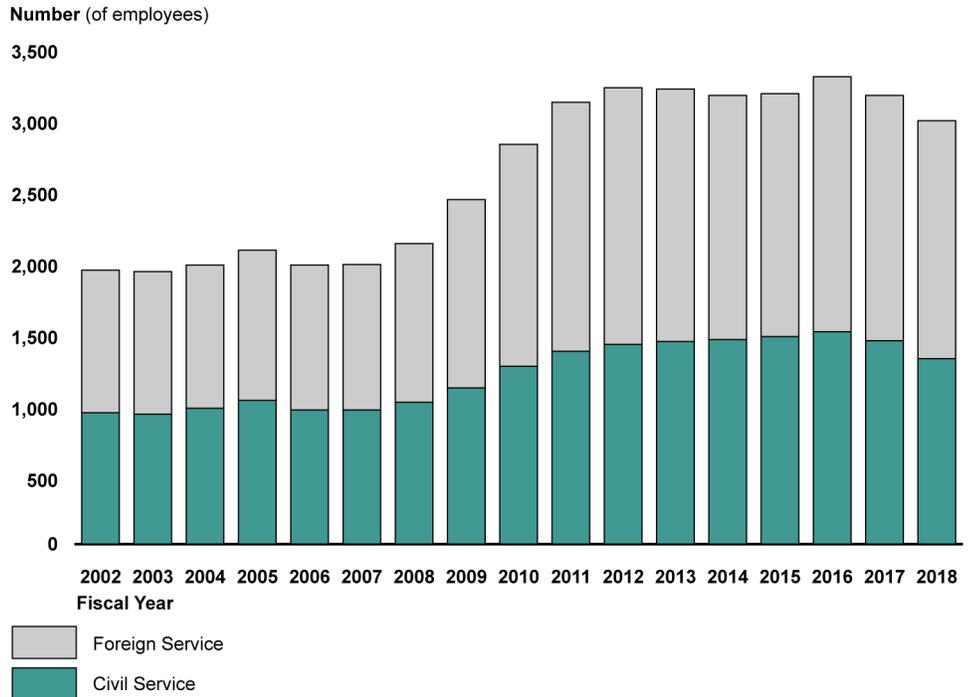
Source: U.S. Agency for International Development (USAID) Annual Staffing Report to Congress, Fiscal Year 2018. | GAO-20-477

National Finance Center Data on USAID Civil and Foreign Service Promotions, Fiscal Years 2002-2018

In fiscal year 2018, USAID had 2,964 full-time, permanent, career employees (i.e., direct-hire U.S.-citizens) in its Civil and Foreign Services, according to National Finance Center data. This number reflects an increase of more than 54 percent from fiscal year 2002. Figure 2 shows the numbers of full-time, permanent, career employees in USAID's Civil and Foreign Services in fiscal years 2002 through 2018.

²⁵Equal Employment Opportunity Commission, *Office of Federal Operations and Office of Field Programs Federal Sector Complement Plan to the Strategic Enforcement Plan*, accessed June 2, 2020, <https://www.eeoc.gov/office-federal-operations-and-office-field-programs-federal-sector-complement-plan-strategic>.

Figure 2: Numbers of Full-Time, Permanent, Career Employees in USAID’s Civil and Foreign Services, Fiscal Years 2002-2018



Source: U.S. Agency for International Development (USAID) data. | GAO-20-477

Note: The data shown reflect the numbers of full-time, permanent, career employees at the end of each fiscal year.

Civil Service

USAID’s Civil Service made up 44 percent of the agency’s full-time, permanent, career workforce in fiscal year 2018. Civil Service employees are ranked in the GS classification system from GS-1 (lowest) to GS-15 (highest), followed by the executive rank.

Civil Service promotions are filled through competitive procedures and noncompetitive career-ladder positions. To be eligible for a promotion, Civil Service candidates must meet minimum qualification standards such as fulfilling time-in-grade requirements and receiving sufficiently positive ratings on their most recent performance appraisals. For competitive promotion positions, USAID uses an automated system to evaluate and rate all eligible candidates and develop referral lists of employees eligible for the promotions. Officials interview all direct-hire USAID employees from the promotion referral lists and select employees for promotion on the basis of the announcement. Career-ladder positions are intended to prepare employees for successive, noncompetitive promotions up to the

full performance of the positions. For career-ladder positions, USAID officials select employees for noncompetitive promotions and are responsible for developing individual learning and training plans, offering developmental work, and providing feedback regarding employees' performance.

Each year, USAID promotes varying numbers of Civil Service employees. Promotion generally becomes more competitive for higher ranks. For example, in fiscal year 2018, 45.3 percent of employees ranked GS-11 in fiscal year 2017 were promoted to GS-12, while 1.0 percent of employees ranked GS-15 in fiscal year 2017 were promoted to the executive rank. Table 2 shows the number and percentage of employees in each Civil Service rank as well as the rate of promotion from each GS level for promotions effective in fiscal year 2018.²⁶

Table 2: USAID Civil Service Employees by Rank and Rate of Promotion, Fiscal Year 2018

Rank	Number of employees	Percentage of employees	Rate of promotion, % ^a
Executive	40	3.1	N/A
GS-15	312	24.0	1.0
GS-14	442	34.1	5.2
GS-13	296	22.8	7.9
GS-12	120	9.2	19.8
GS-11	41	3.2	45.3
GS-10 and lower	47	3.6	14.9

Legend: GS = General Schedule. N/A = not applicable.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Note: The data shown reflect the numbers and percentages of Civil Service employees at the end of fiscal year 2018.

^aFor GS-11 and each higher rank, we calculated the promotion rate as the number of newly elevated employees in the next-higher rank in fiscal year 2018 divided by the number of employees in the given rank in fiscal year 2017. For example, 45.3 percent of GS-11 employees in fiscal year 2017 were promoted to GS-12 in fiscal year 2018. For GS-10 and lower ranks, we calculated the promotion rate as the number of employees newly elevated to GS-11 in fiscal year 2018 divided by the number of employees in the lower ranks in fiscal year 2017.

²⁶We calculated the fiscal year 2018 promotion rates as the number of newly promoted employees in a given rank divided by the number of employees in the next-lower rank in fiscal year 2017. As a result, the promotion rate is based on the total number of individuals in the next-lower rank in fiscal year 2017 and not on the number of applicants for promotion.

Foreign Service

Foreign Service employees made up 56 percent of USAID's full-time, permanent, career workforce in fiscal year 2018. Foreign Service officers enter at Class 4, 5, or 6, depending on their education and experience. Officers can be promoted from each level up to Class 1, after which they can apply for the executive rank.²⁷

Foreign Service promotions are based on employee eligibility, a rank-ordered list prepared by a performance board, and the number of promotions authorized by USAID management. To be promoted to the next class, Foreign Service employees must meet eligibility requirements, such as time in their current class and overseas experience. Each year, performance boards evaluate the performance of eligible employees in Class 4 and higher, develop a rank-ordered list of employees recommended for promotion, and submit the list to HCTM. According to USAID policy, performance boards primarily consist of Foreign Service employees and, to the extent possible, include members of groups that are underrepresented in the service.²⁸ The Chief Human Capital Officer, the Director of OCRD, and a representative of the American Foreign Service Association review the list before finalizing promotion decisions.

USAID promotes varying numbers of its Foreign Service employees each year. Promotion generally becomes more competitive for higher ranks. For example, in fiscal year 2018, 33.2 percent of employees ranked Class 4 in fiscal year 2017 were promoted to Class 3, while 3.9 percent of employees ranked Class 1 in fiscal year 2017 were promoted to the executive rank. Table 3 shows the number and percentage of employees in each Foreign Service rank in fiscal year 2018 as well as the rate of promotion from each rank for promotions effective in that fiscal year.²⁹

²⁷USAID's Foreign Service promotion system follows an up-or-out principle, under which failure to gain promotion to a higher salary class within a specified period in a single class leads to mandatory retirement for personnel in certain occupational categories.

²⁸USAID, *Automated Directives System Chapter 463 Foreign Service Promotion Eligibility Requirements and Performance Boards* (revised Jan. 26, 2018).

²⁹We calculated the fiscal year 2018 promotion rates as the number of newly promoted employees in a given rank divided by the number of employees in the next-lower rank in fiscal year 2017. As a result, the promotion rate is based on the total number of individuals in the next-lower rank in fiscal year 2017 and not on the number of applicants for promotion.

Table 3: USAID Foreign Service Employees by Rank and Rate of Promotion, Fiscal Year 2018

Rank	Number of employees	Percentage of employees	Rate of promotion, % ^a
Executive	163	9.8	N/A
Class 1	313	18.8	3.9
Class 2	393	23.6	9.0
Class 3	621	37.3	8.2
Class 4	158	9.5	33.2
Class 5	14	0.8	100.0
Class 6 and lower	4	0.2	100.0

Legend: N/A = not applicable.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Note: The data shown reflect the numbers and percentages of Foreign Service employees at the end of fiscal year 2018.

^aFor Class 5 and each higher rank, we calculated the promotion rate as the number of newly elevated employees in the next-higher rank in fiscal year 2018 divided by the number of employees in the given rank in fiscal year 2017. For example, 33.2 percent of Class 4 employees in fiscal year 2017 were promoted to Class 3 in fiscal year 2018. For Class 6 and lower, we calculated the promotion rate as the number of employees newly elevated to Class 5 in fiscal year 2018 divided by the number of employees in the lower ranks in fiscal year 2017.

USAID’s Hiring Reassignment and Review Board

According to USAID’s Chief Human Capital Officer, USAID established the Hiring and Reassignment Review Board (HRRB) in July 2017 as a mechanism to allow USAID to prioritize positions during the government-wide hiring freeze and a subsequent period when all USAID external hires required approval from the Secretary of State.³⁰

In fiscal years 2017 through 2019, the HRRB met regularly and was responsible for prioritizing U.S. direct-hire positions, monitoring attrition levels, and identifying gaps in national security and other key positions. According to June 2019 guidelines, the HRRB was required to review certain hiring and reassignment actions. Such actions included filling vacancies externally by hiring individuals from outside the agency, using operating expense funding, and filling vacancies internally by reassigning operating expense–funded Civil Service staff between the bureaus and independent offices. Hiring and reassignment actions exempted from HRRB review included, among others, hiring to compensate for attrition in certain defined high-risk mission-critical occupations, hiring into program-

³⁰The government-wide hiring freeze was in place from January 2017 to April 2017. After April 2017, all USAID external hires required approval from the Secretary of State until March 2018.

funded positions, Foreign Service limited appointments, personal services contracts, and institutional support contracts.

According to USAID's strategic workforce plan for fiscal years 2019 through 2021, USAID planned to have the HRRB, the Office of the Administrator, HCTM, and the Bureau for Management set broader staffing levels for the agency's bureaus and independent offices beginning by the first quarter of fiscal year 2020.³¹ The workforce plan also states that a renamed HRRB would shift to serving as a strategic human capital governance board rather than performing position-by-position reviews. In April 2020, USAID officials told us that hiring decisions no longer required HRRB approval.

³¹U.S. Agency for International Development, *Strategic Workforce Plan FY 2019 – FY 2021*.

Diversity of USAID Workforce Has Generally Increased

Overall Proportion of Racial or Ethnic Minorities Increased, although Proportion of African Americans Declined

Overall Proportion of Racial or Ethnic Minorities at USAID Increased

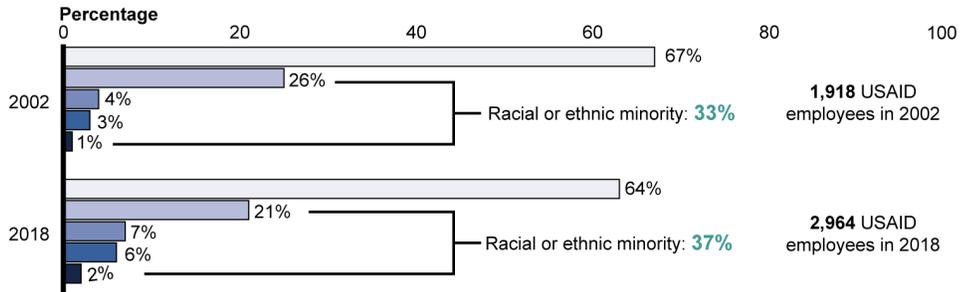
From fiscal year 2002 to fiscal year 2018, the proportion of racial or ethnic minorities among USAID's full-time, permanent, career employees increased from 33 percent to 37 percent, as figure 3 shows.³² This increase in the proportion of racial or ethnic minorities at USAID overall was driven by an increase in the proportion of racial or ethnic minorities in the Foreign Service. During this period,

- the proportion of racial or ethnic minorities in the Civil Service decreased slightly, from 49 to 48 percent and
- the proportion of racial or ethnic minorities in the Foreign Service increased from 18 to 27 percent.

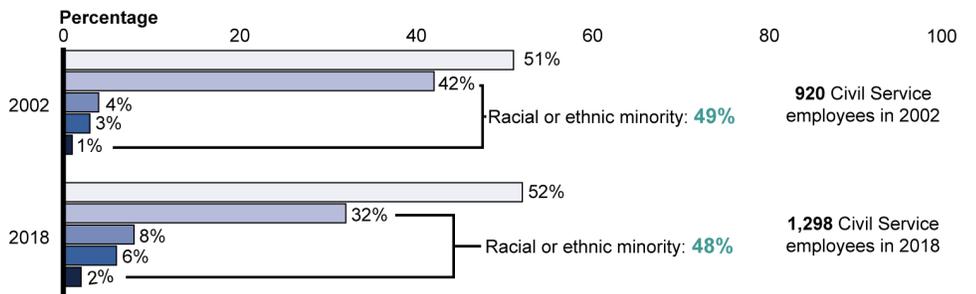
³²Racial or ethnic minorities exclude non-Hispanic whites. We counted multiracial individuals—those who self-identified two or more races—in the “other” group and did not include those individuals in the identified racial groups. OPM requests employees to self-identify their race and ethnicity. If an employee does not self-identify, OPM allows agency officials to identify the employee's race and ethnicity on the basis of visual observation.

Figure 3: Proportions of White and Racial or Ethnic Minority Employees at USAID, Fiscal Years 2002 and 2018

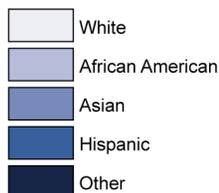
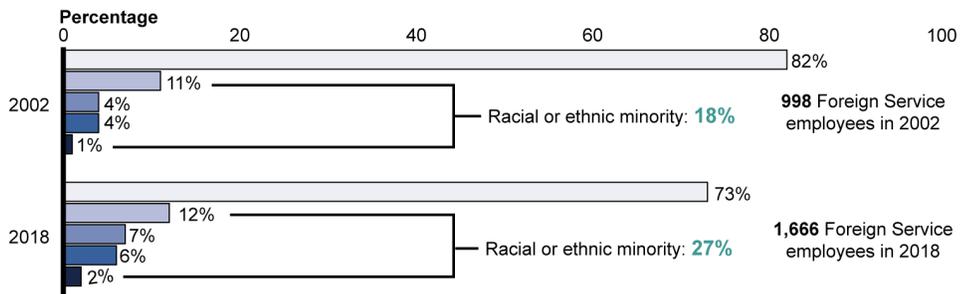
USAID Overall



Civil Service



Foreign Service



Source: U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the numbers and proportions of white and racial or ethnic minority employees at the end of fiscal years 2002 and 2018. "Other" includes Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial. Percentages may not sum to 100 because of rounding.

Proportion of Racial or Ethnic Minorities Was Nearly the Same as in Federal Workforce and Higher Than in Relevant Civilian Labor Force

We compared the proportions of racial or ethnic minorities in USAID's workforce with those in the federal workforce and relevant civilian labor force. Our comparison of USAID workforce data for fiscal year 2018 with federal workforce data for fiscal year 2017—the most recent available—found that the proportion of racial or ethnic minorities was 37 percent both at USAID and in the federal workforce.³³ For more details, see appendix III. The proportion of racial or ethnic minorities at USAID increased from 33 percent in fiscal year 2002 to 37 percent in fiscal year 2018. In comparison, the proportion of racial or ethnic minorities in the federal workforce increased from 31 percent in fiscal year 2002 to 37 percent in fiscal year 2017.

Our comparison of USAID workforce data from fiscal year 2018 with data for the relevant civilian labor force from 2006 through 2010 (the most recent available data) found larger proportions of racial or ethnic minorities at USAID³⁴ than in the relevant civilian labor force for three occupational groups: (1) officials and managers, (2) professional workers, and (3) technical workers and technologists.³⁵ For more details, see appendix III.

Proportions of Hispanics, Asians, and Other Racial or Ethnic Minorities Increased, while Proportion of African Americans Decreased

Although the overall proportion of racial or ethnic minorities at USAID increased from fiscal year 2002 to fiscal year 2018, the direction of change for specific racial or ethnic minority groups varied—the proportions of Hispanics, Asians, and other racial or ethnic minorities rose, while the proportion of African Americans fell.³⁶ As figure 3 shows, from fiscal year 2002 to fiscal year 2018, the proportion of Hispanics at USAID rose from 3 to 6 percent; Asians, from 4 to 7 percent; and other racial or ethnic minorities, from 1 to 2 percent of USAID employees. In

³³We analyzed federal workforce data from OPM's *Federal Equal Opportunity Recruitment Program (FEORP) Report, Fiscal Year 2017*, which was published in October 2019.

³⁴We also compared USAID workforce data for fiscal year 2010 with relevant civilian labor force data for 2006 through 2010. We found that proportions of racial or ethnic minorities were higher at USAID for officials and managers and professional workers but were higher in the relevant civilian labor force for technical workers and technologists.

³⁵The three occupational groups—(1) officials and managers, (2) professional workers, and (3) technical workers and technologists—corresponded to 99 percent of USAID's full-time, permanent, career workforce in fiscal year 2018.

³⁶Other racial or ethnic minorities at USAID include Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial.

contrast, during the same period the proportion of African Americans fell from 26 to 21 percent of the agency's employees.³⁷

Our analysis found that the overall decline in the proportion of African Americans at USAID reflected a substantial decline in the proportion of African Americans in USAID's Civil Service.

- The proportion of African Americans in USAID's Civil Service decreased from 42 percent in fiscal year 2002 to 32 percent in fiscal year 2018.³⁸
- The proportion of African Americans in USAID's Foreign Service increased from 11 percent to 12 percent over the same period.

In contrast to the proportion of African Americans, the proportions of Hispanics, Asians, and other racial or ethnic minorities at USAID increased in both the Civil and Foreign Services from fiscal year 2002 to fiscal year 2018.

Proportions of Racial or Ethnic Minorities in Civil and Foreign Services Were Generally Smaller in Higher Ranks

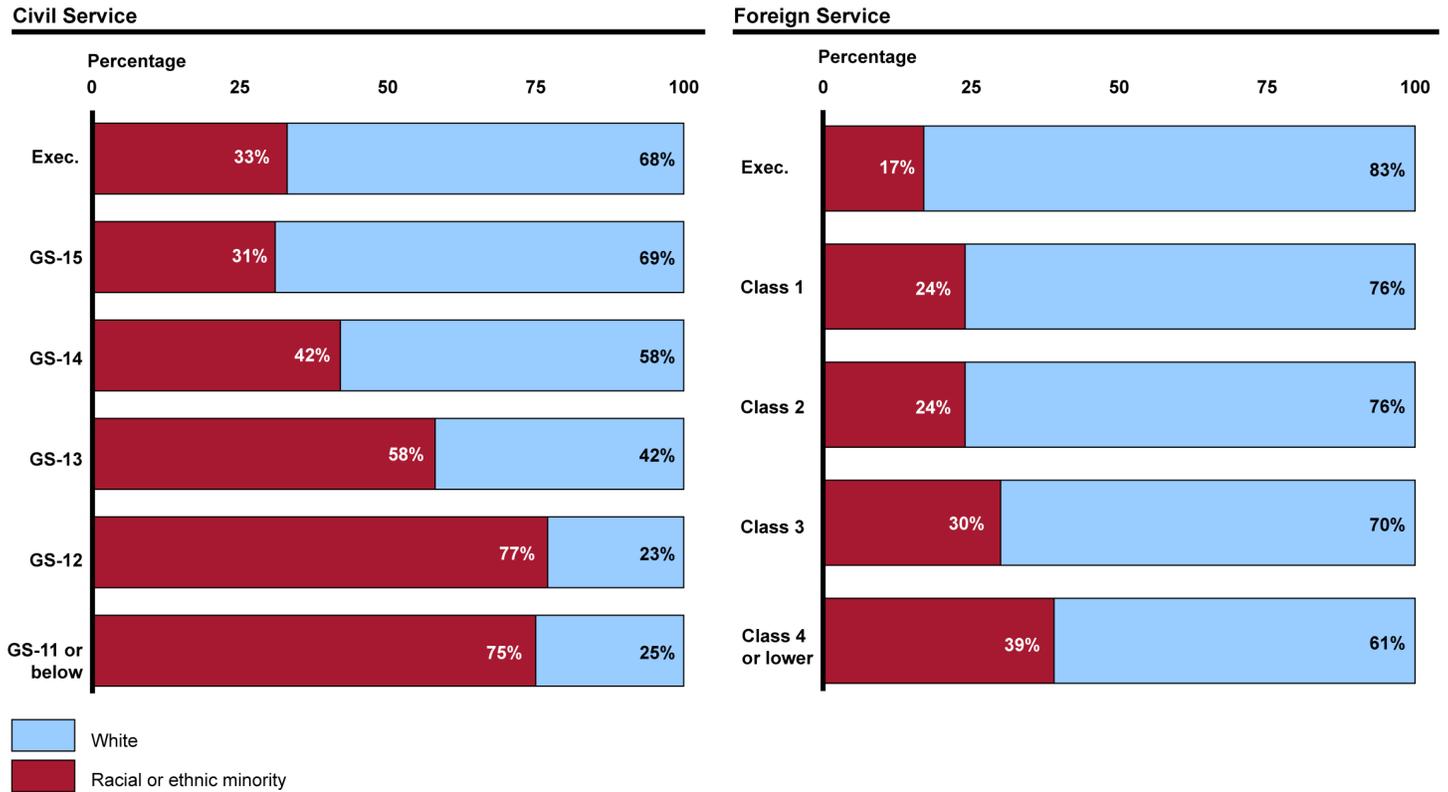
Our analysis of USAID data for fiscal year 2018 found that the proportions of racial or ethnic minority employees generally decreased as rank increased. As figure 4 shows, the proportions of racial or ethnic minorities in the Civil Service in fiscal year 2018 were progressively smaller in each rank above GS-12, except at the executive rank, where the proportion of racial or ethnic minorities was larger than in GS-15. Specifically, the proportions of racial or ethnic minorities decreased from 77 percent in GS-12 to 31 percent in GS-15. Our analysis similarly found that, in general, the proportions of racial or ethnic minorities in the Foreign Service in fiscal year 2018 were progressively smaller in all ranks above Class 6. In fiscal year 2002, the proportion of racial or ethnic minorities

³⁷While the overall proportion of African Americans at USAID decreased, the number of African American employees increased. Specifically, the number of African American employees at USAID rose from 490 in fiscal year 2002 to 620 in fiscal year 2018 (for additional information, see app. II). Data for the federal workforce for fiscal years 2002 and 2017 show that the proportion of African Americans in the federal workplace remained around 18 percent.

³⁸Although the proportion of African Americans in USAID's Civil Service decreased, the number of African American employees in the Civil Service increased. Specifically, the number of African American employees in the Civil Service rose from 385 in fiscal year 2002 to 418 in fiscal year 2018. During the same period of time, the total number of employees in the Civil Service increased from 920 to 1,298 (see app. II).

was also generally smaller at higher ranks in both the Civil and Foreign Services.³⁹

Figure 4: Proportions of White and Racial or Ethnic Minority Employees across Ranks in USAID’s Civil and Foreign Services, Fiscal Year 2018



Legend: Exec. = Executive.

Source: U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the proportions of white and racial or ethnic minority employees at the end of the fiscal year 2018.

³⁹In fiscal year 2002, 73 percent of USAID’s Civil Service employees in GS-11 were racial or ethnic minorities, while 20 percent of Civil Service executives were racial or ethnic minorities. In USAID’s Foreign Service, 22 percent of employees in Class 4 were racial or ethnic minorities, while 16 percent of executives were racial or ethnic minorities.

Overall Proportion of Women Increased

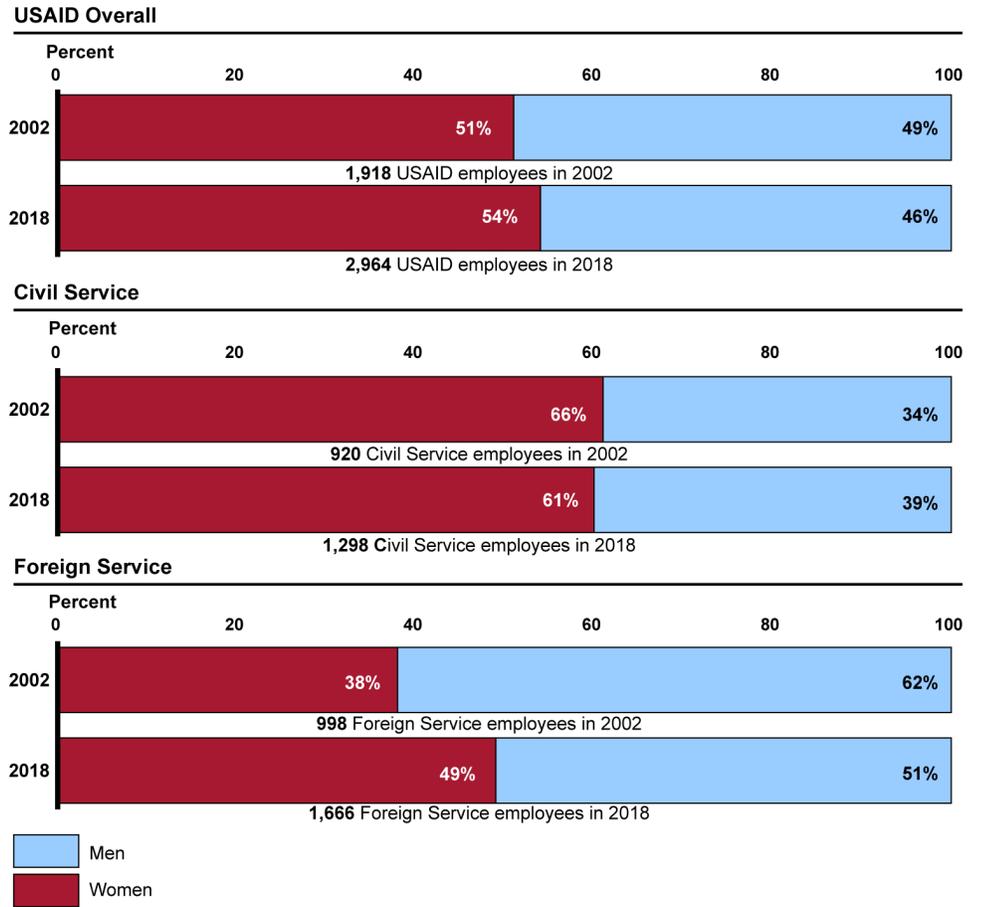
Proportion of Women Increased Overall, Rising in Foreign Service While Declining in Civil Service

From fiscal year 2002 to fiscal year 2018, the proportion of women at USAID increased from 51 to 54 percent, as figure 5 shows. Our analysis found that the overall increase in the proportion of women at USAID reflected a growth in the proportion of women in the Foreign Service. Specifically:

- The proportion of women in the Civil Service decreased from 66 percent in fiscal year 2002 to 61 percent in fiscal year 2018.⁴⁰
- The proportion of women in the Foreign Service increased from 38 percent in fiscal year 2002 to 49 percent in fiscal year 2018.

⁴⁰While the proportion of women in USAID's Civil Service decreased, the number of women increased. Specifically, the number of female employees in the Civil Service rose from 603 to 797, while the number of male employees in the Civil Service rose from 317 to 501. For additional information, see appendix II.

Figure 5: Proportions of Men and Women in USAID’s Civil and Foreign Services, Fiscal Years 2002 and 2018



Source: U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the proportions of male and female employees at the end of fiscal years 2002 and 2018.

Proportions of Minority and Gender Groups at USAID, Fiscal Years 2002-2018

The proportion of African American women at the U.S. Agency for International Development (USAID) decreased from 20 percent in fiscal year 2002 to 14 percent in fiscal year 2018, contributing to overall decreases in the proportions of African Americans at USAID.^a Our analysis found that the overall decline in the proportion of African American women at USAID reflected a decline in the proportion of African American women in USAID's Civil Service.

- **Civil Service.** The proportion of African American women in USAID's Civil Service decreased from 36 percent in fiscal year 2002 to 23 percent in fiscal year 2018.
- **Foreign Service.** The proportion of African American women in USAID's Foreign Service increased from 6 percent in fiscal year 2002 to 7 percent in fiscal year 2018.

In contrast, the proportions of the following demographic groups increased at USAID overall and in both the Civil and Foreign Services:

- African American men
- Asian men
- Asian women
- Hispanic men
- Hispanic women
- White women
- Other racial or ethnic minority men
- Other racial or ethnic minority women^b

The proportion of white men decreased in both the Civil and Foreign Services. The number of African American women in the Civil Service also declined. All other racial or ethnic groups increased in number during this period.

Source: GAO analysis of USAID data. | GAO-20-477

^aOffice of Personnel Management data for fiscal years 2002 and 2017 show that the proportion of African American women in the federal workforce remained around 11 percent.

^b"Other" includes Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial.

Proportion of Women Was Higher Than in Federal Workforce but Mixed in Comparison with Relevant Civilian Labor Force

We compared the proportion of women at USAID with the proportions of women in the federal workforce and relevant civilian labor force. Our comparison of USAID workforce data for fiscal year 2018 with federal government workforce data for 2017 found the following:⁴¹

- The proportion of women at USAID in fiscal year 2018 (54 percent) was higher than the proportion of women in the federal workforce in fiscal year 2017 (43 percent).

⁴¹We analyzed federal workforce data from OPM's *Federal Equal Opportunity Recruitment Program (FEORP) Report, Fiscal Year 2017*, which was published in October 2019.

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- The proportion of women at USAID increased from 51 percent in fiscal year 2002 to 54 percent in fiscal year 2018. In contrast, the proportion of women in the federal workforce decreased slightly, from 44 percent in fiscal year 2002 to 43 percent in fiscal year 2017.

Our comparison of USAID workforce data for fiscal year 2018 with data from the relevant civilian labor force for 2006 through 2010 (the most recent available data) found that the proportions of women were higher at USAID than in the relevant civilian labor force for two occupational groups—(1) officials and managers and (2) technical workers and technologists.⁴² However, the proportion of women was lower at USAID than in the relevant civilian labor force for professional workers.⁴³ For more details, see appendix III.

Proportions of Women in Civil and Foreign Services Were Generally Smaller in Higher Ranks

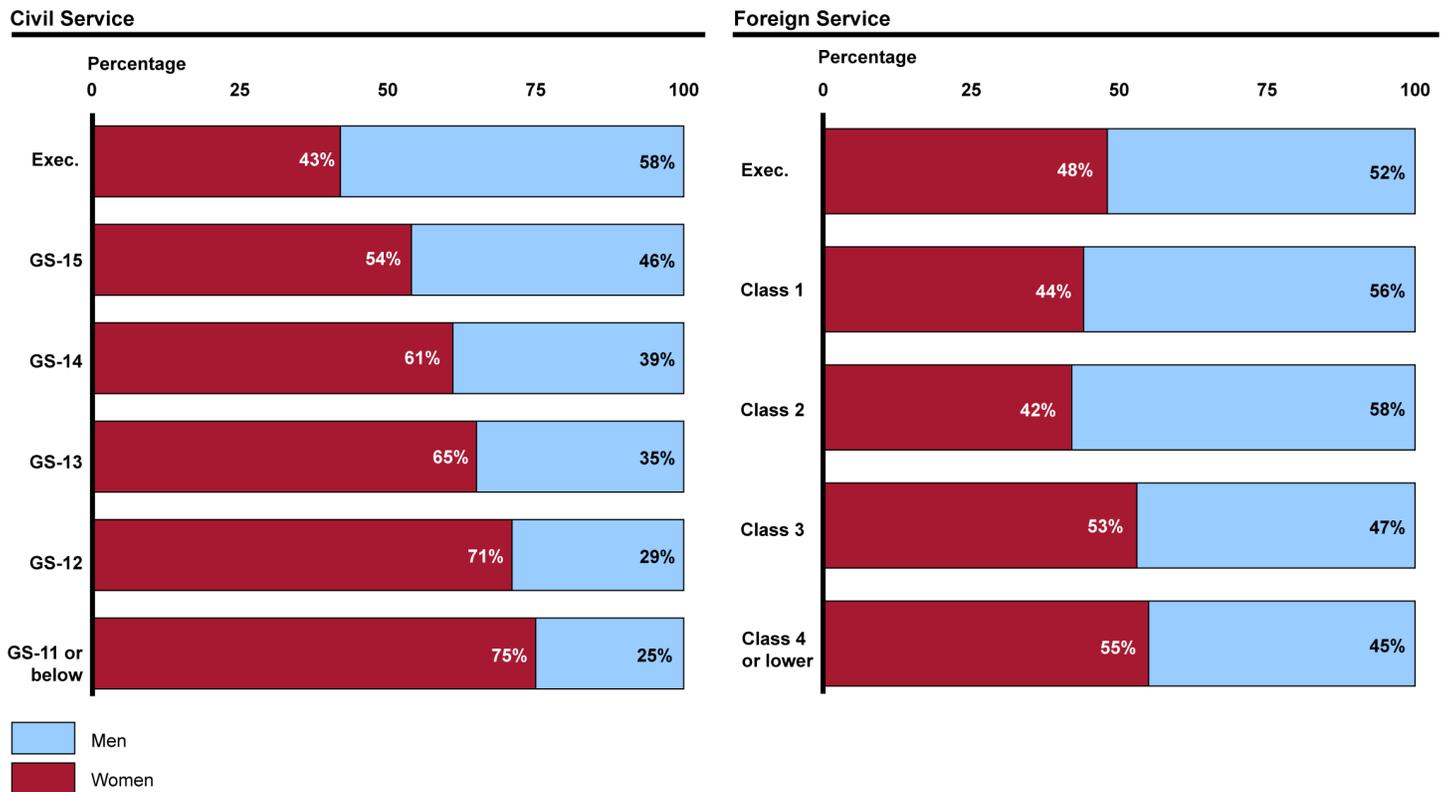
As figure 6 shows, our analysis of USAID data for fiscal year 2018 for the Civil Service found progressively smaller proportions of women in each rank above GS-11. The proportions of women ranged from 75 percent in GS-11 or lower ranks to 43 percent in the executive rank. Additionally, data for fiscal year 2018 for the Foreign Service show overall smaller proportions of women in the higher ranks. Specifically, women made up 55 percent of employees in Class 4 or lower ranks but 48 percent of Foreign Service executives. In fiscal year 2002, the proportion of women was also generally smaller in higher ranks in both the Civil and Foreign Services.⁴⁴

⁴²We also compared USAID workforce data for fiscal year 2010 with relevant civilian labor force data for 2006 through 2010. We found that proportions of women were higher at USAID for officials and managers and for technical workers and technologists but were higher in the relevant civilian labor force for professional workers.

⁴³The three occupational groups—officials and managers, professional workers, and technical workers and technologists—represented 99 percent of USAID’s full-time, permanent, career workforce in fiscal year 2018. Officials and managers represented 70 percent, professional workers represented 23 percent, and technical workers and technologists represented 6 percent of the workforce.

⁴⁴In fiscal year 2002, 90 percent of Civil Service employees in GS-11 were women, whereas 20 percent of Civil Service executives were women. In the Foreign Service, 50 percent of employees in Class 4 were women, whereas 35 percent of executives were women.

Figure 6: Proportions of Men and Women across Ranks in USAID’s Civil and Foreign Services, Fiscal Year 2018



Legend: Exec. = Executive.

Source: U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the proportions of male and female employees at the end of fiscal year 2018.

Promotion Outcomes Were Lower for Racial or Ethnic Minorities Than Whites in Early to Mid Career, but Differences Were Generally Statistically Significant Only in Civil Service

Our analyses of USAID data on promotions in fiscal years 2002 through 2017⁴⁵ found lower promotion outcomes for racial or ethnic minorities than for whites in early to mid career.⁴⁶ We found these differences when conducting descriptive analyses, which calculated simple average promotion rates,⁴⁷ as well as adjusted analyses, which controlled for certain individual and occupational factors other than racial or ethnic minority status that could influence promotion.⁴⁸ Promotion rates were generally lower for racial or ethnic minorities than for whites in both the Civil and Foreign Services, although the differences shown by our adjusted analyses were generally statistically significant only in the Civil Service. However, our analyses do not completely explain the reasons for differences in promotion outcomes, which may result from various unobservable factors. Thus, our analyses do not establish a causal relationship between demographic characteristics and promotion outcomes.

Civil Service Promotion Outcomes Were Lower for Racial or Ethnic Minorities Than for Whites in Early to Mid Career

Both our descriptive analysis and adjusted analysis of data for USAID's Civil Service found that promotion rates were lower for racial or ethnic

⁴⁵For each fiscal year, we calculated the rate of promotion from each rank as the number of newly elevated employees in the next-higher rank in the following fiscal year divided by the number of employees in the given rank in the current year. Therefore, our calculation of promotion rates for fiscal year 2017 includes data on newly elevated employees in the next higher rank in 2018. However, we were not able to calculate promotion rates for fiscal year 2018, because the USAID data we analyzed ended in fiscal year 2018.

⁴⁶For the purposes of this report, early to mid career includes GS-11 through GS-14 in the Civil Service and Class 4 through Class 2 in the Foreign Service.

⁴⁷The rate of promotion from each rank is based on the total number of individuals in that rank in the current year and not on the number of applicants for promotion. This calculation includes employees who may have reached the maximum rank for their particular occupation and may therefore have no remaining promotion potential in that occupation.

⁴⁸We used a discrete-time multivariate statistical logit model to analyze the number of yearly cycles it took to be promoted up to the executive level from GS-11 in the Civil Service and from Class 4 in the Foreign Service. We examined the statistical relationship between promotion and racial or ethnic minority status, incorporating various individual and position-specific characteristics in the models to control for differences in promotion outcomes.

minorities than for whites in early to mid career, as table 4 shows.⁴⁹ In addition, our adjusted analysis found that racial or ethnic minorities in USAID's Civil Service had lower odds of promotion than their white counterparts.

⁴⁹In addition, we found that the proportion of racial or ethnic minorities among those promoted in the Civil Service was generally lower than the proportion of racial or ethnic minorities in the original rank. For example, on average, racial or ethnic minorities made up 66 percent of employees at GS-11 but 54 percent of employees promoted from GS-11 to a higher rank in the Civil Service in fiscal years 2013 through 2018.

Table 4: Promotion Outcomes for Whites and Racial or Ethnic Minorities in USAID’s Civil Service, Fiscal Years 2002-2017

	GS-11 to GS-12	GS-12 to GS-13	GS-13 to GS-14	GS-14 to GS-15	GS-15 to executive
Descriptive analysis					
Promotion rate for whites, %	69.9	44.9	16.4	6.5	1.0
Promotion rate for racial or ethnic minorities, %	38.9	21.7	9.9	4.2	1.1
Percentage point difference between promotion rate for racial or ethnic minorities and promotion rate for whites	-31.0	-23.2	-6.5	-2.3	0.1
Percentage difference between promotion rate for racial or ethnic minorities and promotion rate for whites, %	-44.4	-51.6	-39.8	-35.8	9.9
Adjusted analysis					
Promotion rate for whites, %	55.8	34.1	14.9	6.2	1.1
95 percent confidence interval, %	[51.7, 59.9]	[31.1, 37.1]	[13.3, 16.5]	[5.3, 7]	[0.7, 1.5]
Promotion rate for racial or ethnic minorities, %	46.8	26.8	11.0	4.7	1.1
95 percent confidence interval, %	[43.7, 50.0]	[24.5, 29]	[9.5, 12.4]	[3.7, 5.8]	[0.3, 1.9]
Percentage point difference between promotion rate for racial or ethnic minorities and promotion rate for whites	-8.9	-7.3	-3.9	-1.4	0.0
Odds ratio for racial or ethnic minorities relative to whites ^a	0.586**	0.640**	0.693**	0.751	1.020
95 percent confidence interval, %	[0.424, 0.812]	[0.506, 0.809]	[0.562, 0.854]	[0.563, 1.004]	[0.425, 2.445]
Percentage difference between promotion odds for racial or ethnic minorities and promotion odds for whites, %	-41.4**	-36.0**	-30.7**	-24.9	2.0
95 percent confidence interval, %	[-57.6, 18.8]	[-49.4, 19.1]	[-43.8, 14.6]	[-43.7, 0.4]	[-57.5, 144.5]

Legend: GS = General Schedule, ** = statistical significance at p-value < 0.01; * = statistical significance at p-value < 0.05.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The p-value represents the smallest level of significance for which our estimate results in a rejection of the hypothesis that there was no difference in the odds of promotion. For each rank shown, the promotion rates based on the descriptive analyses represent an average of the number of newly elevated whites or racial or ethnic minorities in the next-higher rank in the following year, divided by the number of whites or racial or ethnic minorities in the given rank in the current year. For our descriptive analysis of USAID data, we calculated the percentage difference for racial or ethnic minorities relative to whites as the unrounded percentage point difference between the promotion rate for racial or ethnic minorities and the promotion rate for whites, divided by the unrounded promotion rate for whites. For our adjusted duration analysis of the data, we conducted discrete-time duration analysis using a logit model that controlled for a variety of factors relevant to promotion, and we analyzed the time duration (number of years) to be promoted. The adjusted analysis does not completely explain the reasons for differences in odds of promotion. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes.

^aOdds ratios that are statistically significant and lower than 1.00 indicate that individuals with the given characteristic are less likely to be promoted. Odds ratios that are statistically significant and greater than 1.00 indicate that individuals with that characteristic are more likely to be promoted.

As table 4 shows, our descriptive analysis of the data for USAID's Civil Service found that the average percentage of racial or ethnic minorities promoted from ranks GS-11 through GS-14 was lower than the average percentage of whites promoted from the same ranks. For example, our descriptive analysis found that in fiscal years 2002 through 2017, an average of 38.9 percent of racial or ethnic minorities were promoted from GS-11 to GS-12, compared with an average of 69.9 percent of whites. This difference of 31.0 percentage points indicates that the average rate of promotion from GS-11 to GS-12 was 44.4 percent lower for racial or ethnic minorities than for whites. In addition, our analysis of yearly promotion rates in the Civil Service for fiscal years 2013 through 2017 showed that the rate of promotion from GS-11 and higher ranks was greater for whites than for racial or ethnic minorities for every rank and year, except for promotions from GS-15 to the executive class in fiscal years 2013, 2014, and 2016.⁵⁰ However, our descriptive analysis does not account for the variety of factors besides racial or ethnic minority status, such as occupation, that may affect promotion rates.

Our adjusted analysis of the data for USAID's Civil Service, controlling for certain factors other than racial or ethnic minority status that could influence promotion, found that racial or ethnic minorities had lower adjusted rates and lower odds of promotion from each rank from GS-11 through GS-14 than their white counterparts.⁵¹ Specifically, our adjusted analysis of USAID data on promotions in fiscal years 2002 through 2017 found the following:

- The average adjusted rate of promotion from GS-11 to GS-12 for racial or ethnic minorities was 46.8 percent, compared with an average of 55.8 percent for whites. This statistically significant difference indicates that the odds of promotion from GS-11 to GS-12

⁵⁰For additional information, see appendix XI.

⁵¹ We also conducted additional statistical analyses that examined various subsets of factors and time periods (see app. XIII for more information). In addition to looking at the odds of promotion for racial or ethnic minorities as a whole relative to whites, we also examined the odds of promotion for (1) African Americans and non-African American racial or ethnic minorities relative to whites and (2) individual racial or ethnic minority groups—African Americans, Hispanics, Asians, and other racial or ethnic minorities—relative to whites (see app. XIV for more information).

in the Civil Service were 41.4 percent lower for racial or ethnic minorities than for whites.⁵²

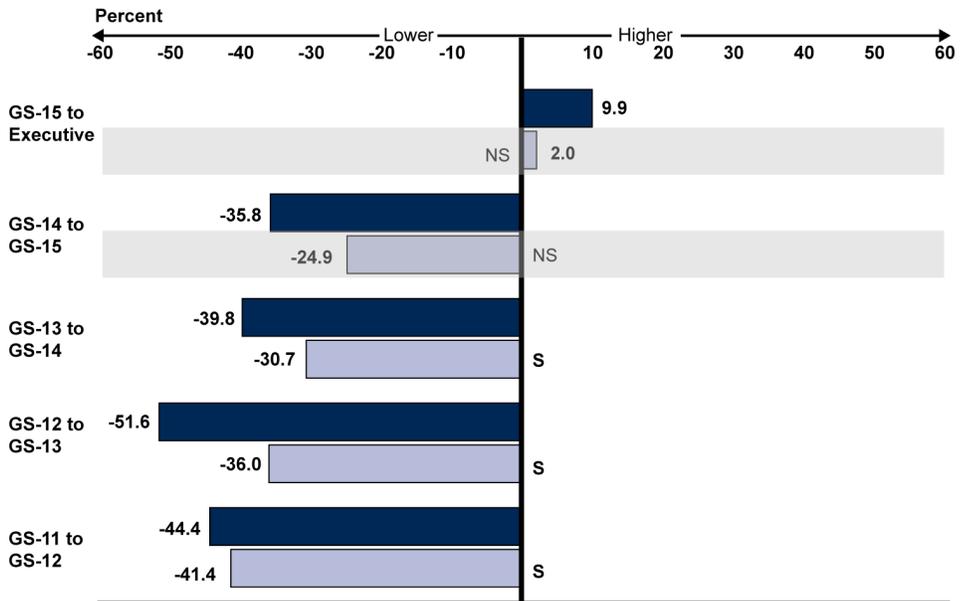
- Our estimates of the adjusted rates and odds of promotion from GS-12 to GS-13 and from GS-13 to GS-14 were also statistically significantly lower for racial or ethnic minorities than for whites.
- There was no statistically significant difference in the odds of promotion from GS-14 to GS-15 or from GS-15 to the executive rank for racial or ethnic minorities relative to whites in the Civil Service.⁵³
- Compared with our descriptive analysis, our adjusted analysis found smaller percentage differences in promotion outcomes for racial or ethnic minorities relative to whites in the Civil Service.

Figure 7 shows key results of our descriptive and adjusted analyses of USAID data for racial or ethnic minorities and whites in USAID's Civil Service.

⁵²We express our confidence in the precision of our estimates as statistically significant differences. We consider differences in our estimates to be statistically significant if they were significant at the 95 percent level.

⁵³While our model found a positive estimate for racial or ethnic minorities' odds of promotion to executive levels, the results were not statistically significant. That is, we could not conclude that there was a statistical relationship between racial or ethnic minority status and promotion from GS-15 to executive.

Figure 7: Relative Differences in Promotion Rates and Adjusted Promotion Odds for Racial or Ethnic Minorities Compared with Whites in USAID’s Civil Service, Fiscal Years 2002-2017



Results not statistically significant at the 95 percent confidence level
 Relative difference in promotion rate among racial or ethnic minorities (descriptive)
 Relative difference in odds of promotion among racial or ethnic minorities (adjusted)

Legend: GS = General Schedule, NS = not statistically significant at the 95 percent confidence level, S = Statistically significant result.

Source: GAO analysis of U.S. Agency for International Development (USAID). | GAO-20-477

Notes: For each rank, the promotion rates based on our descriptive analysis of USAID data represent an average of the number of newly elevated whites or racial or ethnic minorities in the next-higher rank in the following year, divided by the number of whites or racial or ethnic minorities in the given rank in the current year. For the descriptive analysis, we calculated the percentage difference for racial or ethnic minorities relative to whites as the unrounded percentage point difference between the promotion rate for racial or ethnic minorities and the promotion rate for whites, divided by the unrounded promotion rate for whites. For our adjusted analysis of the data, we conducted discrete-time duration analysis using a logit model that controlled for a variety of factors relevant to promotion, and we analyzed the time duration (number of years) to be promoted. The adjusted analysis does not completely explain the reasons for differences in odds of promotion. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes.

Foreign Service Promotion Outcomes Were Lower for Racial or Ethnic Minorities in Early to Mid Career, but Differences Were Generally Not Statistically Significant When We Controlled for Various Factors

As table 5 shows, our descriptive analysis of data for USAID's Foreign Service found that the rate of promotion was generally lower for racial or ethnic minorities than for whites.⁵⁴ In addition, our adjusted analysis found differences between the promotion rates for racial or ethnic minorities and those for whites. These differences were not statistically significant for promotions from Class 4 to Class 3, from Class 2 to Class 1, or from Class 1 to the executive rank. However, the differences between promotion rates for racial or ethnic minorities and whites were statistically significant for promotions from Class 3 to Class 2.

⁵⁴In addition, we found that the proportion of racial or ethnic minorities among those promoted in the Foreign Service was generally lower than the proportion of racial or ethnic minorities in the original rank. For example, on average during fiscal years 2013 through 2017, racial or ethnic minorities made up 29.4 percent of employees in Class 3 but made up 25.2 percent of employees promoted from Class 3 to a higher rank.

Table 5: Promotion Outcomes for Whites and Racial or Ethnic Minorities in USAID’s Foreign Service, Fiscal Years 2002-2017

	Class 4 to Class 3	Class 3 to Class 2	Class 2 to Class 1	Class 1 to executive
Descriptive analysis				
Promotion rate for whites, %	33.7	13.2	12.8	7.0
Promotion rate for racial or ethnic minorities, %	31.5	10.8	11.4	7.2
Percentage point difference between promotion rate for racial or ethnic minorities and promotion rate for whites	-2.2	-2.5	-1.4	0.2
Percentage difference between promotion rate for racial or ethnic minorities and promotion rate for whites, %	-6.4	-18.7	-10.9	2.4
Adjusted analysis				
Promotion rate for whites, %	33.7	13.1	12.8	6.8
95 percent confidence interval, %	[32.1, 35.4]	[12.1, 14.1]	[11.8, 13.8]	[6.0, 7.5]
Promotion rate for racial or ethnic minorities, %	31.3	11.0	11.4	8.4
95 percent confidence interval, %	[28.6, 34.0]	[9.5, 12.6]	[9.6, 13.2]	[6.5, 10.2]
Percentage point difference between promotion rate for racial or ethnic minorities and promotion rate for whites	-2.4	-2.1	-1.4	1.6
Odds ratio for racial or ethnic minorities relative to whites ^a	0.867	0.785*	0.863	1.321
95 percent confidence interval, %	[0.719, 1.046]	[0.628, 0.982]	[0.691, 1.078]	[0.944, 1.847]
Percentage difference between promotion odds for racial or ethnic minorities and promotion odds for whites, %	-13.3	-21.5*	-13.7	32.1
95 percent confidence interval, %	[-28.1, 4.6]	[-37.2, -1.8]	[-30.9, 7.8]	[-5.6, 84.7]

Legend: ** = statistical significance at p-value < 0.01; * = statistical significance at p-value < 0.05.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The p-value represents the smallest level of significance for which our estimate results in a rejection of the hypothesis that there was no difference in the odds of promotion. For each rank shown, the promotion rates based on our descriptive analysis of USAID data represent an average of the number of newly elevated whites or racial or ethnic minorities in the next-higher rank in the following year, divided by the number of whites or racial or ethnic minorities in the given rank in the current year. For the descriptive analysis, we calculated the percentage difference for racial or ethnic minorities relative to whites as the unrounded percentage point difference between the promotion rate for racial or ethnic minorities and the promotion rate for whites, divided by the unrounded promotion rate for whites. For our adjusted analysis of the data, we conducted discrete-time duration analysis using a logit model that controlled for a variety of factors relevant to promotion, and we analyzed the time duration (number of years) to be promoted. The adjusted analysis does not completely explain the reasons for differences in odds of promotion. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes.

^aOdds ratios that are statistically significant and lower than 1.00 indicate that individuals with the given characteristic are less likely to be promoted. Odds ratios that are statistically significant and greater than 1.00 indicate that individuals with that characteristic are more likely to be promoted.

As table 5 shows, our descriptive analysis of the data for USAID's Foreign Service found that for Class 4 and higher ranks, a lower average percentage of racial or ethnic minorities than of whites was promoted from each rank except Class 1. For example, our descriptive analysis found that in fiscal years 2002 through 2017, an average of 31.5 percent of racial or ethnic minorities were promoted from Class 4 to Class 3, compared with an average of 33.7 percent of whites. This difference of 2.2 percentage points indicates that the average rate of promotion from Class 4 to Class 3 was 6.4 percent lower for racial or ethnic minorities than for whites. However, our descriptive analysis does not account for the variety of factors besides racial or ethnic minority status, such as occupation, that may affect promotion rates.

Our adjusted analysis of the data for USAID's Foreign Service, controlling for certain factors other than racial or ethnic minority status that could influence promotion, found that racial or ethnic minorities had lower adjusted rates and odds of promotion than their white counterparts but that these differences were generally not statistically significant.⁵⁵ Specifically, our adjusted analysis of USAID data on promotions in fiscal years 2002 through 2017 found the following:

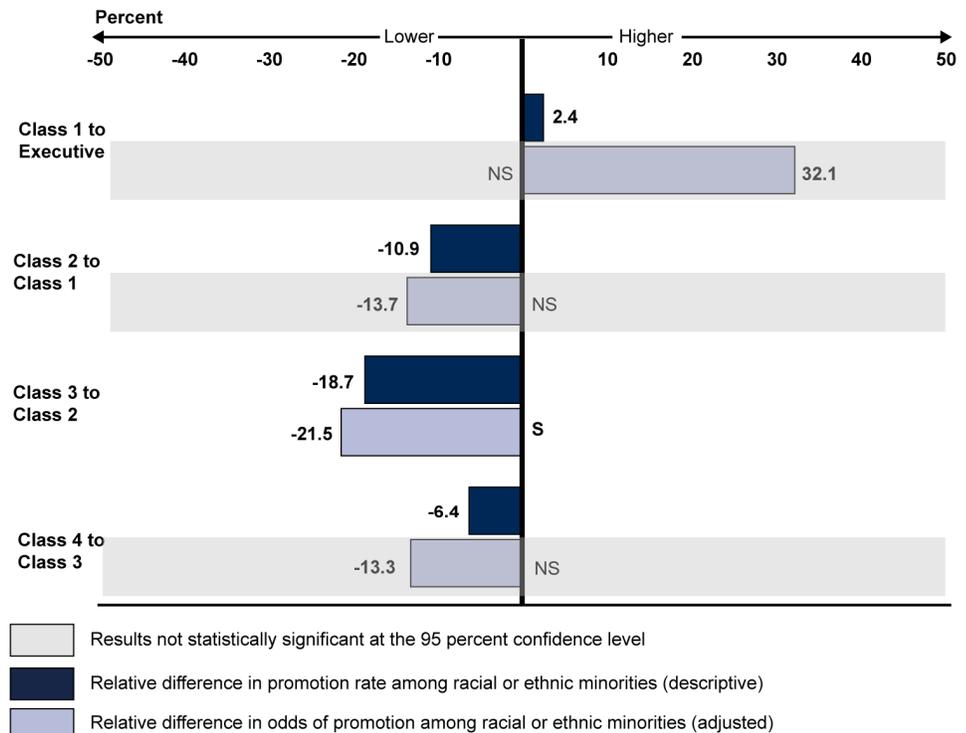
- On average, the adjusted rate of promotion from Class 3 to Class 2 for racial or ethnic minorities was 11.0 percent, compared with 13.1 percent for whites. This statistically significant difference indicates that the odds of promotion from Class 3 to Class 2 in the Foreign Service were 21.5 percent lower for racial or ethnic minorities than for whites.
- The adjusted rates and odds of promotion for racial or ethnic minorities relative to whites were also lower for promotion from Class 4 to Class 3 and from Class 2 to Class 1 and were higher for promotion from Class 1 to the executive rank, but these differences were not statistically significant at the 95 percent confidence level. That is, we could not conclude that there was a statistical relationship between racial or ethnic minority status and promotion from these ranks.

⁵⁵Given USAID's workforce demographics, these racial or ethnic minorities consisted primarily of African Americans, Hispanics, and Asians. We also conducted statistical analyses that examined various subsets of factors and time periods (see app. XIII for more information). In addition to looking at the odds of promotion for racial or ethnic minorities as a whole relative to whites, we also examined the odds of promotion for (1) African Americans and non-African American racial or ethnic minorities relative to whites and (2) individual racial or ethnic minority groups—African Americans, Hispanics, Asians, and other racial or ethnic minorities—relative to whites (see app. IV for more information).

- Compared with our descriptive analysis, our adjusted analysis found a larger percentage difference in promotion outcomes at all levels from Class 4 to the executive rank for racial or ethnic minorities relative to whites.

Figure 8 shows key results of our descriptive and adjusted analyses of USAID data for racial or ethnic minorities and whites in the Foreign Service.

Figure 8: Relative Differences in Promotion Rates and Adjusted Promotion Odds for Racial or Ethnic Minorities Compared with Whites in USAID’s Foreign Service, Fiscal Years 2002-2017



Legend: NS = Not statistically significant at the 95 percent confidence level, S = Statistically significant result.

Source: GAO analysis of U.S. Agency for International Development (USAID). | GAO-20-477

Notes: For each rank, the promotion rates based on our descriptive analysis of USAID data represent an average of the number of newly elevated whites or racial or ethnic minorities in the next-higher rank in the following year, divided by the number of whites or racial or ethnic minorities in the given rank in the current year. For the descriptive analysis, we calculated the percentage difference for racial or ethnic minorities relative to whites as the unrounded percentage point difference between the promotion rate for racial or ethnic minorities and the promotion rate for whites, divided by the unrounded promotion rate for whites. For our adjusted analysis of the data, we conducted discrete-time duration analysis using a logit model that controlled for a variety of factors relevant to promotion, and we analyzed the time duration (number of years) to be promoted. The adjusted analysis does not completely explain the reasons for differences in odds of promotion. While various independent variables capture and control for many characteristics across demographic groups, unobservable

factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes.

Differences in Promotion Outcomes for Women and Men Were Generally Not Statistically Significant

Our analyses of USAID data on promotions in fiscal years 2002 through 2017 found differences between promotion outcomes for women relative to men, but these differences were generally not statistically significant. We found these differences when conducting descriptive analyses, which calculated simple average promotion rates,⁵⁶ as well as adjusted analyses, which controlled for certain individual and occupational factors other than gender that could influence promotion.⁵⁷ In particular, we found that average promotion rates for women in the Civil Service varied relative to men, but the differences were not statistically significant. In the Foreign Service, average promotion rates varied for women relative to men, but these differences were statistically significant only for promotion from Class 4 to Class 3. Our analyses do not completely explain the reasons for differences in promotion outcomes, which may result from various unobservable factors. Thus, our analyses do not establish a causal relationship between demographic characteristics and promotion outcomes.

Civil Service Average Promotion Rates Varied for Women Relative to Men, but Differences in Outcomes Were Not Statistically Significant When We Controlled for Various Factors

As table 6 shows, our descriptive analysis of USAID data on promotions in fiscal years 2002 through 2017 found that the rate of promotion in USAID's Civil Service was generally lower for women than for men at GS-13 and lower ranks. However, our adjusted analysis did not find any statistically significant differences in the rates or odds of promotion for women relative to men in the Civil Service.

⁵⁶For each fiscal year, we calculated the rate of promotion from each rank as the number of newly elevated employees in the next-higher rank in the following fiscal year divided by the number of employees in the given rank in the current year. Thus, the rate of promotion from each rank is based on the total number of individuals in that rank in the current year and not on the number of applicants for promotion. This calculation includes employees who may have reached the maximum rank for their particular occupation and may therefore have no remaining promotion potential in that occupation.

⁵⁷We used a discrete-time multivariate statistical logit model to analyze the number of yearly cycles it took to be promoted up to the executive level from Civil Service rank General Schedule (GS)-11 and from Foreign Service rank Class 4. We examined the statistical relationship between promotion and gender, incorporating various individual and position-specific characteristics in the models to control for differences in promotion outcomes.

Table 6: Promotion Outcomes for Men and Women in USAID’s Civil Service, Fiscal Years 2002-2017

	GS-11 to GS-12	GS-12 to GS-13	GS-13 to GS-14	GS-14 to GS-15	GS-15 to executive
Descriptive analysis					
Promotion rate for men, %	58.7	37.1	13.5	5.6	1.0
Promotion rate for women, %	47.4	27.1	12.7	5.8	1.1
Percentage point difference between promotion rate for women and promotion rate for men	-11.3	-10.0	-0.8	0.2	0.1
Percentage difference between promotion rate for women and promotion rate for men, %	-19.3	-27.0	-5.9	3.8	13.3
Adjusted analysis					
Promotion rate for men, %	46.5	32.1	14.3	5.9	1.0
95 percent confidence interval, %	[42.1, 51.0]	[28.8, 35.5]	[12.3, 16.3]	[4.9, 6.9]	[0.5, 1.4]
Promotion rate for women, %	51.6	28.7	12.4	5.6	1.3
95 percent confidence interval, %	[49.0, 54.2]	[26.7, 30.7]	[11.1, 13.6]	[4.7, 6.4]	[0.6, 1.9]
Percentage point difference between promotion rate for women and promotion rate for men	5.0	-3.4	-1.9	-0.3	0.3
Odds ratio for promotion for women relative to men ^a	1.369	0.806	0.838	0.937	1.29
95 percent confidence interval, %	[0.975, 1.923]	[0.629, 1.033]	[0.675, 1.041]	[0.722, 1.217]	[0.596, 2.790]
Percentage difference between promotion odds for women and promotion odds for men, %	36.9	-19.4	-16.2	-6.3	29.0
95 percent confidence interval, %	[-2.5, 92.3]	[-37.1, 3.3]	[-32.5, 4.1]	[-27.8, 21.7]	[-40.4, 179.0]

Legend: GS = General Schedule, ** = statistical significance at p-value < 0.01; * = statistical significance at p-value < 0.05.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The p-value represents the smallest level of significance for which our estimate results in a rejection of the hypothesis that there was no difference in the odds of promotion. For each rank shown, the promotion rates based on our descriptive analysis of USAID data represent an average of the number of newly elevated men or women in the next-higher rank in the following year, divided by the number of men or women in the given rank in the current year. For the descriptive analysis, we calculated the percentage difference for women relative to men as the unrounded percentage point difference between the promotion rate for women and the promotion rate for men, divided by the unrounded promotion rate for men. For our adjusted analysis of the data, we conducted discrete-time duration analysis using a logit model that controlled for a variety of factors relevant to promotion, and we analyzed the time duration (number of years) to be promoted. The adjusted analysis does not completely explain the reasons for differences in odds of promotion. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes.

^aOdds ratios that are statistically significant and lower than 1.00 indicate that individuals with the given characteristic are less likely to be promoted. Odds ratios that are statistically significant and greater than 1.00 indicate that individuals with that characteristic are more likely to be promoted

Our descriptive analysis of the data for USAID’s Civil Service found that the average percentage of women promoted from GS-11 through GS-13

was lower than the average percentage of men. For example, our descriptive analysis found that in fiscal years 2002 through 2017, an average of 47.4 percent of women were promoted from GS-11 to GS-12, compared with an average of 58.7 percent of men. This difference of 11.3 percentage points indicates that the average rate of promotion from GS-11 to GS-12 was 19.3 percent lower for women than for men. However, our descriptive analysis does not account for the variety of factors besides gender (e.g., occupation) that may affect promotion rates.

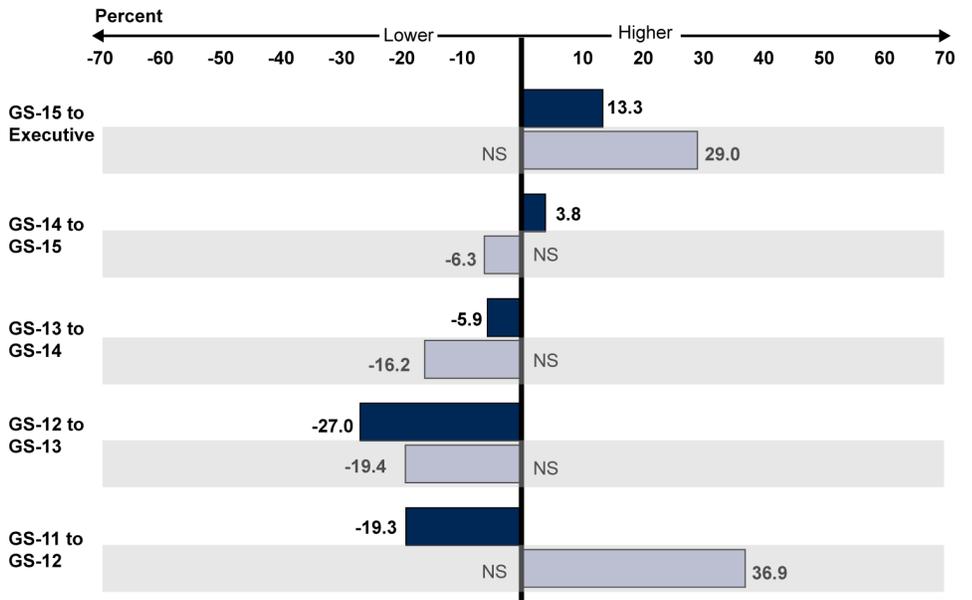
Our adjusted analysis of the USAID data, controlling for certain factors other than gender that could influence promotion, found no statistically significant differences in the rates or odds of promotion for women compared with men in the Civil Service. Specifically, the adjusted analysis for promotions in fiscal years 2002 through 2017 found the following:

- The adjusted rates and odds of promotion from GS-12 to GS-13, from GS-13 to GS-14, and from GS-14 to GS-15 were lower for women than for men.
- Our estimates of the odds of promotion from GS-11 to GS-12 and from GS-15 to the executive rank were higher for women than for men.
- In all cases, we found no statistically significant differences at the 95 percent confidence level in the odds of promotion from any rank for women relative to men in the Civil Service. That is, we could not conclude that there was a statistical relationship between gender and promotion from these ranks.⁵⁸

Figure 9 shows key results of our descriptive and adjusted analyses of USAID data for men and women in USAID's Civil Service.

⁵⁸We also conducted statistical analyses that examined various subsets of factors and time periods. See appendix XIII for more details.

Figure 9: Relative Differences in Promotion Rates and Adjusted Promotion Odds for Women Compared with Men in USAID’s Civil Service, Fiscal Years 2002-2017



Results not statistically significant at the 95 percent confidence level
 Relative difference in promotion rate among Women (descriptive)
 Relative difference in odds of promotion among Women (adjusted)

Legend: GS = General Schedule, NS = not statistically significant at the 95 percent confidence level, S = Statistically significant result.

Source: GAO analysis of U.S. Agency for International Development (USAID). | GAO-20-477

Notes: For each rank, the promotion rates based on the descriptive analyses represent an average of the number of newly elevated men or women in the next-higher rank in the following year, divided by the number of men or women in the given rank in the current year. For our descriptive analysis of USAID data, we calculated the percentage difference for women relative to men as the unrounded percentage point difference between the promotion rate for women and the promotion rate for men, divided by the unrounded promotion rate for men. For our adjusted analysis of the data, we conducted discrete-time duration analysis using a logit model that controlled for a variety of factors relevant to promotion, and we analyzed the time duration (number of years) to be promoted. The adjusted analysis does not completely explain the reasons for differences in odds of promotion. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes.

Foreign Service Average Promotion Rates Were Generally Higher for Women Than Men, but Differences in Outcomes Were Generally Not Statistically Significant When We Controlled for Various Factors

Our descriptive and adjusted analyses of data on promotions in fiscal years 2002 through 2017 for USAID’s Foreign Service both found that the rate and odds of promotion were generally higher for women than for men, as table 7 shows.

Table 7: Promotion Outcomes for Men and Women in USAID’s Foreign Service, Fiscal Years 2002-2017

	Class 4 to Class 3	Class 3 to Class 2	Class 2 to Class 1	Class 1 to executive
Descriptive analysis				
Promotion rate for men, %	32.2	13.5	12.2	6.9
Promotion rate for women, %	33.9	11.7	13.0	7.1
Percentage point difference between promotion rate for women and promotion rate for men	1.7	-1.8	0.8	0.2
Percentage difference between promotion rate for women and promotion rate for men, %	5.2	-13.3	6.2	2.8
Adjusted analysis				
Promotion rate for men, %	31.5	13.0	12.5	7.2
95 percent confidence interval, %	[29.5, 33.5]	[11.8, 14.2]	[11.3, 13.7]	[6.3, 8.1]
Promotion rate for women, %	34.7	12.1	12.5	6.8
95 percent confidence interval, %	[32.6, 36.7]	[10.9, 13.3]	[11.1, 13.9]	[5.7, 7.8]
Percentage point difference between promotion rate for women and promotion rate for men	3.2	-0.9	0.0	-0.4
Odds ratio for promotion for women relative to men ^a	1.202*	0.899	1.003	0.923
95 percent confidence interval, %	[1.012, 1.429]	[0.737, 1.096]	[0.830, 1.212]	[0.705, 1.209]
Percentage difference between promotion odds for women and promotion odds for men, %	20.2*	-10.1	0.3	-7.7
95 percent confidence interval, %	[1.2, 42.9]	[-26.3, 9.6]	[-17.0, 21.2]	[-29.5, 20.9]

Legend: ** = statistical significance at p-value < 0.01; * = statistical significance at p-value < 0.05.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The p-value represents the smallest level of significance for which our estimate results in a rejection of the hypothesis that there was no difference in the odds of promotion. For each rank shown, the promotion rates based on our descriptive analysis of USAID data represent an average of the number of newly elevated men or women in the next-higher rank in the following year, divided by the number of men or women in the given rank in the current year. For the descriptive analysis, we calculated the percentage difference for women relative to men as the unrounded percentage point

difference between the promotion rate for women and the promotion rate for men, divided by the unrounded promotion rate for men. For our adjusted analysis of the data, we conducted discrete-time duration analysis using a logit model that controlled for a variety of factors relevant to promotion, and we analyzed the time duration (number of years) to be promoted. The adjusted analysis does not completely explain the reasons for differences in odds of promotion. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes.

^aOdds ratios that are statistically significant and lower than 1.00 indicate that individuals with the given characteristic are less likely to be promoted. Odds ratios that are statistically significant and greater than 1.00 indicate that individuals with that characteristic are more likely to be promoted.

Our descriptive analysis of the data for USAID's Foreign Service found that higher average percentages of women, relative to men, were promoted from Class 4 to Class 3, from Class 2 to Class 1, and from Class 1 to the executive rank. For example, our descriptive analysis found that in fiscal years 2002 through 2017, an average of 33.9 percent of women were promoted from Class 4 to Class 3, compared with an average of 32.2 percent of men. This 1.7 percentage point difference indicates that the average rate of promotion from Class 4 to Class 3 was 5.2 percent higher for women than for men. However, our descriptive analysis does not account for the variety of factors besides gender (e.g., occupation) that may affect promotion rates.

Our adjusted analysis of the data for USAID's Foreign Service, controlling for certain factors other than gender that could influence promotion, found that the adjusted rates and odds of promotion varied for women relative to men in the Foreign Service.⁵⁹ Specifically, our adjusted analysis of data on promotions in fiscal years 2002 through 2017 found the following:

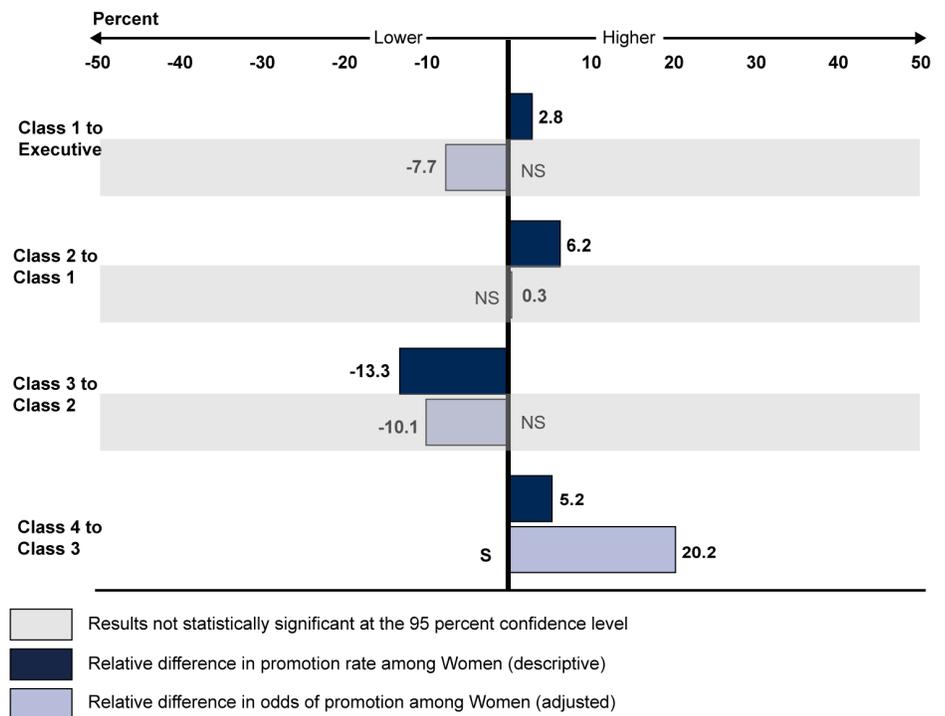
- On average, the adjusted rate of promotion from Class 4 to Class 3 for women in the Foreign Service was 34.7 percent, compared with 31.5 percent for men. This statistically significant difference indicates that the odds of promotion from Class 4 to Class 3 were 20.2 percent higher for women than for men.
- While the adjusted rates of promotion from Class 3 to Class 2 and from Class 1 to the executive rank were lower for women than for men, there were no statistically significant differences in the odds of promotion from these ranks for women relative to men in the Foreign Service. Thus, we could not conclude that there was a statistical relationship between gender and promotion from these ranks.

⁵⁹We also conducted statistical analyses that examined various subsets of factors and time periods (see app. XIII for more information).

- Compared with the descriptive analysis, our adjusted analysis found a smaller percentage difference in promotion outcomes from Class 3 to Class 2 and from Class 2 to Class 1 for women relative to men. Our adjusted analysis also found positive, rather than negative, percentage differences in promotion outcomes from Class 4 to Class 3 and from Class 2 to Class 1 for women relative to men.

Figure 10 displays key results of our descriptive and adjusted analyses of USAID data for men and women in USAID’s Foreign Service.

Figure 10: Relative Differences in Promotion Rates and Adjusted Promotion Odds for Women Compared with Men in USAID’s Foreign Service, Fiscal Years 2002-2017



Legend: NS = Not statistically significant at the 95 percent confidence level, S = Statistically significant result.
 Source: GAO analysis of U.S. Agency for International Development (USAID). | GAO-20-477

Notes: For each rank, the promotion rates based on our descriptive analysis of USAID data represent an average of the number of newly elevated men or women in the next-higher rank in the following year, divided by the number of men or women in the given rank in the current year. For the descriptive analysis, we calculated the percentage difference for women relative to men as the unrounded percentage point difference between the promotion rate for women and the promotion rate for men, divided by the unrounded promotion rate for men. For our adjusted analysis of the data, we conducted discrete-time duration analysis using a logit model that controlled for a variety of factors relevant to promotion, and we analyzed the time duration (number of years) to be promoted. The adjusted analysis does not completely explain the reasons for differences in odds of promotion. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression

results do not establish a causal relationship between demographic characteristics and promotion outcomes.

USAID Has Identified Underrepresentation of Specific Groups in Its Workforce but Has Not Carried Out Required EEO Activities

USAID has determined that specific groups, such as Hispanics and African Americans, are underrepresented in its workforce, and the agency has a strategic plan that identifies goals, activities, and measures to support diversity and inclusion. However, staffing gaps stemming in part from a lack of leadership attention have prevented OCRD from conducting required equal employment opportunity functions. Specifically, staffing gaps have prevented OCRD from responding to EEO complaints within mandated timeframes, analyzing USAID's workforce for trends and potential barriers to equal employment, and completing the annual MD-715 reports on the agency's diversity efforts.

USAID Has Identified Underrepresentation of Specific Groups and Developed a Diversity and Inclusion Strategic Plan

USAID Has Identified Underrepresentation of Specific Groups in Its Workforce

USAID has identified specific groups that are underrepresented in its workforce relative to the national civilian labor force. In each of its MD-715 reports to EEOC for fiscal years 2013 through 2017, USAID identified the following groups as being underrepresented in its workforce: (1) Hispanic males and females in both the Civil Service and the Foreign Service; (2) individuals with a targeted disability; and (3) Hispanic, African American, and Asian American males and females in certain major occupations in areas such as health, contracting, program or project development, auditing, and management and program analysis.⁶⁰ According to USAID officials, these groups remain underrepresented in USAID's workforce.

In fiscal years 2010 through 2016, USAID completed analyses intended to identify barriers that could contribute to underrepresentation of specific groups and other diversity issues and described such barriers in its MD-715 reports. For example, in its report for fiscal year 2010, USAID stated

⁶⁰Targeted disabilities are defined as disabilities that the government has, for several decades, emphasized in hiring because they pose the greatest barriers to employment, such as blindness, deafness, paralysis, convulsive disorders, and mental illness, among others.

that its recruitment and outreach efforts had failed to attract a representative pool of qualified applicants. In its report for fiscal year 2011, USAID stated that it had no executive development program to prepare employees to enter the senior executive service. In its report for fiscal year 2016, USAID reported on three barrier analyses examining the underrepresentation of, respectively, Hispanics; people with targeted disabilities; and African Americans, Asian Americans, and Hispanics in major occupations.

Additional diversity issues may exist at USAID. For example, in 2014, EEOC found that black and Asian females may encounter barriers to equal employment when attempting to enter USAID's Senior Foreign Service. Further, representatives from 10 of 11 employee resource groups told us that they believed members of their communities have fewer career prospects at USAID than members of other USAID communities.

USAID Developed a Diversity and Inclusion Strategic Plan

USAID outlined planned efforts to support diversity and inclusion in its June 2016 *Human Resource Transformation Strategy and Action Plan, 2016-2021* (HR Transformation Strategy) as well as its 2017 *Diversity and Inclusion Strategic Plan*. According to the HR Transformation Strategy, USAID envisioned an environment in which diversity recruiting is targeted and strategic, selection bias does not prevent diverse candidates from being hired, all staff and supervisors are trained regularly in diversity and inclusion topics, and agency leaders incorporate diversity into staffing decisions. The HR Transformation Strategy included an objective focused on diversity and inclusion, with planned activities to work toward this goal. The 2017 Diversity and Inclusion Strategic Plan was developed concurrently with, and folded into, the HR Transformation Strategy's diversity and inclusion objective. Shortly into the first year of the HR Transformation Strategy implementation, USAID narrowed its scope and suspended the diversity and inclusion objective.⁶¹

USAID's 2017 Diversity and Inclusion Strategic Plan identifies three goals: (1) diversify the federal workforce through active engagement of leadership, (2) include and engage everyone in the workplace, and (3) optimize inclusive diversity efforts using a data-driven approach. The plan also identifies priorities, activities, and measures intended to meet

⁶¹According to USAID officials, the HR Transformation was originally designed as an agency-wide effort but was delegated to HCTM. HCTM determined to focus on the parts of HR Transformation that were most relevant to its mission, and therefore the diversity and inclusion elements of the HR Transformation were put on hold.

USAID's diversity goals, several of which cite, and overlap with, the original diversity and inclusion-related elements of the HR Transformation Strategy.

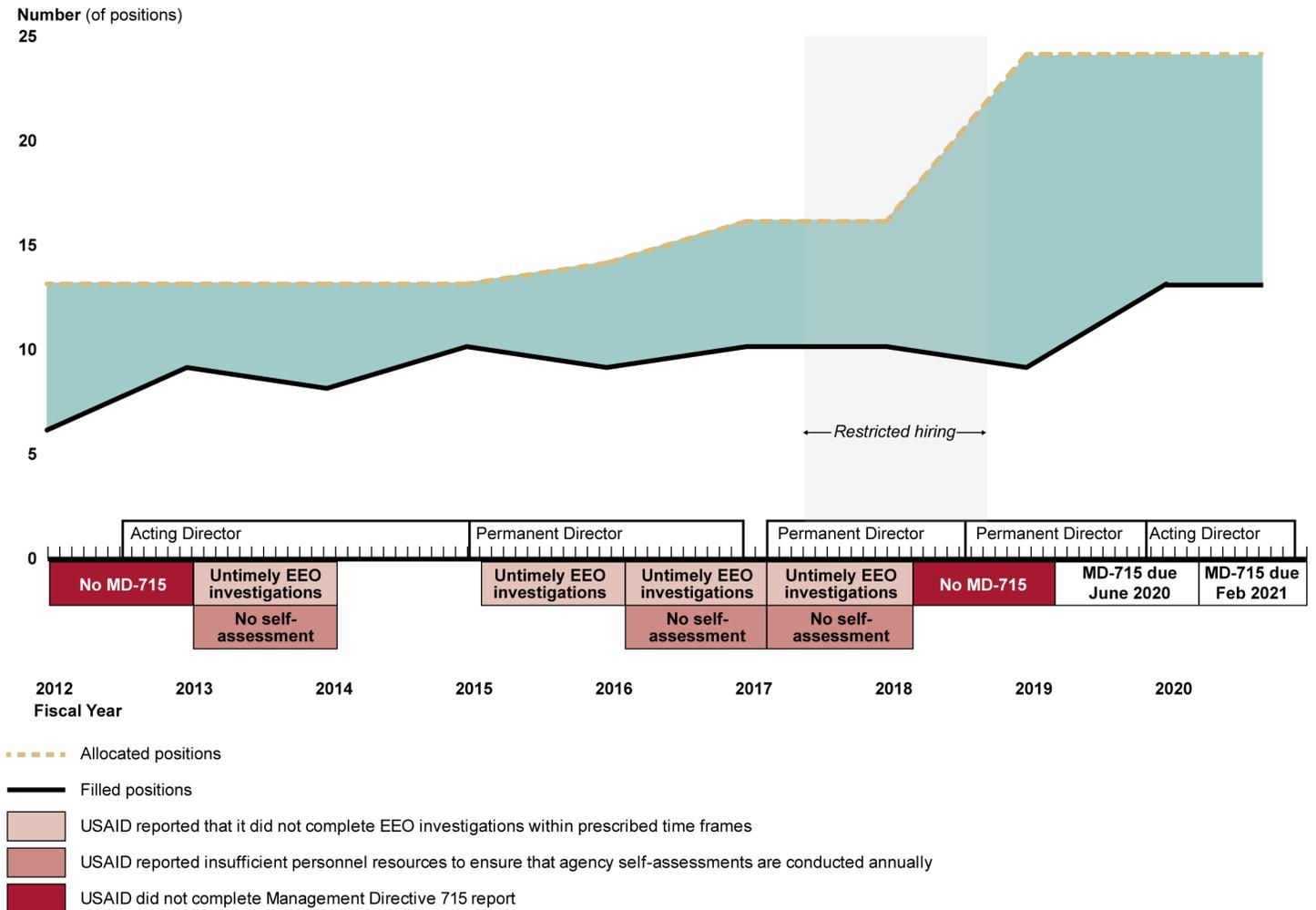
HCTM and OCRD officials indicated that that the Diversity and Inclusion Strategic Plan includes some of the areas that would no longer be addressed through the HR Transformation Strategy. In addition, the officials noted that USAID has implemented some aspects of the plan. For example, according to the officials, its employee resource groups have participated in various outreach and recruitment events, as called for by the plan.

HCTM and OCRD officials told us that USAID was drafting an update to the Diversity and Inclusion Strategic Plan, which it aimed to finish in June 2020. The officials stated that, although OCRD and HCTM will remain the plan's primary implementers, the new plan will give USAID bureaus and offices more responsibility for diversity and inclusion activities. Additionally, the officials stated that working groups from USAID's employee resource groups had begun reviewing the draft. The officials stated that OCRD expected to submit the draft to the Executive Diversity Council for comment after these reviews.

Staffing Gaps Have Prevented USAID from Responding to EEO Complaints in a Timely Manner, Analyzing Its Workforce, and Reporting on Diversity Efforts

OCRD has faced persistent staffing gaps stemming in part from a lack of management attention to the agency's EEO programs. Moreover, the office has experienced turnover among its directors. OCRD officials stated that the staffing gaps and turnover challenges have prevented the office from completing required EEO functions. As figure 11 shows, the number of OCRD's filled positions has consistently been less than its allocation. According to OCRD and EEOC officials, the office needs to fill its allocated positions to effectively perform its duties and responsibilities. These staffing gaps generally correspond to times when USAID reported that OCRD could not perform EEO investigations within mandated timeframes, conduct barrier analyses of the agency's workforce, or complete an MD-715 report.

Figure 11: USAID Office of Civil Rights and Diversity’s Staffing, Leadership, and Ability to Meet EEO Requirements, Fiscal Years 2012-2020



Source: GAO analysis of U.S. Agency for International Development (USAID) documents. | GAO-20-477

Legend: EEO = Equal Employment Opportunity, USAID = U.S. Agency for International Development.

Notes: USAID hiring was restricted from January 2017 to March 2018 by a government-wide hiring freeze and a subsequent requirement to receive approval from the Secretary of State for all external hires. The hiring freeze was in place from January 2017 to April 2017. After April 2017, all USAID external hires required approval from the Secretary of State until March 2018.

The information shown for 2020 is as of April 2020.

OCRD Faces Staffing Gaps

OCRD cannot effectively perform its duties and responsibilities without sufficient staff, according to OCRD officials. Federal equal employment regulations require federal agencies to provide sufficient resources to

their EEO programs to ensure efficient and successful operation.⁶² However, as table 8 shows, OCRD has faced staffing gaps since fiscal year 2010.

Table 8: USAID Office of Civil Rights and Diversity’s Number of Allocated Positions, New Hires, Filled Positions, and Vacancy Rates, October 2009–April 2020

Fiscal year	Allocated positions	New hires	Filled positions	Vacancy rate, % ^a
2010	13	3	8	38
2011	13	1	8	38
2012	13	3	6	54
2013	13	5	9	31
2014	13	1	8	38
2015	13	3	10	23
2016	13	1	9	31
2017	14	2	10	29
2018	16	2	10	38
2019	24	3	9	63
2020 ^b	24	5	13	46

Source: GAO analysis of U.S. Agency for International Development (USAID) documentation. | GAO-20-477

^aWe determined the vacancy rate for each fiscal year by dividing the difference between the number of filled positions and the number of allocated positions by the number of allocated positions and rounding the result to the nearest whole number.

^bAs of April 2020.

According to USAID officials, vacancies have a greater effect on smaller offices such as OCRD, where fewer staff are available to take on the resulting extra work. The officials said that this can in turn affect morale, which can increase staff turnover. Such turnover is observable in USAID’s employee data showing the number of employees and new hires in OCRD. Specifically, while OCRD added new hires to the office each fiscal year, the number of filled positions generally stayed the same or decreased. For example, the number of filled positions in OCRD decreased from 10 to nine in fiscal year 2016, despite the addition of a new hire. Similarly, in fiscal years 2017 and 2018, OCRD’s filled positions remained constant at 10 despite four new hires during that period. As a result, OCRD’s vacancy rate remained near or above 30 percent from October 2015 through April 2020.

⁶²29 C.F.R. §1614.102(a)(1).

EEOC similarly noted OCRD's insufficient staffing in compliance letters to USAID in 2017 and 2019. In both letters, EEOC outlined its expectation that USAID establish a plan to allocate sufficient resources to its EEO program and demonstrate meaningful progress toward correcting this deficiency.

USAID officials stated that these staffing gaps have limited OCRD's capacity to carry out required EEO functions. For example, in November 2019, most of OCRD's divisions had vacancy rates of 50 percent or more. At that time, all three allocated positions in the Reasonable Accommodation Division and five of six positions in the Diversity and Inclusion Division were vacant. In February 2020, OCRD officials reported that the division's Affirmative Employment Program had no staff to implement the MD-715 report for fiscal year 2019. Additionally, OCRD reported that the Complaints and Resolution Division's Anti-Harassment Program continued to receive cases while working through backlogs. Without sufficient staff, OCRD is unable to effectively perform its duties and responsibilities, according to OCRD officials.

As part of its response to EEOC's October 2019 compliance letter, USAID increased the number of positions approved for OCRD to 24. However, the office has struggled to fill those positions. HCTM and OCRD officials stated that, although they are working to resolve the staffing gaps in OCRD, high demand for staff with the specialized skills OCRD requires, as well as unexpected recent turnover in OCRD due to illness and retirement, have hindered this effort. According to USAID officials, long security clearance processes also caused several candidates to withdraw from the hiring process when they found other employment. As table 9 shows, OCRD continued to have staffing gaps of 30 to 50 percent in April 2020.⁶³

⁶³According to USAID officials, several more candidates were in the hiring pipeline for these vacancies as of April 2020.

Table 9: Number of Approved, Filled, and Vacant Positions and Vacancy Rates in USAID’s Office of Civil Rights and Diversity as of April 2020

	Approved positions	Filled positions	Vacant positions	Vacancy rate, % ^a
OCRD leadership	3	2	1 ^b	33
Complaints and Resolution Division	8	4	4	50
Reasonable Accommodations Division	3	2	1	33
Diversity and Inclusion Division	6	3	3	50
Program Operations Division	4	2	2	50
OCRD total	24	13	11	46

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

^aWe determined the vacancy rate for each OCRD section by dividing the difference between the number of filled positions and the number of allocated positions by the number of allocated positions and rounding the result to the nearest whole number.

^bAs of April 2020, the Office of Civil Rights and Diversity (OCRD) does not have a permanent director.

Representatives from nine of the 13 USAID employee groups we spoke with echoed the concern that OCRD lacked sufficient staffing resources to do its job effectively. For example, one group attributed OCRD’s lack of responsiveness to information requests to a lack of sufficient staffing resources. Another group said that there was an implicit understanding in USAID that OCRD had to prioritize reacting to negative events rather than undertaking proactive efforts to increase diversity.

Without sufficient staffing resources, USAID will lack the capacity to perform required functions such as responding to EEO complaints, analyzing demographic data, or completing annual MD-715 reports.

USAID Has Not Responded to EEO Complaints in a Timely Manner

According to EEOC MD-715 instructions to federal agencies, model EEO programs must have sufficient budget and staffing to support the success of the EEO program, including sufficient staffing to ensure thorough and fair processing of EEO complaints in a timely manner. According to USAID, a lack of staffing resources has prevented the agency from meeting required time frames for EEO investigations. In four of its six MD-715 submissions for fiscal years 2010 through 2018, USAID reported that it did not have sufficient staffing to implement a successful complaint process.

In recent years, USAID has consistently reported being unable to complete EEO counseling, EEO investigations, or final agency decisions on EEO complaints in a timely manner, as required by federal equal

employment regulations.⁶⁴ For example, in fiscal year 2013 and fiscal years 2015 through 2019, USAID reported being unable to complete EEO investigations within prescribed time frames. Further, in an October 2019 compliance letter, EEOC stated that in fiscal year 2018, USAID completed 67 percent of EEO counseling, 14 percent of EEO investigations, and none of the final agency decisions in a timely manner. As table 10 shows, USAID reported that it did not complete any stages of the EEO complaints response process in a timely manner for fiscal years 2016 through 2019, with the exception of EEO counseling in fiscal year 2016. In fiscal year 2019, the agency continued to lack sufficient funding and qualified staffing to process EEO complaints in a timely, thorough, and fair manner, according to USAID documentation.

Table 10: USAID Reporting on Whether It Completed Elements of the EEO Complaint Process in a Timely Manner, Fiscal Years 2016-2019

Fiscal year	EEO counseling	EEO investigations	Final agency decisions
2013	Yes	No	Yes
2014	Yes	Yes	Yes
2015	Yes	No	No
2016	Yes	No	No
2017	No	No	No
2018 ^a	No	No	No
2019 ^a	No	No	No

Legend: EEO = equal employment opportunity.

Source: U.S. Agency for International Development (USAID) Management Directive 715 (MD-715) reports and USAID documentation. | GAO-20-477

^aUSAID did not submit an MD-715 report for fiscal year 2018 and was in the process of completing an MD-715 report for fiscal year 2019. However, USAID provided us with MD-715 self-assessment checklists for those years.

Representatives of three USAID employee groups also stated that OCRD lacked the capacity to address EEO issues in a timely manner and attributed this to understaffing. Representatives of the first group said that, at a certain point, USAID had a single EEO investigator for the entire agency and that investigations took more than a year. Representatives of the second group stated that because OCRD was short-staffed, it had a backlog of complaints of harassment and bullying. Representatives of the third group said that they had observed the reasonable-accommodation

⁶⁴See 29 C.F.R. §§ 1614.103-1614.110 for more information about timeliness requirements. According to 29 C.F.R. § 1614.102, agencies are required to provide for the prompt, fair, and impartial processing of complaints in accordance with regulations and the instructions contained in EEOC's Management Directives.

process taking longer than a year. They speculated that this had resulted from USAID's assigning the handling of reasonable-accommodation requests across the worldwide portfolio to a single person.

According to USAID, OCRD has made progress in reducing complaint backlogs. In February 2020, OCRD officials said that the timeliness requirement had been met for the EEO complaint process and that the office no longer had a backlog of complaints. However, OCRD officials said that backlogs remained in processing anti-harassment cases. Further, the officials said that the Reasonable Accommodation Program continued to be affected by a lack of staff. In an April 2020 compliance letter to EEOC, USAID reported that OCRD had developed metrics and new internal procedures for complaint processing. The letter further stated that thus far in fiscal year 2020, OCRD had been 100 percent timely with EEO counseling, EEO investigations, and final agency decisions.

While USAID has noted recent improvement in its ability to conduct timely EEO counseling and investigations, without the capacity to consistently perform these functions, USAID cannot meet mandated timeframes for responding to EEO complaints and risks being unable to achieve its goal of a diverse and inclusive workforce environment.

USAID Is Unable to Perform Analyses of Its Demographic Data

According to EEOC MD-715 instructions to federal agencies, model EEO programs must have sufficient budget and staffing to, among other things, conduct self-assessments of possible program deficiencies and conduct thorough barrier analyses of their agency's workforce. Although USAID has previously completed barrier analyses of its workforce, the agency reported insufficient personnel resources to conduct annual agency self-assessments and self-analyses for its MD-715 submissions for fiscal years 2010, 2013, 2016, and 2017.⁶⁵ For example, the fiscal year 2017 MD-715 report stated that USAID did not conduct trend analyses of the effects of management or personnel policies, procedures, and practices and that the agency lacked sufficient resources to enable it to conduct a thorough barrier analysis of its workforce. According to USAID officials, OCRD lost its staff member assigned to manage barrier analyses and was unable to fill that position during the hiring freeze. Further, OCRD continues to lack sufficient personnel to conduct barrier analyses. In November 2019, OCRD's Diversity and Inclusion Division consisted of

⁶⁵USAID did not complete an MD-715 report for fiscal year 2018. USAID officials told us that the MD-715 report for fiscal year 2019 would be completed by a contractor, with planned submission in May 2020.

one supervisor and five vacant positions. Despite subsequent efforts to hire more staff, OCRD reported in February 2020 that it still lacked staff to perform its data analysis responsibilities.

EEOC officials expressed concern regarding OCRD's lack of capacity to analyze and address diversity issues. For example, EEOC officials said that USAID had not adequately used applicant flow data to identify potential barriers in fiscal year 2017. Despite having collected applicant data, USAID did not submit applicant flow data as part of its MD-715 submission for fiscal year 2017, the most recent year for which it submitted this report. According to the EEOC officials, OCRD told them that it lacked staff with sufficient technical expertise to conduct a barrier analysis of these data.

Without the capacity to perform self-analysis, USAID is unable to proactively identify and address barriers to diversity in its workforce.

USAID Is Unable to Consistently Submit the Annual MD-715 Report

EEOC MD-715 requires federal agencies to submit their MD-715 reports to the EEOC annually. The report is due by February 28 following the end of the fiscal year that is being reported, although EEOC has the discretion to grant extensions. However, OCRD did not complete the MD-715 report in fiscal years 2011 or 2012 and has not submitted an MD-715 report for fiscal year 2018. Despite being granted submission extensions, USAID had not submitted its MD-715 report for fiscal year 2018 by the certification deadline of September 30, 2019, according to EEOC's October 2019 compliance letter.⁶⁶ The letter stated that EEOC expected USAID to submit the MD-715 report for fiscal year 2018 and to ensure that the MD-715 report for fiscal year 2019 would be submitted by the deadline of February 28, 2020. In November 2019, USAID officials told us that OCRD lacked the staff needed to complete the fiscal year 2018 MD-715 report by this deadline and therefore intended to concentrate on submitting a report for fiscal year 2019. However, in February 2020, USAID officials told us that OCRD's Affirmative Employment Program continued to lack any staff to monitor and implement the MD-715 effort. In April 2020, USAID officials reported that they were using a contractor to complete the fiscal year 2019 MD-715 report.

Without OCRD capacity to submit required reports on the agency's diversity and inclusion efforts, USAID leadership will lack sufficient insight

⁶⁶EEOC granted USAID an extension of the deadline for submission of its fiscal year 2018 MD-715 report to the end of August 2019.

into the EEO program to ensure that its activities meet agency goals. Furthermore, inconsistent reporting could hamper EEOC's oversight of USAID's EEO programs.

Lack of USAID Leadership Attention Has Contributed to OCRD's Staffing Gaps

OCRD's staffing gaps stem in part from a lack of leadership attention to USAID's equal employment opportunity programs at both the office and agency levels. We have previously identified top leadership commitment as a leading practice for diversity management.⁶⁷ Leaders and managers within organizations are primarily responsible for the success of diversity management, because they must provide the visibility and commit the time and necessary resources.

Both USAID and EEOC officials attributed OCRD's staffing problems to frequent management turnover within OCRD. According to information provided by USAID officials, OCRD has had five directors (permanent and acting) since 2013. USAID officials stated that this turnover made it difficult for any director to provide sufficient office-level leadership attention to sustain efforts to improve OCRD's capacity. EEOC officials also expressed concern regarding this level of director turnover and asserted that without consistent office leadership that could effectively advocate for scarce personnel resources within USAID, OCRD would continue to face staffing shortages.

EEOC officials said that OCRD could not draw sufficient attention from senior USAID leadership without a permanent director. According to EEOC MD-715 instructions to federal agencies, model EEO programs have a reporting structure for the EEO program that provides the principal EEO official with appropriate authority and resources to effectively carry out a successful EEO program. This includes, but is not limited to, an annual State of the Agency briefing given by the EEO Director (in USAID's case, the Director of OCRD) to the agency head and other senior management officials after the submission of a MD-715 report. According to MD-715 instructions to federal agencies, the briefing must thoroughly cover all components of the agency's MD-715 report, including an assessment of the agency's performance in each of the six elements of a model EEO program, as well as a report on the agency's progress in completing its barrier analysis. However, OCRD has not presented a State of the Agency briefing to the head of USAID and other senior leadership for 3 consecutive fiscal years. In April 2020, OCRD officials

⁶⁷GAO, *Diversity Management: Expert-Identified Leading Practices and Agency Examples*, [GAO-05-90](#) (Washington, D.C.: Jan. 14, 2005).

told us that the office planned to provide the briefing to USAID's Executive Diversity Council once the MD-715 for fiscal year 2019 was completed, which they anticipated would occur in May 2020. HCTM and OCRD officials also told us that since receiving the EEOC's October 2019 compliance letter, senior USAID leadership had been more engaged than previously.

Without senior USAID leadership attention to diversity, OCRD will continue to lack the staffing resources necessary to build its capacity to support USAID's diversity and inclusion efforts as well as operate an effective and efficient EEO program.

Conclusions

Although USAID has made some progress in increasing representation of diverse groups in its Civil and Foreign Service workforces, continued underrepresentation and generally lower promotion outcomes for racial or ethnic minorities suggest that additional efforts are needed. Addressing these issues requires an effective and efficient EEO program. However, OCRD, which operates the agency's EEO program, is currently unable to perform its key functions because of significant staffing gaps and turnover. USAID's recent efforts to fill staff vacancies within various OCRD divisions could help increase OCRD's capacity to perform its required EEO functions. However, such capacity will not be fully demonstrated until OCRD can consistently ensure timely processing of EEO complaints and investigations, regular analysis of workforce demographics for trends, and regular submission of required MD-715 reports. Further, sustained attention to diversity efforts from USAID's senior leadership would help ensure that OCRD has the capacity to perform its required EEO functions. Without capacity to perform these functions, USAID cannot consistently respond to allegations of discrimination in a timely manner, identify potential barriers to equal employment opportunity, or maintain accountability for the progress of its diversity and inclusion efforts.

Recommendations for Executive Action

We are making the following four recommendations to USAID:

1. The USAID Administrator should ensure that OCRD consistently responds to EEO complaints in a timely manner. (Recommendation 1)
2. The USAID Administrator should ensure that OCRD consistently analyzes USAID workforce demographic data for trends and potential barriers to equal employment opportunity. (Recommendation 2)

-
3. The USAID Administrator should ensure that OCRD submits required MD-715 reports to EEOC in a timely manner. (Recommendation 3)
 4. The USAID Administrator should demonstrate senior leadership attention to diversity by ensuring that OCRD has the capacity to perform required EEO functions. (Recommendation 4)

Agency Comments

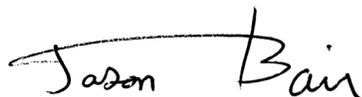
We provided a draft of this report to USAID, EEOC, and OPM for comment. USAID provided comments, which we have reproduced in appendix XV. EEOC and OPM stated they did not have comments.

In its comments, USAID concurred with our four recommendations and described actions planned or underway to address them. For example, in response to recommendations 2 and 3, USAID stated that it is in the process of establishing an Affirmative Employment Program in OCRD to, among other things, analyze and report on workforce data and prepare and submit the agency's annual MD-715 Report.

USAID indicated that it expects to finish implementing actions addressing our EEO-related recommendations in 2020. We believe that, to demonstrate consistent capacity to perform its EEO functions, USAID will need to successfully complete these functions for at least two consecutive cycles.

We are sending copies of this report to the appropriate congressional committees, the Administrator of USAID, the Chair of EEOC, and the Director of OPM. In addition, the report will be available at no charge on the GAO website at <http://www.gao.gov>.

If you or your staff have any questions about this report, please contact me at (202) 512-6881 or at bairj@gao.gov. Contact points for our Office of Congressional Relations and Office of Public Affairs can be found on the last page of this report. GAO staff who made key contributions to this report are listed in appendix XVI.



Jason Bair
Director, International Affairs and Trade

List of Requesters

The Honorable Robert Menendez
Ranking Member
Committee on Foreign Relations
United States Senate

The Honorable Gary C. Peters
Ranking Member
Committee on Homeland Security and Governmental Affairs
United States Senate

The Honorable Eliot L. Engel
Chairman
Committee on Foreign Affairs
House of Representatives

The Honorable Joaquin Castro
Chairman
Committee on Foreign Affairs
Subcommittee on Oversight and Investigations
House of Representatives

The Honorable Cory A. Booker
United States Senate

The Honorable Benjamin L. Cardin
United States Senate

The Honorable Christopher Coons
United States Senate

List of Requesters Continued

The Honorable Marco Rubio
United States Senate

The Honorable Brian Schatz
United States Senate

The Honorable Jeanne Shaheen
United States Senate

The Honorable Karen Bass
House of Representatives

The Honorable Ami Bera, M.D.
House of Representatives

Appendix I: Objectives, Scope, and Methodology

This report examines (1) the demographic composition of USAID's workforce in fiscal years 2002 through 2018, (2) differences in promotion outcomes for racial or ethnic groups in USAID's workforce, (3) differences in promotion outcomes for men and women in USAID's workforce, and (4) the extent to which USAID has identified workforce diversity issues and worked to address them.

Data

For this report, we analyzed National Finance Center data on USAID's full-time, permanent, career workforce (direct-hire U.S. citizen Civil and Foreign Service employees) for fiscal years 2002 through 2018.¹ For each fiscal year, we analyzed record-level status data for USAID's employees as of September 30 (the end of the fiscal year). This included demographic and administrative data for each employee, such as race, ethnicity, gender, grade or class, age, date of entry to USAID, years of service, veteran's status, occupation, location or duty station, and the employee's unique identifier.² We also analyzed record-level dynamic data that included personnel actions, such as promotions or separations. In addition, we obtained "Post (Hardship) Differential Percentage of Basic Compensation" data from the Department of State's website for fiscal years 2002 through 2018. Following guidance from the U.S. Equal Employment Opportunity Commission, we used data for nine federal job categories and their correspondence to specific occupation codes to match federal job categories to the occupations of USAID's employees. We assessed the reliability of these data sets and of other data critical to our analyses through documentation review, electronic testing, and interviews with knowledgeable agency officials. We determined that these data were sufficiently reliable for our purposes.

¹These data—the most recent available at the time of our request—covered 5,766 unique employees. Because our analysis focuses on full-time, permanent, career employees, it excludes personal services contractors, institutional support contractors, and foreign nationals (i.e., locally employed staff at U.S. embassies abroad). USAID presents employee demographic data for different groups in some public reports. For example, annual reports that USAID submits to the Equal Employment Opportunity Commission (EEOC) in response to EEOC's Management Directive 715 (MD-715) present information about permanent employees, including full-time and part-time employees.

²The Office of Personnel Management (OPM) requests employees to self-identify their race and ethnicity. If an employee does not self-identify, OPM allows agency officials to identify the employee's race and ethnicity on the basis of visual observation.

Demographic Composition

To examine the demographic composition of USAID's workforce over time, we analyzed National Finance Center data for USAID's full-time, permanent, career workforce for fiscal years 2002 through 2018. For each year, we calculated the demographic composition of the workforce by racial or ethnic group and by gender for USAID overall and for USAID's Civil and Foreign Services.³ We also analyzed these numbers and percentages by occupation and rank, including General Service (GS) grade for the Civil Service, salary class for the Foreign Service, and executive rank (i.e., Senior Executive Service or Senior Foreign Service). We excluded political appointees and Office of Inspector General employees from our overall analysis because, according to agency officials, USAID's Office of Human Capital and Talent Management does not have authority over these hires.⁴

We also compared the demographics of USAID's workforce in fiscal year 2018 with the most recent available data on demographics of (1) the federal workforce, as reported by the Office of Personnel Management (OPM),⁵ and (2) the relevant civilian labor force, from the Census Bureau's equal employment opportunity (EEO) tabulation.⁶

Because of USAID's involvement in disability-related litigation during the course of this engagement, we did not analyze the numbers and percentages of employees with disabilities.⁷ Additionally, because the National Finance Center data we used did not include information about

³When analyzing new hires, we considered an employee to be a new hire for the fiscal year in which the employee first appeared in USAID's workforce data. Because our methodology for identifying new hires may differ from that used by USAID, our totals may not match those that USAID has reported.

⁴See appendix VIII for information about political appointees and Office of Inspector General employees.

⁵OPM's most recent Federal Equal Opportunity Recruitment Program report was for fiscal year 2017. The report does not include the entire federal workforce but instead presents information only on permanent employees in nonpostal federal executive branch agencies that participate in the Enterprise Human Resources Integration.

⁶The most recent EEO tabulation for the relevant civilian labor force is for 2006 through 2010. We compared USAID's demographics across three occupational categories—officials and managers, professional workers, and technical workers and technologists—that corresponded to 99 percent of USAID's full-time, permanent, career workforce in fiscal year 2018.

⁷See appendix VI for USAID's previous reporting on disability demographics.

employees' sexual orientation, we were unable to analyze the data on that basis.

For the purposes of our report, racial or ethnic minorities exclude non-Hispanic whites; Hispanics include Hispanics of all races; and the remaining non-Hispanic racial or ethnic groups include white, African American, Asian, and other. Our analysis for the category we report as "other" includes non-Hispanics identified as American Indian or Alaskan Native, Native Hawaiian or other Pacific Islander, and individuals identifying as two or more races. For instances where an employee's reported racial, ethnic, or gender category changed, we assigned the most recently recorded category to all available years.

Promotion Analyses

To examine promotion outcomes for racial or ethnic minorities and women in USAID's workforce, we conducted two types of analyses—descriptive and adjusted—using USAID's National Finance Center data for its full-time, permanent, career workforce in fiscal years 2002 through 2018. For both analyses, we considered promotion to be an increase in rank between 2 consecutive fiscal years.⁸ We included in these analyses all individuals in the original rank and did not distinguish between individuals who did or did not apply for promotion or who were eligible or ineligible.⁹

Descriptive Analysis

We conducted a descriptive analysis of USAID data, comparing annual promotion rates for racial or ethnic minorities and whites and for women and men. For each rank and fiscal year, we calculated these rates as the number of newly elevated employees in the next-higher rank in the following fiscal year divided by the number of employees in the given rank in the current year.

⁸In this report, "ranks" refers to Civil Service General Schedule (GS) grades (GS-15 is the highest nonexecutive rank) and Senior Executive Service positions and to Foreign Service salary classes (Class 1 is the highest nonexecutive rank) and Senior Foreign Service positions.

⁹Additionally, we included all employees who might have reached the maximum rank for their particular occupation and therefore had no remaining promotion potential in that occupation. We did not differentiate between competitive promotions and career-ladder promotions, which tend to be more likely than competitive promotions.

Adjusted Analysis

We conducted adjusted analysis using a multivariate statistical method (i.e., duration analysis), which accounted for certain individual and occupational factors other than racial or ethnic minority status and gender that could influence promotion. Specifically, we used a discrete-time multivariate statistical logit model to analyze the number of yearly cycles it took to be promoted up to the executive level from GS-11 in the Civil Service and from Class 4 in the Foreign Service. We examined the statistical relationship between promotion and racial or ethnic minority status and gender, including adjusted promotion rates, odds ratios, and percentage differences in relative odds of promotion.

Because a variety of factors besides racial or ethnic minority status and gender may influence promotion outcomes, we incorporated various individual and position-specific characteristics in our regression models to control for other potential factors.¹⁰ These included an employee's (1) time in each rank before promotion; (2) years of prior federal government experience; (3) age when entering USAID; (4) receipt of veterans' preference points; (5) having transferred between the Civil and Foreign Services; (6) having worked overseas in the previous year (for the Foreign Service); (7) having worked in at a location where the hardship differential was 20 percent or more in the previous year (Foreign Service only); (8) proficiency in two or more languages other than English (Foreign Service only); and (9) occupation¹¹ as well as (10) fiscal years.¹² We identified these attributes as being relevant to promotion by reviewing relevant literature and interviewing agency officials. Our primary model was a pooled model that included all employees whose records we used to determine summary statistics for USAID's full-time, permanent, career workforce in fiscal years 2002 through 2018. Additionally, we conducted a number of sensitivity analyses, such as examining the robustness of our

¹⁰We express our confidence in the precision of our estimates as statistically significant differences. We consider differences in our estimates to be statistically significant if they were significant at the 95 percent level.

¹¹For regression models that considered only fiscal years 2011 and later, we were also able to control for employees' use of long-term leave in the previous year (i.e., having taken more than 2 weeks of consecutive leave more than twice in the previous year). For these results, see appendixes XII and XIV. Because of data limitations, we were unable to control for use of long-term leave in the main models that considered fiscal years 2002 through 2017.

¹²Our analyses involved a number of models, with an increasing set of control variables added to each model. For more information about the control variables we used in each model, see appendix XIII.

models to the inclusion of various sets of control variables (see app. XIII) and applying the multivariate statistical method for various permutations of racial or ethnic minority status (see app. XIV).

Limitations and Other Considerations

Our analyses do not completely explain the reasons for differences in promotion outcomes, which may result from various unobservable factors. First, our descriptive analysis does not account for any factors besides racial or ethnic minority status and gender that may affect promotion rates. For example, if racial or ethnic minorities are employed in occupations with limited promotion opportunities, examining promotion rates without accounting for occupation may suggest that promotion rates for racial or ethnic minorities are lower than promotion rates for whites. Likewise, although our adjusted analysis controlled for a range of factors, it may be limited by factors such as the following:

- **Unobservable factors.** Our adjusted analyses took into account a variety of factors that may help explain some of the differences in odds of promotion, such as characteristics of the individual employees (e.g., employees' time in each rank before promotion), occupation, and fiscal years. However, we did not take into account various unobservable factors, such as employees' skills, motivation, performance, or abilities that may cause differences in odds of promotion.
- **Occupation segmentation.** We controlled for employee occupation to help estimate the statistical relationship between promotion outcomes and racial or ethnic minority status and gender that exists beyond any statistical relationship between occupation and promotion outcomes. In other words, by controlling for occupation, we accounted for whether certain occupations have more limited promotion potential. However, controlling for occupation may have prevented us from considering any differences in promotion outcomes due to systematic differences in occupation distribution or segmentation across various racial or ethnic groups and gender. If racial or ethnic minorities or women tend to be segmented in occupations with relatively limited promotion potential, we might have observed lower odds of promotion for those groups compared with whites or men, respectively, if we had not controlled for occupation. See appendix XIII for the results of a model that controlled for other characteristics of the individual employees relevant to promotion (model 3) but did not control for occupation.
- **Differences in attrition.** While our adjusted analysis accounted for several factors that may be related to an employee's prospects for

promotion, there may be some residual differences in promotion prospects for employees who left USAID relative to those who stayed. Behavioral motivations and outcomes related to attrition may influence racial or ethnic minorities and women differently than whites and men, respectively. The potential existence of differential trends related to attrition could be one explanation for differences in odds of promotion.

- **Types of promotion.** By controlling for occupation, we controlled for situations where some occupations may be more likely to have career-ladder (i.e., noncompetitive) than competitive promotions.¹³ In addition, by analyzing promotions separately by rank level while controlling for occupation, we controlled for situations where the promotion structure may have changed from noncompetitive to competitive. However, our estimates do not explicitly differentiate between noncompetitive and competitive promotions. Career-ladder promotions tend to be more likely than competitive promotions, and we are not accounting for this difference. The effect of the promotion type could decrease or increase our estimates of odds of promotion.
- **Promotion applicants and eligibility.** We accounted for the time that all employees spent in each rank before promotion. However, because promotion application data were not available, we did not account for whether an employee had applied or was eligible for promotion. Thus, our estimates are based on the individuals in the original rank, not on applicants for promotion or those eligible for promotion.
- **Budget constraints.** The specific number of promotion slots available each year may vary as a result of annual budget constraints. We controlled for some aspects of possible budget constraints by including control variables for each fiscal year, which would be relevant if promotion opportunities were affected by budget constraints that varied across fiscal years. However, our data do not capture the specific number of promotion slots available each year. In addition, our estimates do not capture the extent to which fiscal year budget constraints affected promotion opportunities differently across occupations or bureaus.

Any of these unobservable factors could decrease or increase our estimates of promotion odds. Thus, our analyses do not establish a

¹³Career-ladder promotions are noncompetitive until an employee reaches the full performance level for the occupation, after which further promotions become competitive.

causal relationship between demographic characteristics and promotion outcomes.

USAID's Identification of Diversity Issues

To examine the extent to which USAID has identified workforce diversity issues and worked to address them, we reviewed all annual Management Directive 715 reports that it submitted to EEOC from fiscal year 2011 through fiscal year 2019. We also reviewed policies, guidance, and other USAID documentation related to diversity. Additionally, we met with relevant USAID officials from the Office of Civil Rights and Diversity and the Office of Human Capital and Talent Management as well as officials from EEOC. We also conducted interviews with representatives of 13 employee groups representing current employees in USAID's Civil and Foreign Services to obtain their perspectives on diversity efforts at USAID. These groups included two unions: the Association of Federal Government Employees and the American Foreign Service Association. The 13 groups also included 11 employee resource groups: Arab-Americans in Foreign Affairs Agencies, the Asian Pacific American Employees Committee, Blacks in Government, Employees with Disabilities, Gender and Sexual Minorities, the Hispanic Employees Council of Foreign Affairs Agencies, the Jewish Affinity Group, the Native Americans in Foreign Affairs Council, the Personal Services Contractor Association, the USAID Muslims Employee Resource Group, and Women@AID.¹⁴

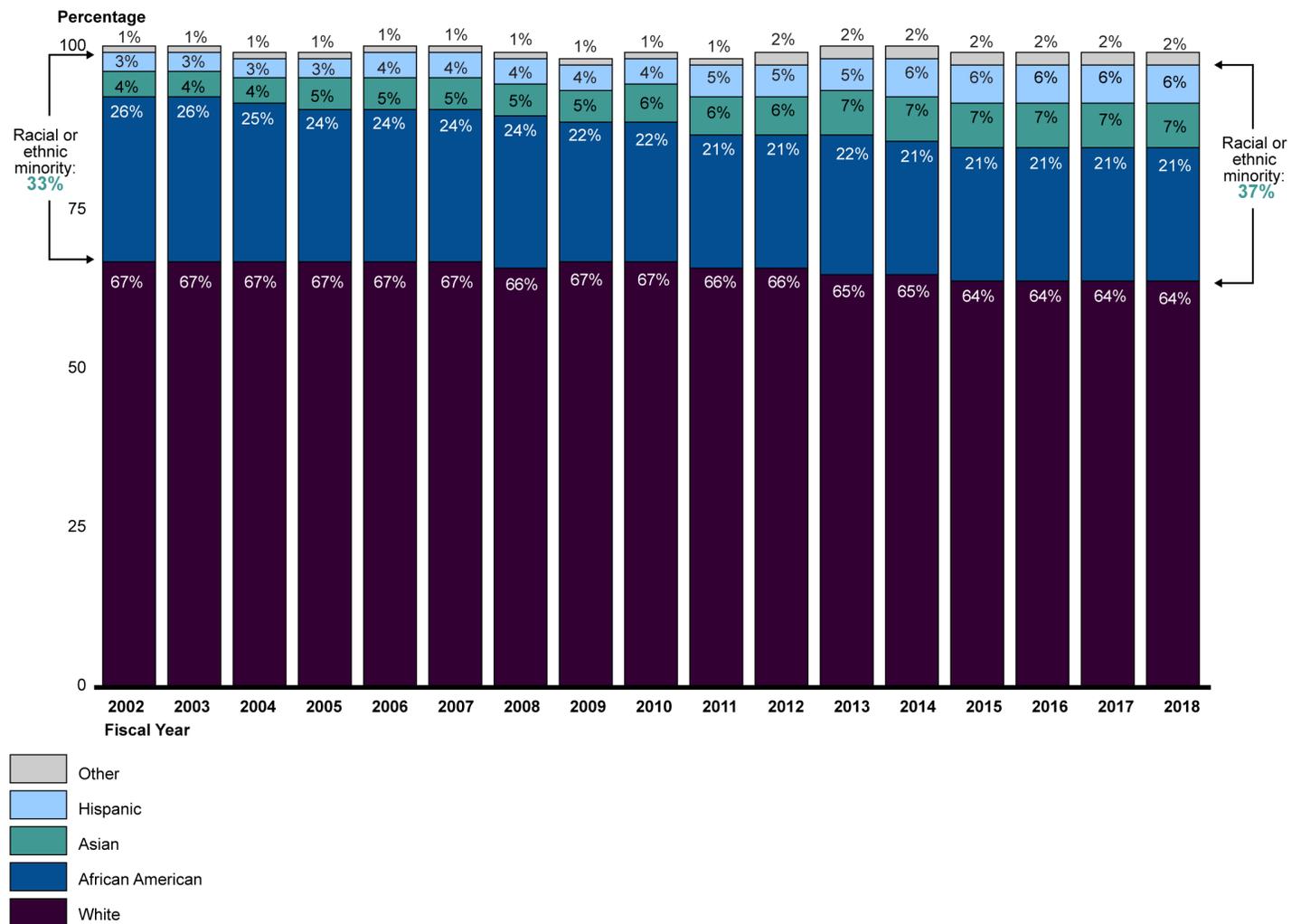
We conducted this performance audit from October 2018 to June 2020 in accordance with generally accepted government auditing standards. Those standards require that we plan and perform the audit to obtain sufficient, appropriate evidence to provide a reasonable basis for our findings and conclusions based on our audit objectives. We believe that the evidence obtained provides a reasonable basis for our findings and conclusions based on our audit objectives.

¹⁴We were unable to meet with Veterans@USAID. Furthermore, we did not meet with the following groups, after determining that their interests are not directly related to diversity issues: Presidential Management Fellows Leadership Board, USAID Returned Peace Corps Volunteers, USAID Toastmasters, and Young Professionals at USAID. The Balancing Act group was formed after we conducted our audit work in 2019.

Appendix II: USAID Workforce Data, Fiscal Years 2002-2018

The following figures and tables present numbers and proportions of employees in racial, ethnic, and gender groups in the U.S. Agency for International Development (USAID) overall and in USAID's Civil and Foreign Services in fiscal years 2002 through 2018.

Figure 12: Percentages of White Employees and Racial or Ethnic Minority Employees at USAID, Fiscal Years 2002-2018



Source: U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the percentages of white and racial or ethnic employees at the end of each fiscal year. "Other" includes Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial. Percentages may not sum to 100 because of rounding.

**Appendix II: USAID Workforce Data, Fiscal
Years 2002-2018**

Table 11: Numbers and Percentages of White Employees and Racial or Ethnic Minority Employees at USAID, Fiscal Years (FY) 2002-2018

		Racial or ethnic minority					Total
		White	African American	Hispanic	Asian	Other	
FY 2002	Number	1280	490	59	68	21	1918
	Percentage	67	26	3	4	1	100
FY 2003	Number	1271	487	60	70	19	1907
	Percentage	67	26	3	4	1	100
FY 2004	Number	1302	486	68	80	17	1953
	Percentage	67	25	3	4	1	100
FY 2005	Number	1382	496	70	93	17	2058
	Percentage	67	24	3	5	1	100
FY 2006	Number	1305	469	70	90	19	1953
	Percentage	67	24	4	5	1	100
FY 2007	Number	1314	463	69	92	19	1957
	Percentage	67	24	4	5	1	100
FY 2008	Number	1396	498	83	100	26	2103
	Percentage	66	24	4	5	1	100
FY 2009	Number	1608	534	108	130	31	2411
	Percentage	67	22	4	5	1	100
FY 2010	Number	1877	603	123	158	37	2798
	Percentage	67	22	4	6	1	100
FY 2011	Number	2056	647	144	200	46	3093
	Percentage	66	21	5	6	1	100
FY 2012	Number	2094	681	159	201	59	3194
	Percentage	66	21	5	6	2	100
FY 2013	Number	2066	685	168	210	57	3186
	Percentage	65	22	5	7	2	100
FY 2014	Number	2037	667	173	205	59	3141
	Percentage	65	21	6	7	2	100
FY 2015	Number	2019	674	179	218	63	3153
	Percentage	64	21	6	7	2	100

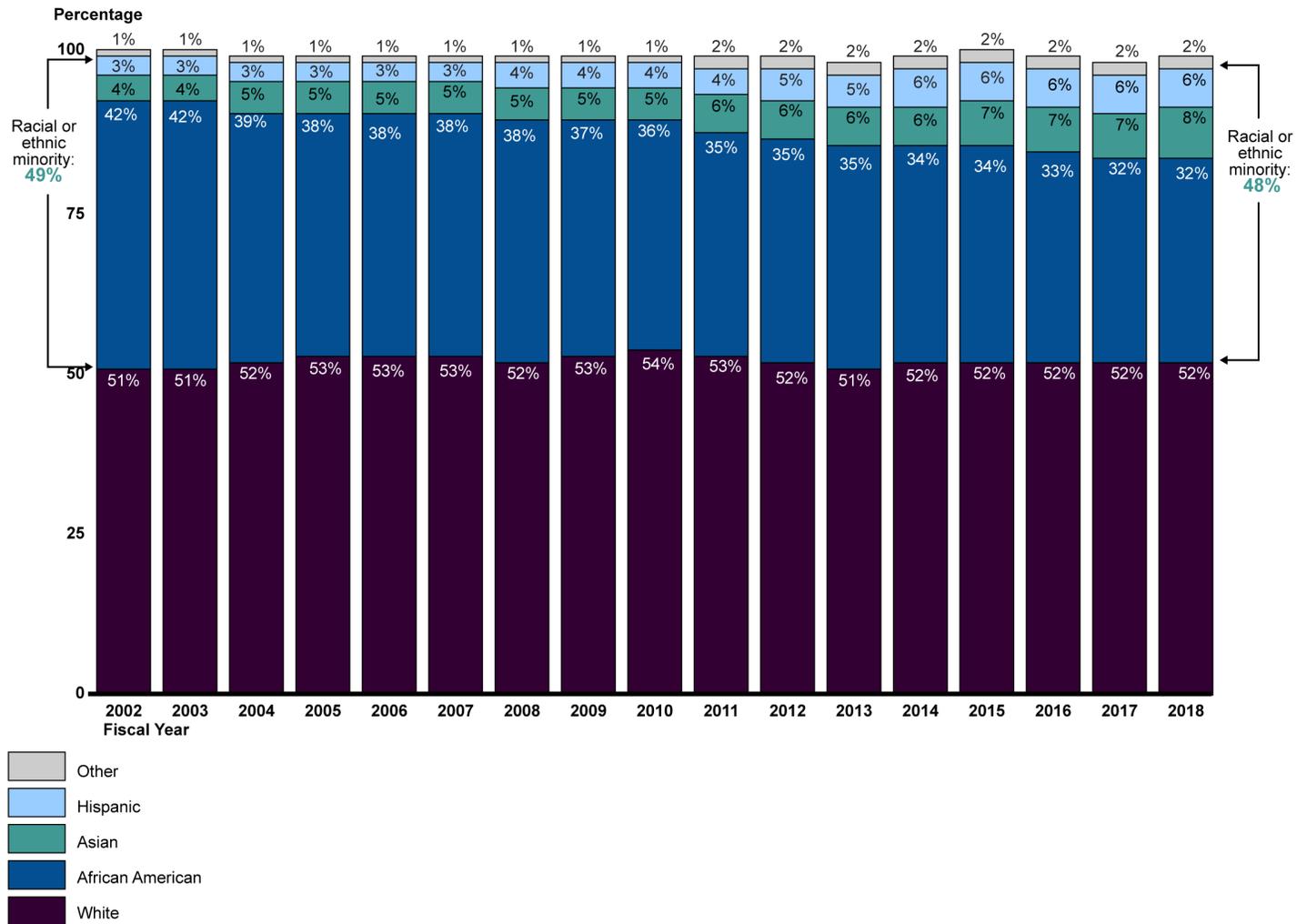
**Appendix II: USAID Workforce Data, Fiscal
Years 2002-2018**

		Racial or ethnic minority					
		White	African American	Hispanic	Asian	Other	Total
FY 2016	Number	2087	699	185	228	73	3272
	Percentage	64	21	6	7	2	100
FY 2017	Number	1999	670	183	219	70	3141
	Percentage	64	21	6	7	2	100
FY 2018	Number	1882	620	176	219	67	2964
	Percentage	64	21	6	7	2	100

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the numbers and percentages of white and racial or ethnic employees at the end of each fiscal year. "Other" includes Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial. Percentages may not sum to 100 because of rounding.

Figure 13: Percentages of White Employees and Racial or Ethnic Minority Employees in USAID’s Civil Service, Fiscal Years 2002-2018



Source: U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the percentages of white and racial or ethnic employees at the end of each fiscal year. "Other" includes Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial. Percentages may not sum to 100 because of rounding.

**Appendix II: USAID Workforce Data, Fiscal
Years 2002-2018**

Table 12: Numbers and Percentages of White Employees and Racial or Ethnic Minority Employees in USAID’s Civil Service, Fiscal Years (FY) 2002-2018

		Racial or ethnic minority					Total
		White	African American	Hispanic	Asian	Other	
FY 2002	Number	466	385	24	33	12	920
	Percentage	51	42	3	4	1	100
FY 2003	Number	466	378	23	33	10	910
	Percentage	51	42	3	4	1	100
FY 2004	Number	498	375	28	43	7	951
	Percentage	52	39	3	5	1	100
FY 2005	Number	536	382	30	52	6	1006
	Percentage	53	38	3	5	1	100
FY 2006	Number	493	359	30	51	6	939
	Percentage	53	38	3	5	1	100
FY 2007	Number	500	356	27	50	6	939
	Percentage	53	38	3	5	1	100
FY 2008	Number	518	381	35	52	7	993
	Percentage	52	38	4	5	1	100
FY 2009	Number	583	399	47	54	10	1093
	Percentage	53	37	4	5	1	100
FY 2010	Number	674	443	53	60	14	1244
	Percentage	54	36	4	5	1	100
FY 2011	Number	722	468	58	80	22	1350
	Percentage	53	35	4	6	2	100
FY 2012	Number	731	489	68	80	30	1398
	Percentage	52	35	5	6	2	100
FY 2013	Number	730	494	76	91	27	1418
	Percentage	51	35	5	6	2	100
FY 2014	Number	743	490	85	86	28	1432
	Percentage	52	34	6	6	2	100
FY 2015	Number	749	489	88	97	30	1453
	Percentage	52	34	6	7	2	100

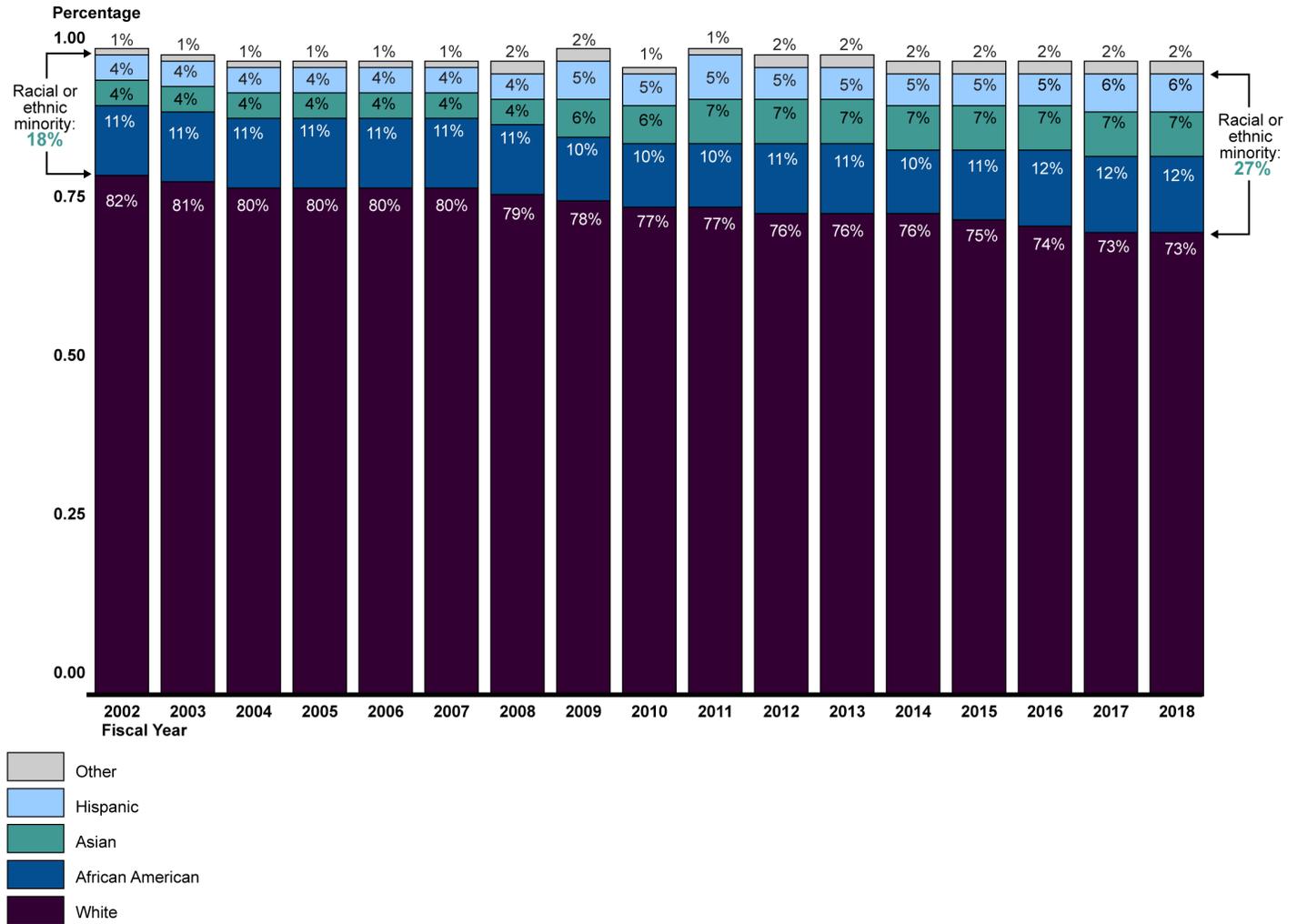
**Appendix II: USAID Workforce Data, Fiscal
Years 2002-2018**

		Racial or ethnic minority					
		White	African American	Hispanic	Asian	Other	Total
FY 2016	Number	773	487	88	103	35	1486
	Percentage	52	33	6	7	2	100
FY 2017	Number	746	461	85	99	33	1424
	Percentage	52	32	6	7	2	100
FY 2018	Number	671	418	77	100	32	1298
	Percentage	52	32	6	8	2	100

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the numbers and percentages of white and racial or ethnic employees at the end of each fiscal year. "Other" includes Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial. Percentages may not sum to 100 because of rounding.

Figure 14: Percentages of White Employees and Racial or Ethnic Minority Employees in USAID’s Foreign Service, Fiscal Years 2002-2018



Source: U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the percentages of white and racial or ethnic employees at the end of each fiscal year. "Other" includes Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial. Percentages may not sum to 100 because of rounding.

**Appendix II: USAID Workforce Data, Fiscal
Years 2002-2018**

Table 13: Numbers and Percentages of White Employees and Racial or Ethnic Minority Employees in USAID’s Foreign Service, Fiscal Years (FY) 2002-2018

		Racial or ethnic minority					Total
		White	African American	Hispanic	Asian	Other	
FY 2002	Number	814	105	35	35	9	998
	Percentage	82	11	4	4	1	100
FY 2003	Number	805	109	37	37	9	997
	Percentage	81	11	4	4	1	100
FY 2004	Number	804	111	40	37	10	1002
	Percentage	80	11	4	4	1	100
FY 2005	Number	846	114	40	41	11	1052
	Percentage	80	11	4	4	1	100
FY 2006	Number	812	110	40	39	13	1014
	Percentage	80	11	4	4	1	100
FY 2007	Number	814	107	42	42	13	1018
	Percentage	80	11	4	4	1	100
FY 2008	Number	878	117	48	48	19	1110
	Percentage	79	11	4	4	2	100
FY 2009	Number	1025	135	61	76	21	1318
	Percentage	78	10	5	6	2	100
FY 2010	Number	1203	160	70	98	23	1554
	Percentage	77	10	5	6	1	100
FY 2011	Number	1334	179	86	120	24	1743
	Percentage	77	10	5	7	1	100
FY 2012	Number	1363	192	91	121	29	1796
	Percentage	76	11	5	7	2	100
FY 2013	Number	1336	191	92	119	30	1768
	Percentage	76	11	5	7	2	100
FY 2014	Number	1294	177	88	119	31	1709
	Percentage	76	10	5	7	2	100
FY 2015	Number	1270	185	91	121	33	1700
	Percentage	75	11	5	7	2	100

**Appendix II: USAID Workforce Data, Fiscal
Years 2002-2018**

		Racial or ethnic minority					
		White	African American	Hispanic	Asian	Other	Total
FY 2016	Number	1314	212	97	125	38	1786
	Percentage	74	12	5	7	2	100
FY 2017	Number	1253	209	98	120	37	1717
	Percentage	73	12	6	7	2	100
FY 2018	Number	1211	202	99	119	35	1666
	Percentage	73	12	6	7	2	100

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the numbers and percentages of white and racial or ethnic employees at the end of each fiscal year. "Other" includes Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial. Percentages may not sum to 100 because of rounding.

Table 14: Numbers and Percentages of Men and Women at USAID, Fiscal Years (FY) 2002-2018

		Men	Women	Total
FY 2002	Number	940	978	1918
	Percentage	49	51	100
FY 2003	Number	939	968	1907
	Percentage	49	51	100
FY 2004	Number	940	1013	1953
	Percentage	48	52	100
FY 2005	Number	996	1062	2058
	Percentage	48	52	100
FY 2006	Number	929	1024	1953
	Percentage	48	52	100
FY 2007	Number	917	1040	1957
	Percentage	47	53	100
FY 2008	Number	956	1147	2103
	Percentage	45	55	100
FY 2009	Number	1132	1279	2411
	Percentage	47	53	100
FY 2010	Number	1321	1477	2798
	Percentage	47	53	100
FY 2011	Number	1440	1653	3093
	Percentage	47	53	100
FY 2012	Number	1482	1712	3194
	Percentage	46	54	100

Appendix II: USAID Workforce Data, Fiscal Years 2002-2018

		Men	Women	Total
FY 2013	Number	1496	1690	3186
	Percentage	47	53	100
FY 2014	Number	1480	1661	3141
	Percentage	47	53	100
FY 2015	Number	1479	1674	3153
	Percentage	47	53	100
FY 2016	Number	1499	1773	3272
	Percentage	46	54	100
FY 2017	Number	1425	1716	3141
	Percentage	45	55	100
FY 2018	Number	1354	1610	2964
	Percentage	46	54	100

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Note: The data shown reflect the numbers and percentages of men and women at the end of each fiscal year.

Table 15: Numbers and Percentages of Men and Women in USAID’s Civil Service, Fiscal Years (FY) 2002-2018

		Men	Women	Total
FY 2002	Number	317	603	920
	Percentage	34	66	100
FY 2003	Number	314	596	910
	Percentage	35	65	100
FY 2004	Number	320	631	951
	Percentage	34	66	100
FY 2005	Number	357	649	1006
	Percentage	35	65	100
FY 2006	Number	326	613	939
	Percentage	35	65	100
FY 2007	Number	329	610	939
	Percentage	35	65	100
FY 2008	Number	345	648	993
	Percentage	35	65	100
FY 2009	Number	415	678	1093
	Percentage	38	62	100
FY 2010	Number	482	762	1244
	Percentage	39	61	100

**Appendix II: USAID Workforce Data, Fiscal
Years 2002-2018**

		Men	Women	Total
FY 2011	Number	524	826	1350
	Percentage	39	61	100
FY 2012	Number	546	852	1398
	Percentage	39	61	100
FY 2013	Number	566	852	1418
	Percentage	40	60	100
FY 2014	Number	583	849	1432
	Percentage	41	59	100
FY 2015	Number	597	856	1453
	Percentage	41	59	100
FY 2016	Number	585	901	1486
	Percentage	39	61	100
FY 2017	Number	545	879	1424
	Percentage	38	62	100
FY 2018	Number	501	797	1298
	Percentage	39	61	100

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Note: The data shown reflect the numbers and percentages of men and women at the end of each fiscal year.

Table 16: Numbers and Percentages of Men and Women in USAID's Foreign Service, Fiscal Years (FY) 2002-2018

		Men	Women	Total
FY 2002	Number	623	375	998
	Percentage	62	38	100
FY 2003	Number	625	372	997
	Percentage	63	37	100
FY 2004	Number	620	382	1002
	Percentage	62	38	100
FY 2005	Number	639	413	1052
	Percentage	61	39	100
FY 2006	Number	603	411	1014
	Percentage	59	41	100
FY 2007	Number	588	430	1018
	Percentage	58	42	100
FY 2008	Number	611	499	1110
	Percentage	55	45	100

**Appendix II: USAID Workforce Data, Fiscal
Years 2002-2018**

		Men	Women	Total
FY 2009	Number	717	601	1318
	Percentage	54	46	100
FY 2010	Number	839	715	1554
	Percentage	54	46	100
FY 2011	Number	916	827	1743
	Percentage	53	47	100
FY 2012	Number	936	860	1796
	Percentage	52	48	100
FY 2013	Number	930	838	1768
	Percentage	53	47	100
FY 2014	Number	897	812	1709
	Percentage	52	48	100
FY 2015	Number	882	818	1700
	Percentage	52	48	100
FY 2016	Number	914	872	1786
	Percentage	51	49	100
FY 2017	Number	880	837	1717
	Percentage	51	49	100
FY 2018	Number	853	813	1666
	Percentage	51	49	100

Source: GAO analysis of U.S. Agency for International Development data. | GAO-20-477

Note: The data shown reflect the numbers and percentages of men and women at the end of each fiscal year.

Appendix III: Comparison of USAID Workforce with Federal Government and Relevant Civilian Labor Force

We compared summary statistics for the U.S. Agency for International Development's (USAID) workforce overall with summary statistics for the federal government and relevant civilian labor force.

Comparison of USAID and Federal Workforce

We compared summary statistics calculated from USAID personnel data for fiscal year 2018 with summary statistics for the federal government for fiscal year 2017, published in the Federal Equal Opportunity Recruitment Program (FEORP) report.¹

Our comparison of USAID personnel data with data from the Office of Personnel Management's FEORP report for the federal government found differences between the proportions of racial or ethnic minorities at USAID and those in the federal workforce. In particular, the proportions of African Americans and Asians were higher at USAID in fiscal year 2018 than in the federal workforce in fiscal year 2017, but the proportion of Hispanics was lower at USAID than in the federal workforce for those years. The proportion of women at USAID was higher than in the federal workforce (see table 17).

¹The FEORP report presents data for permanent employees in nonpostal federal executive branch agencies that participate in the Enterprise Human Resources Integration. The most recent FEORP report, published in October 2019, presents data for fiscal year 2017.

Appendix III: Comparison of USAID Workforce with Federal Government and Relevant Civilian Labor Force

Table 17: Percentages of Employees across Demographic Groups at USAID in Fiscal Year (FY) 2018 and the Federal Workforce in FY 2017

	USAID, FY 2018	Federal workforce, FY 2017
Racial or ethnic group		
White	64	63
Racial or ethnic minority	37	37
African American	21	19
Hispanic	6	9
Asian	7	6
Other	2	4
Gender		
Men	46	57
Women	54	43

Source: GAO analysis of U.S. Agency for International Development (USAID) and Office of Personnel Management data. | GAO-20-477

Notes: The data shown reflect the percentages of employees at the end of each fiscal year. "Other" includes employees whose recorded race or ethnicity is Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial. Percentages may not sum to 100 because of rounding.

Comparison of USAID's Workforce with Relevant Civilian Labor Force across Equal Employment Opportunity Commission Groupings

We compared summary statistics for USAID's workforce with summary statistics for the relevant civilian labor force from the Census Bureau's equal employment opportunity tabulation for three of the Equal Employment Opportunity Commission (EEOC) occupational classification system's nine categories.² Using an EEOC table that cross-classifies Office of Personnel Management occupation codes and federal sector occupational categories, we classified each USAID employee into one of the nine categories. We compared USAID and relevant civilian labor force statistics for the following three categories, corresponding to 99 percent of USAID's full-time, permanent employees in fiscal year 2018: officials and

²The nine categories are (1) officials and managers, (2) professional workers, (3) technical workers and technologists, (4) sales workers, (5) administrative support workers, (6) skilled craft and repair workers, (7) operative and transportation operative workers, (8) laborers, and (9) service workers.

**Appendix III: Comparison of USAID Workforce
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managers, professional workers, and technical workers and technologists.³

Our comparison of USAID workforce data with relevant civilian labor force data found generally larger proportions of racial or ethnic minorities at USAID than in the relevant civilian labor force for officials and managers, professional workers, and technical workers and technologists (see tables 18 through 20).⁴ The proportions of women were lower at USAID than in the relevant civilian labor force for professional workers but were higher for officials and managers and for technical workers and technologists.⁵

³Permanent employees are hired under career appointments. Because our analysis focuses on full-time permanent employees, it excludes Foreign Service nationals and contractors.

⁴We also compared USAID workforce data for fiscal year 2010 with relevant civilian labor force data for fiscal years 2006 through 2010. We found that proportions of racial or ethnic minorities were higher at USAID for officials and managers and for professional workers but were higher in the relevant civilian labor force for technical workers and technologists.

⁵Our comparison of USAID workforce data for fiscal year 2010 with relevant civilian labor force data for fiscal years 2006 through 2010 found that proportions of women were higher at USAID for officials and managers but were higher in the relevant civilian labor force for professional workers and for technical workers and technologists.

Appendix III: Comparison of USAID Workforce with Federal Government and Relevant Civilian Labor Force

Table 18: Percentages of Officials and Managers across Demographic Groups at USAID in Fiscal Year (FY) 2018 and in Relevant Civilian Labor Force (RCLF) in 2006-2010

	USAID, FY 2018	RCLF, 2006-2010
Racial or ethnic group		
White	62	78
Racial or ethnic minority	38	21
African American	24	9
Hispanic	6	7
Asian	6	4
Other	2	2
Gender		
Men	46	56
Women	54	44

Source: GAO analysis of U.S. Agency for International Development (USAID) and Equal Employment Opportunity Commission data. | GAO-20-477

Notes: The data shown for fiscal year 2018 reflect the percentages of employees at the end of the fiscal year. Officials and managers represented 2,063 of USAID's full-time, permanent workforce in fiscal year 2018. "Other" includes employees whose recorded race or ethnicity was Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial. Percentages may not sum to 100 because of rounding.

Table 19: Percentages of Professional Workers across Demographic Groups at USAID in Fiscal Year (FY) 2018 and in Relevant Civilian Labor Force (RCLF) in 2006-2010

	USAID, FY 2018	RCLF, 2006-2010
Racial or ethnic group		
White	69	77
Racial or ethnic minority	31	22
African American	13	8
Hispanic	6	6
Asian	10	6
Other	2	1
Gender		
Men	50	45
Women	50	55

Source: GAO analysis of U.S. Agency for International Development (USAID) and Equal Employment Opportunity Commission data. | GAO-20-477

Notes: The data shown for fiscal year 2018 reflect the percentages of professional workers at the end of the fiscal year. Professional workers represented 685 of USAID's full-time, permanent workforce in

Appendix III: Comparison of USAID Workforce with Federal Government and Relevant Civilian Labor Force

fiscal year 2018. "Other" includes employees whose recorded race or ethnicity was Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial. Percentages may not sum to 100 because of rounding.

Table 20: Percentages of Technical Workers and Technologists across Demographic Groups at USAID in Fiscal Year (FY) 2018 and in Relevant Civilian Labor Force (RCLF) in 2006-2010

	USAID, FY 2018	RCLF, 2006-2010
Racial or ethnic group		
White	67	72
Racial or ethnic minority	33	28
African American	14	13
Hispanic	4	8
Asian	13	5
Other	3	2
Gender		
Men	24	37
Women	76	63

Source: GAO analysis of U.S. Agency for International Development (USAID) and Equal Employment Opportunity Commission data. | GAO-20-477

Notes: The data shown for fiscal year 2018 reflect the percentages of administrative support workers at the end of the fiscal year. Technical workers and technologists represented 184 of USAID's full-time, permanent workforce in fiscal year 2018. "Other" includes employees whose recorded race or ethnicity was Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial. Percentages may not sum to 100 because of rounding.

Appendix IV: Demographic Data on Executives at USAID, Fiscal Years 2002-2018

To compare U.S. Agency for International Development (USAID) and federal government workforce data, we contrasted summary statistics on executive employees calculated from USAID personnel data for fiscal year 2018 with summary statistics on executives from federal government workforce data for fiscal year 2017 that were published in the Federal Equal Opportunity Recruitment Program (FEORP) report.¹ As table 21 shows, our comparison of USAID workforce data with the FEORP data found a slightly higher proportion of white executives and a slightly lower proportion of racial or ethnic minority executives at USAID than in the federal workforce overall.

Table 21: Percentages of Executives in Demographic Groups at USAID in Fiscal Year (FY) 2018 and in the Federal Workforce in FY 2017

	USAID, FY 2018	Federal government, FY 2017
Racial or ethnic group		
White	80	79
Racial or ethnic minority	20	21
African American	11	10
Hispanic	4	5
Asian	4	4
Other	0	2
Gender		
Men	53	66
Women	47	34

Source: GAO analysis of U.S. Agency for International Development (USAID) and Office of Personnel Management data. | GAO-20-477

Notes: The data shown reflect the percentage of executives at the end of each fiscal year. We analyzed data for those listed as “ES/SL/ST” in USAID personnel data for its Civil Service, those listed as “FE” in USAID personnel data for its Foreign Service, and those listed as “Senior Executive Service” for the federal government. We did not include political appointee executives. “Other” includes Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial. Percentages may not sum to 100 because of rounding.

¹The FEORP report presents data for permanent employees in nonpostal federal executive branch agencies that participate in the Office of Personnel Management’s Enterprise Human Resources Integration initiative. The most recent FEORP report was for fiscal year 2017.

Appendix V: Workforce Data on Veterans at USAID

We analyzed U.S. Agency for International Development (USAID) data on employees hired with veterans' preference in fiscal years 2002 through 2018. The following tables present the numbers and percentages of employees hired with or without veterans' preference in USAID's workforce overall and in USAID's Civil and Foreign Services during that period.

Table 22: Numbers and Percentages of Employees Hired with or without Veterans' Preference at USAID, Fiscal Years (FY) 2002-2018

		Hired with veterans' preference	Hired without veterans' preference	Total
FY 2002	Number	146	1772	1918
	Percentage	8	92	100
FY 2003	Number	138	1769	1907
	Percentage	7	93	100
FY 2004	Number	134	1819	1953
	Percentage	7	93	100
FY 2005	Number	137	1921	2058
	Percentage	7	93	100
FY 2006	Number	117	1836	1953
	Percentage	6	94	100
FY 2007	Number	118	1839	1957
	Percentage	6	94	100
FY 2008	Number	137	1966	2103
	Percentage	7	93	100
FY 2009	Number	167	2244	2411
	Percentage	7	93	100
FY 2010	Number	199	2599	2798
	Percentage	7	93	100
FY 2011	Number	224	2869	3093
	Percentage	7	93	100
FY 2012	Number	263	2931	3194
	Percentage	8	92	100
FY 2013	Number	286	2900	3186
	Percentage	9	91	100
FY 2014	Number	284	2857	3141
	Percentage	9	91	100

Appendix V: Workforce Data on Veterans at USAID

		Hired with veterans' preference	Hired without veterans' preference	Total
FY 2015	Number	285	2868	3153
	Percentage	9	91	100
FY 2016	Number	292	2980	3272
	Percentage	9	91	100
FY 2017	Number	271	2870	3141
	Percentage	9	91	100
FY 2018	Number	240	2724	2964
	Percentage	8	92	100

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Note: The data shown reflect the numbers and percentages of employees at the end of each fiscal year.

Table 23: Numbers and Percentages of Employees Hired with or without Veterans' Preference in USAID's Civil Service, Fiscal Years (FY) 2002-2018

		Hired with veterans' preference	Hired without veterans' preference	Total
FY 2002	Number	82	838	920
	Percentage	9	91	100
FY 2003	Number	79	831	910
	Percentage	9	91	100
FY 2004	Number	74	877	951
	Percentage	8	92	100
FY 2005	Number	83	923	1006
	Percentage	8	92	100
FY 2006	Number	72	867	939
	Percentage	8	92	100
FY 2007	Number	75	864	939
	Percentage	8	92	100
FY 2008	Number	93	900	993
	Percentage	9	91	100
FY 2009	Number	120	973	1093
	Percentage	11	89	100
FY 2010	Number	147	1097	1244
	Percentage	12	88	100
FY 2011	Number	166	1184	1350
	Percentage	12	88	100

Appendix V: Workforce Data on Veterans at USAID

		Hired with veterans' preference	Hired without veterans' preference	Total
FY 2012	Number	199	1199	1398
	Percentage	14	86	100
FY 2013	Number	219	1199	1418
	Percentage	15	85	100
FY 2014	Number	217	1215	1432
	Percentage	15	85	100
FY 2015	Number	222	1231	1453
	Percentage	15	85	100
FY 2016	Number	221	1265	1486
	Percentage	15	85	100
FY 2017	Number	201	1223	1424
	Percentage	14	86	100
FY 2018	Number	172	1126	1298
	Percentage	13	87	100

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Note: The data shown reflect the numbers and percentages of employees at the end of each fiscal year.

Table 24: Numbers and Percentage of Employees Hired with or without Veterans' Preference in USAID's Foreign Service, Fiscal Years (FY) 2002-2018

		Hired with veterans' preference	Hired without veterans' preference	Total
FY 2002	Number	64	934	998
	Percentage	6	94	100
FY 2003	Number	59	938	997
	Percentage	6	94	100
FY 2004	Number	60	942	1002
	Percentage	6	94	100
FY 2005	Number	54	998	1052
	Percentage	5	95	100
FY 2006	Number	45	969	1014
	Percentage	4	96	100
FY 2007	Number	43	975	1018
	Percentage	4	96	100

Appendix V: Workforce Data on Veterans at USAID

		Hired with veterans' preference	Hired without veterans' preference	Total
FY 2008	Number	44	1066	1110
	Percentage	4	96	100
FY 2009	Number	47	1271	1318
	Percentage	4	96	100
FY 2010	Number	52	1502	1554
	Percentage	3	97	100
FY 2011	Number	58	1685	1743
	Percentage	3	97	100
FY 2012	Number	64	1732	1796
	Percentage	4	96	100
FY 2013	Number	67	1701	1768
	Percentage	4	96	100
FY 2014	Number	67	1642	1709
	Percentage	4	96	100
FY 2015	Number	63	1637	1700
	Percentage	4	96	100
FY 2016	Number	71	1715	1786
	Percentage	4	96	100
FY 2017	Number	70	1647	1717
	Percentage	4	96	100
FY 2018	Number	68	1598	1666
	Percentage	4	96	100

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Note: The data shown reflect the numbers and percentages of employees at the end of each fiscal year.

Appendix VI: Workforce Data on Individuals with Disabilities at USAID

Table 25 shows the proportions of permanent employees with a disability in the U.S. Agency for International Development’s (USAID) Civil and Foreign Services in fiscal years 2009 through 2017. The data shown are summary statistics from USAID’s Management Directive 715 (MD-715) reports to the Equal Employment Opportunity Commission.¹ As the table shows, the proportion of permanent employees with disabilities increased in the Civil Service and remained constant in the Foreign Service in the years for which USAID reported these data.

Table 25: Percentages of Permanent Employees with a Disability in USAID’s Civil and Foreign Services, Fiscal Years 2009-2017

Fiscal year	Civil Service	Foreign Service
2009	4	—
2010	4	—
2011	4	—
2012	4	—
2013	4	2
2014	5	2
2015	5	2
2016	5	2
2017	5	2

Legend: — = no percentage reported.

Source: U.S. Agency for International Development (USAID). | GAO-20-477

Note: The data shown are summary statistics from USAID’s Management Directive 715 reports to the Equal Employment Opportunity Commission for fiscal years 2009 through 2017.

¹USAID’s MD-715 reports present information for full-time and part-time permanent employees. Because of USAID’s involvement in disability-related litigation during the course of this engagement, we did not analyze the numbers and percentages of employees with disabilities in USAID’s full-time, permanent, career workforce.

Appendix VII: USAID Data on Political Appointees and Office of Inspector General Employees, Fiscal Years 2002-2018

In addition to analyzing the demographic composition of the U.S. Agency for International Development’s (USAID) workforce, we analyzed USAID personnel data to determine summary statistics on political appointees in fiscal years 2002 through 2018. We considered employees to be political appointees if they were on the executive pay plan or the administratively determined pay plan. This includes Senate-confirmed political appointees as well as political appointees that did not require Senate confirmation.

The following figures and tables present the numbers and proportions of political appointees in racial or ethnic and gender groups in USAID overall and USAID’s Civil Service and Foreign Service in fiscal years 2002 through 2018.

Table 26: Numbers and Percentages of White and Racial or Ethnic Minority Political Appointees at USAID, Fiscal Years (FY) 2002-2018

		White	Racial or ethnic minority	Total
FY 2002	Number	66	9	75
	Percentage	88	12	100
FY 2003	Number	72	11	83
	Percentage	87	13	100
FY 2004	Number	69	11	80
	Percentage	86	14	100
FY 2005	Number	74	12	86
	Percentage	86	14	100
FY 2006	Number	65	11	76
	Percentage	86	14	100
FY 2007	Number	52	9	61
	Percentage	85	15	100
FY 2008	Number	60	11	71
	Percentage	85	15	100
FY 2009	Number	13	4	17
	Percentage	76	24	100
FY 2010	Number	57	13	70
	Percentage	81	19	100
FY 2011	Number	79	24	103
	Percentage	77	23	100
FY 2012	Number	75	26	101
	Percentage	74	26	100

Appendix VII: USAID Data on Political Appointees and Office of Inspector General Employees, Fiscal Years 2002-2018

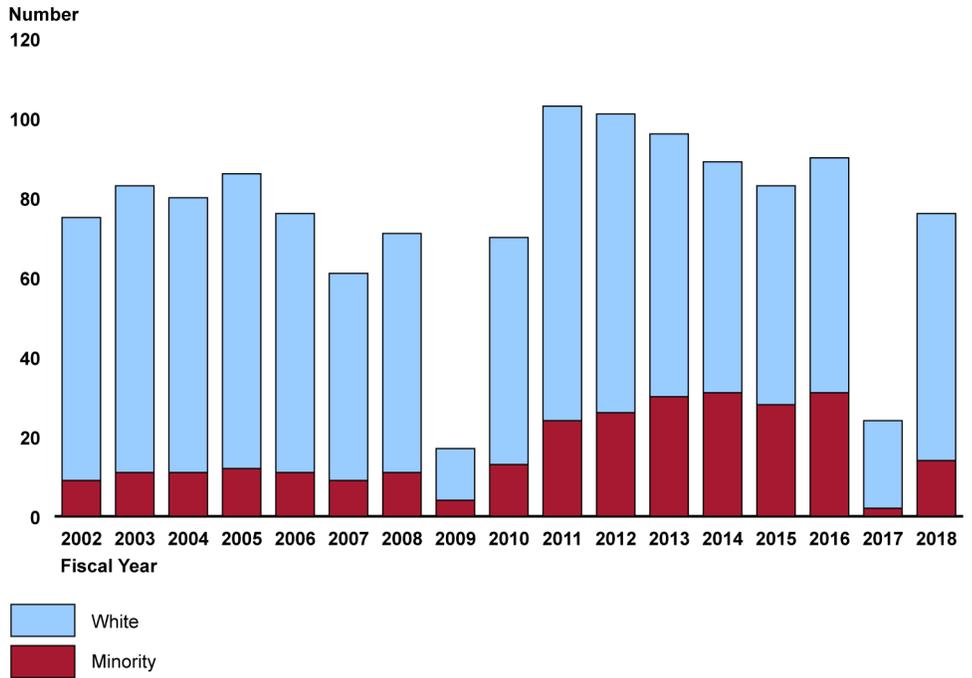
		White	Racial or ethnic minority	Total
FY 2013	Number	66	30	96
	Percentage	69	31	100
FY 2014	Number	58	31	89
	Percentage	65	35	100
FY 2015	Number	55	28	83
	Percentage	66	34	100
FY 2016	Number	59	31	90
	Percentage	66	34	100
FY 2017	Number	22	2	24
	Percentage	92	8	100
FY 2018	Number	62	14	76
	Percentage	82	18	100

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the numbers and percentages of white and racial or ethnic minority political appointees at the end of each fiscal year. "Racial or ethnic minority" includes African American, Asian, Hispanic, Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial. Percentages may not sum to 100 because of rounding.

Appendix VII: USAID Data on Political Appointees and Office of Inspector General Employees, Fiscal Years 2002-2018

Figure 15: Numbers of White and Racial or Ethnic Minority Political Appointees at USAID, Fiscal Years 2002-2018

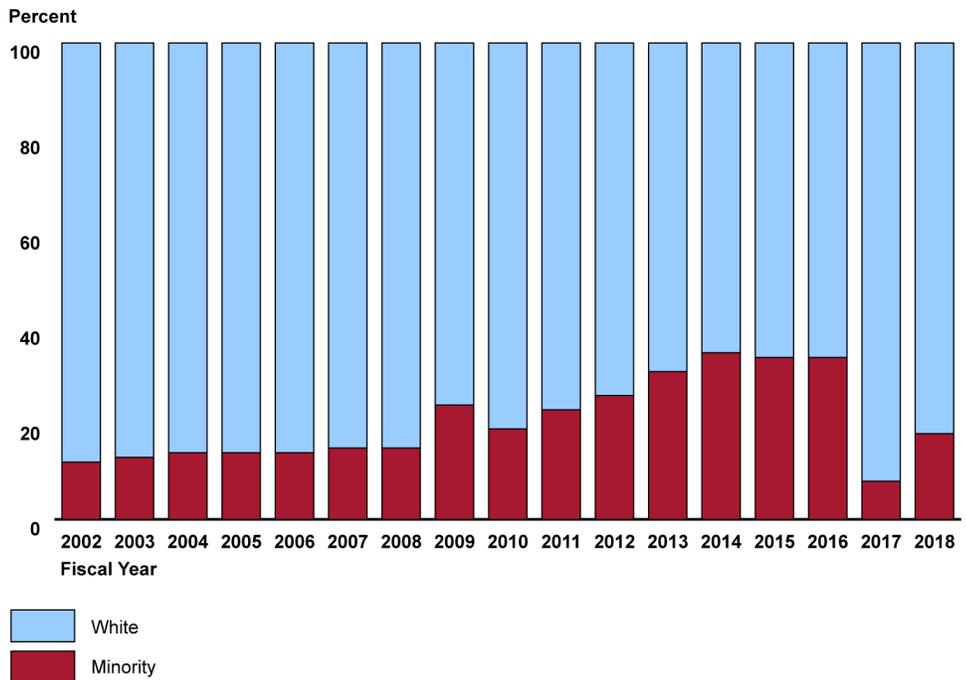


Source: U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the numbers of white and racial or ethnic minority political appointees at the end of each fiscal year. "Minority" includes African American, Asian, Hispanic, Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial.

Appendix VII: USAID Data on Political Appointees and Office of Inspector General Employees, Fiscal Years 2002-2018

Figure 16: Proportions of White and Racial or Ethnic Minority Political Appointees at USAID, Fiscal Years 2002-2018



Source: U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the proportions of white and racial or ethnic minority political appointees at the end of each fiscal year. "Minority" includes African American, Asian, Hispanic, Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial.

Table 27: Numbers and Percentages of Men and Women Political Appointees at USAID, Fiscal Years (FY) 2002-2018

		Men	Women	Total
FY 2002	Number	53	22	75
	Percentage	71	29	100
FY 2003	Number	56	27	83
	Percentage	67	33	100
FY 2004	Number	52	28	80
	Percentage	65	35	100
FY 2005	Number	53	33	86
	Percentage	62	38	100
FY 2006	Number	51	25	76
	Percentage	67	33	100

Appendix VII: USAID Data on Political Appointees and Office of Inspector General Employees, Fiscal Years 2002-2018

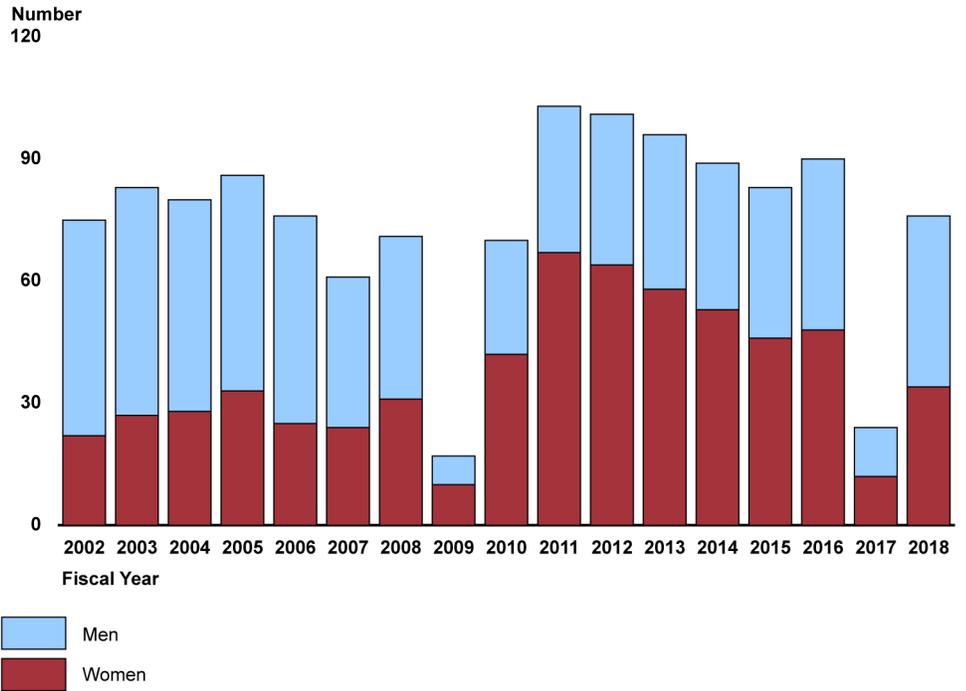
		Men	Women	Total
FY 2007	Number	37	24	61
	Percentage	61	39	100
FY 2008	Number	40	31	71
	Percentage	56	44	100
FY 2009	Number	7	10	17
	Percentage	41	59	100
FY 2010	Number	28	42	70
	Percentage	40	60	100
FY 2011	Number	36	67	103
	Percentage	35	65	100
FY 2012	Number	37	64	101
	Percentage	37	63	100
FY 2013	Number	38	58	96
	Percentage	40	60	100
FY 2014	Number	36	53	89
	Percentage	40	60	100
FY 2015	Number	37	46	83
	Percentage	45	55	100
FY 2016	Number	42	48	90
	Percentage	47	53	100
FY 2017	Number	12	12	24
	Percentage	50	50	100
FY 2018	Number	42	34	76
	Percentage	55	45	100

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the numbers and percentages of men and women political appointees at the end of each fiscal year. Percentages may not sum to 100 because of rounding.

Appendix VII: USAID Data on Political Appointees and Office of Inspector General Employees, Fiscal Years 2002-2018

Figure 17: Numbers of Men and Women Political Appointees at USAID, Fiscal Years 2002-2018

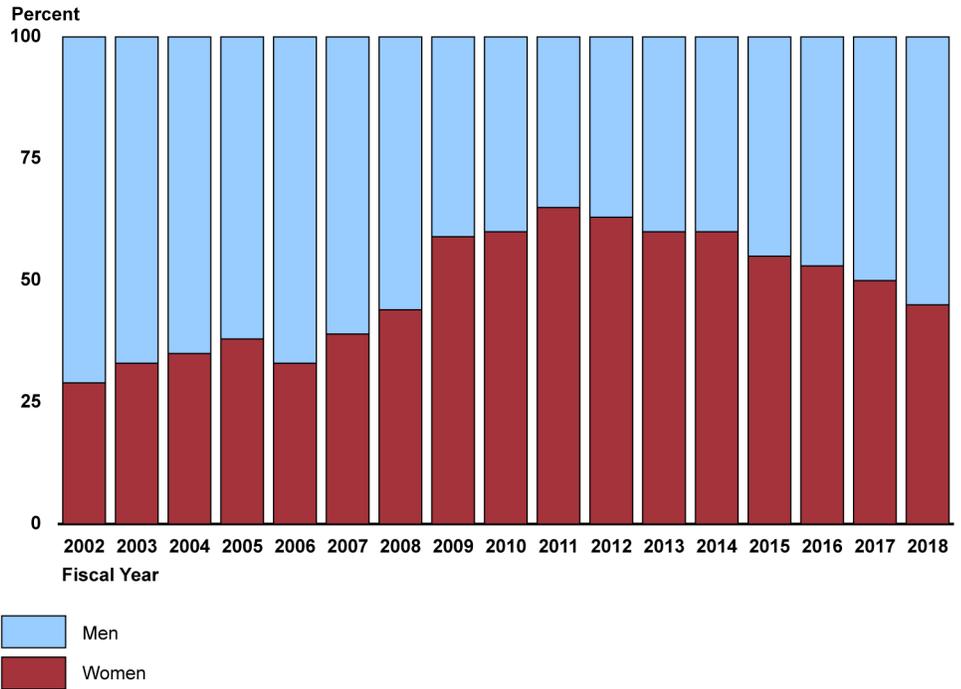


Source: U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the numbers of men and women political appointees at the end of each fiscal year.

Appendix VII: USAID Data on Political Appointees and Office of Inspector General Employees, Fiscal Years 2002-2018

Figure 18: Proportions of Men and Women Political Appointees at USAID, Fiscal Years 2002-2018



Source: U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the proportions of men and women political appointees at the end of each fiscal year.

We also analyzed USAID personnel data to determine summary statistics on employees of the agency’s Office of Inspector General in fiscal years 2002 through 2018. The following tables present the numbers and percentages of the office’s employees in racial or ethnic and gender groups in fiscal years 2002 through 2018.

Appendix VII: USAID Data on Political Appointees and Office of Inspector General Employees, Fiscal Years 2002-2018

Table 28: Numbers and Percentages of White and Racial or Ethnic Minority Employees of USAID’s Office of Inspector General, Fiscal Years (FY) 2002-2018

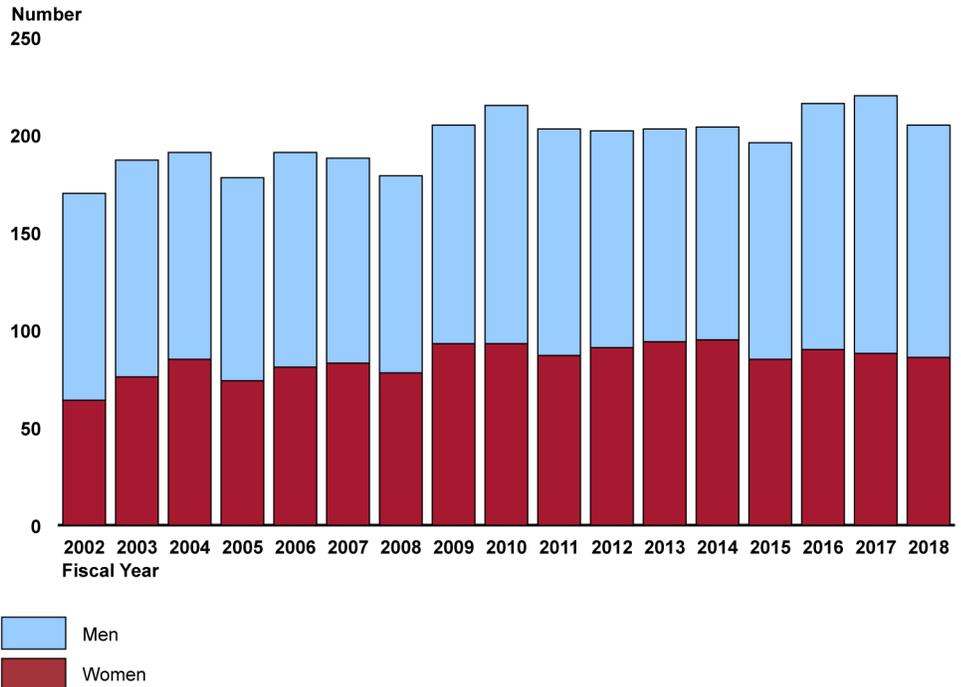
		White	Minority	Total
FY 2002	Number	90	80	170
	Percentage	53	47	100
FY 2003	Number	91	96	187
	Percentage	49	51	100
FY 2004	Number	90	101	191
	Percentage	47	53	100
FY 2005	Number	84	94	178
	Percentage	47	53	100
FY 2006	Number	94	97	191
	Percentage	49	51	100
FY 2007	Number	95	93	188
	Percentage	51	49	100
FY 2008	Number	86	93	179
	Percentage	48	52	100
FY 2009	Number	98	106	204
	Percentage	48	52	100
FY 2010	Number	105	109	214
	Percentage	49	51	100
FY 2011	Number	99	104	203
	Percentage	49	51	100
FY 2012	Number	95	107	202
	Percentage	47	53	100
FY 2013	Number	95	108	203
	Percentage	47	53	100
FY 2014	Number	97	107	204
	Percentage	48	52	100
FY 2015	Number	96	100	196
	Percentage	49	51	100
FY 2016	Number	109	107	216
	Percentage	50	50	100
FY 2017	Number	111	109	220
	Percentage	50	50	100
FY 2018	Number	109	96	205
	Percentage	53	47	100

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Appendix VII: USAID Data on Political Appointees and Office of Inspector General Employees, Fiscal Years 2002-2018

Notes: The data shown reflect the numbers and percentages of white and racial or ethnic employees at the end of each fiscal year. "Minority" includes African American, Asian, Hispanic, Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial. Percentages may not sum to 100 because of rounding.

Figure 19: Numbers of White and Racial or Ethnic Minority Employees in USAID's Office of Inspector General, Fiscal Years 2002-2018



Source: U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the numbers and percentages of white and racial or ethnic employees at the end of each fiscal year. "Minority" includes African American, Asian, Hispanic, Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial.

**Appendix VII: USAID Data on Political
Appointees and Office of Inspector General
Employees, Fiscal Years 2002-2018**

**Table 29: Numbers and Percentages of Men and Women Employees of USAID’s
Office of Inspector General, Fiscal Years (FY) 2002-2018**

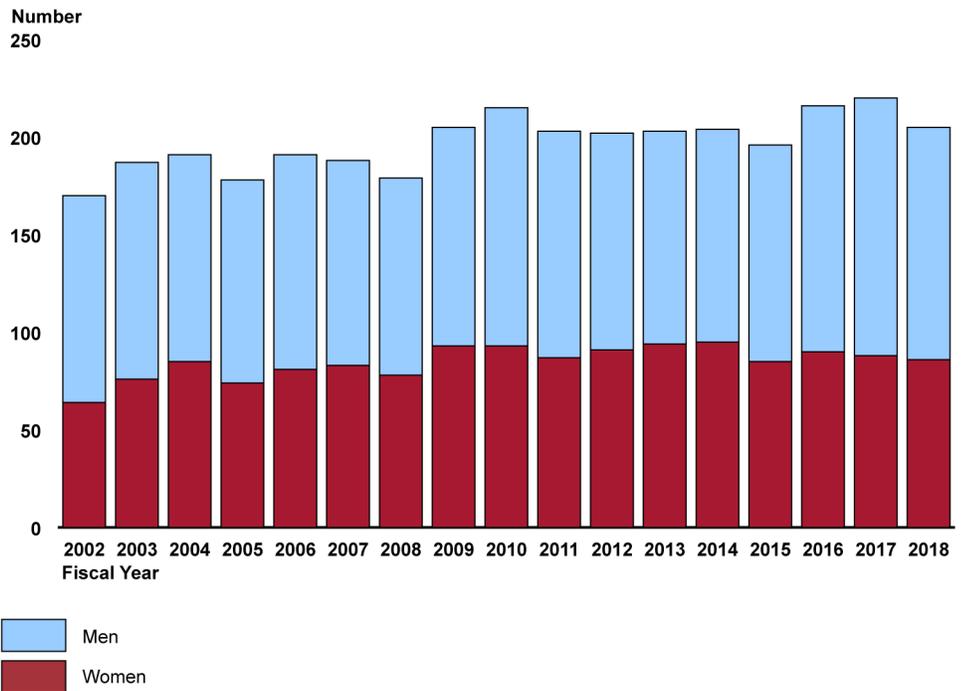
		Men	Women	Total
FY 2002	Number	106	64	170
	Percentage	62	38	100
FY 2003	Number	111	76	187
	Percentage	59	41	100
FY 2004	Number	106	85	191
	Percentage	55	45	100
FY 2005	Number	104	74	178
	Percentage	58	42	100
FY 2006	Number	110	81	191
	Percentage	58	42	100
FY 2007	Number	105	83	188
	Percentage	56	44	100
FY 2008	Number	101	78	179
	Percentage	56	44	100
FY 2009	Number	112	93	205
	Percentage	55	45	100
FY 2010	Number	122	93	215
	Percentage	57	43	100
FY 2011	Number	116	87	203
	Percentage	57	43	100
FY 2012	Number	111	91	202
	Percentage	55	45	100
FY 2013	Number	109	94	203
	Percentage	54	46	100
FY 2014	Number	109	95	204
	Percentage	53	47	100
FY 2015	Number	111	85	196
	Percentage	57	43	100
FY 2016	Number	126	90	216
	Percentage	58	42	100
FY 2017	Number	132	88	220
	Percentage	60	40	100
FY 2018	Number	119	86	205
	Percentage	58	42	100

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Appendix VII: USAID Data on Political Appointees and Office of Inspector General Employees, Fiscal Years 2002-2018

Notes: The data shown reflect the numbers and percentages of men and women political appointees at the end of each fiscal year. Percentages may not sum to 100 because of rounding.

Figure 20: Numbers of Men and Women Employees in USAID’s Office of Inspector General, Fiscal Years 2002-2018



Source: U.S. Agency for International Development (USAID) data. | GAO-20-477

Note: The data shown reflect the numbers of men and women political appointees at the end of each

Appendix VIII: Data on Applicants to USAID, Fiscal Years 2012-2018

We analyzed data for applicants to the U.S. Agency for International Development's (USAID) Civil Service in fiscal years 2012 and 2018 and applicants to USAID's Foreign Service in fiscal years 2012 and 2016.¹

According to USAID's guidance on personnel recruitment, an applicant is considered eligible when USAID's online application evaluation system, using the applicant's online responses to standardized questions, determines that the applicant meets eligibility requirements and the minimum qualifications defined in the vacancy announcement. USAID's Civil Service staffing guidance provides that officials may interview and make selections on the basis of referral lists of eligible applicants.² USAID's personnel recruitment guidance for the Foreign Service also notes that an applicant is considered selected when the applicant's score is above the cut-off total score and the applicant has passed the onsite assessment to advance to the reference-check stage of the hiring process.³ We considered an applicant to have been rated eligible if the applicant data showed that the applicant had not been rated ineligible. We considered an applicant to have been selected if the applicant data showed that the applicant was either hired or selected.

Tables 30 through 32 show the percentages of eligible applicants and selected eligible applicants to, respectively, USAID overall in fiscal years 2012 and 2018, USAID's Civil Service in fiscal years 2012 and 2018, and USAID's Foreign Service in fiscal years 2012 and 2016.

¹USAID did not announce any open positions in its Foreign Service in fiscal years 2017 and 2018.

²USAID, *Automated Directives System Chapter 418: Merit Staffing Program for Civil Service (CS) Employees* (revised Jan. 12, 2017).

³USAID, *Automated Directives System Chapter 468: Foreign Service (FS) Personnel Recruitment* (revised Feb. 7, 2014).

**Appendix VIII: Data on Applicants to USAID,
Fiscal Years 2012-2018**

Table 30: Percentages of Eligible and Selected Eligible Applicants to USAID Overall, by Demographic Group, Fiscal Years (FY) 2012 and 2018

	FY 2012		FY 2018	
	Eligible	Selected	Eligible	Selected
Racial or ethnic group				
White	45	53	27	41
African American	28	19	32	21
Hispanic	8	3	9	6
Asian	8	6	8	10
Other	4	4	4	3
Unspecified	7	14	20	19
Gender				
Men	43	46	42	32
Women	52	51	39	51
Unspecified	4	3	18	17

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the numbers and percentages of white and racial or ethnic applicants and men and women applicants at the end of each fiscal year. Data for fiscal year 2018 do not include Foreign Service, because USAID did not announce any open positions in its Foreign Service in fiscal years 2017 and 2018. "Other" includes Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial. "Unspecified" indicates that the applicant did not provide demographic information when completing the electronic application.

Table 31: Percentages of Eligible and Selected Eligible Applicants to USAID's Civil Service, by Demographic Group, Fiscal Years (FY) 2012 and 2018

	FY 2012		FY 2018	
	Eligible	Selected	Eligible	Selected
Racial or ethnic group				
White	45	49	27	41
African American	28	28	32	21
Hispanic	7	4	9	6
Asian	8	6	8	10
Other	4	8	4	3
Unspecified	7	6	20	19
Gender				
Men	43	34	42	32
Women	53	64	39	51
Unspecified	5	2	18	17

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

**Appendix VIII: Data on Applicants to USAID,
Fiscal Years 2012-2018**

Notes: The data shown reflect the numbers and percentages of white and racial or ethnic applicants and men and women applicants at the end of each fiscal year. "Other" includes Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial. "Unspecified" indicates that the applicant did not provide demographic information when completing the electronic application.

Table 32: Percentages of Eligible and Selected Eligible Applicants to USAID's Foreign Service, by Demographic Group, Fiscal Years (FY) 2012 and 2016

	FY 2012		FY 2016	
	Eligible	Selected	Eligible	Selected
Racial or ethnic group				
White	47	59	34	47
African American	23	7	20	6
Hispanic	10	2	7	6
Asian	10	7	9	10
Other	3	0	5	3
Unspecified	7	24	24	27
Gender				
Men	52	61	39	27
Women	44	34	38	45
Unspecified	4	5	23	27

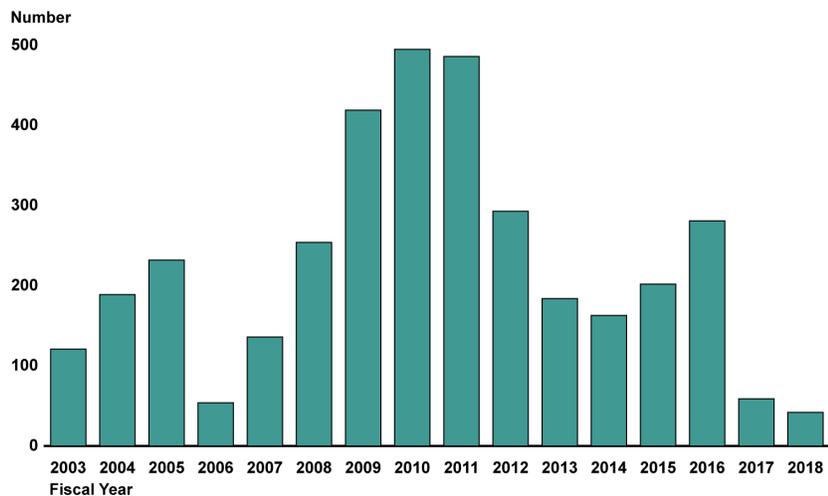
Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: USAID did not announce any open positions in its Foreign Service in fiscal years 2017 and 2018. The data shown reflect numbers and percentages of white and racial or ethnic applicants and men and women applicants at the end of each fiscal year. "Other" includes Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial. "Unspecified" indicates that the applicant did not provide demographic information when completing the electronic application.

Appendix IX: USAID Data on Newly Hired Employees, Fiscal Years 2003-2018

In addition to analyzing the demographic composition of the U.S. Agency for International Development (USAID) workforce, we analyzed USAID personnel data to determine summary statistics on employees hired in fiscal years 2003 through 2018. We considered an employee to have been hired in a given fiscal year if the employee first appeared in USAID's personnel data for that year.¹ Because the USAID data we reviewed began in fiscal year 2002, we were unable to identify employees who were hired in that fiscal year; thus, fiscal year 2003 is the first for which we were able to identify newly hired employees. Figure 21 shows the number of newly hired employees at USAID from fiscal year 2003 to fiscal year 2018.

Figure 21: Numbers of Newly Hired Employees of USAID, Fiscal Years 2003-2018



Source: U.S. Agency for International Development (USAID) data. | GAO-20-477

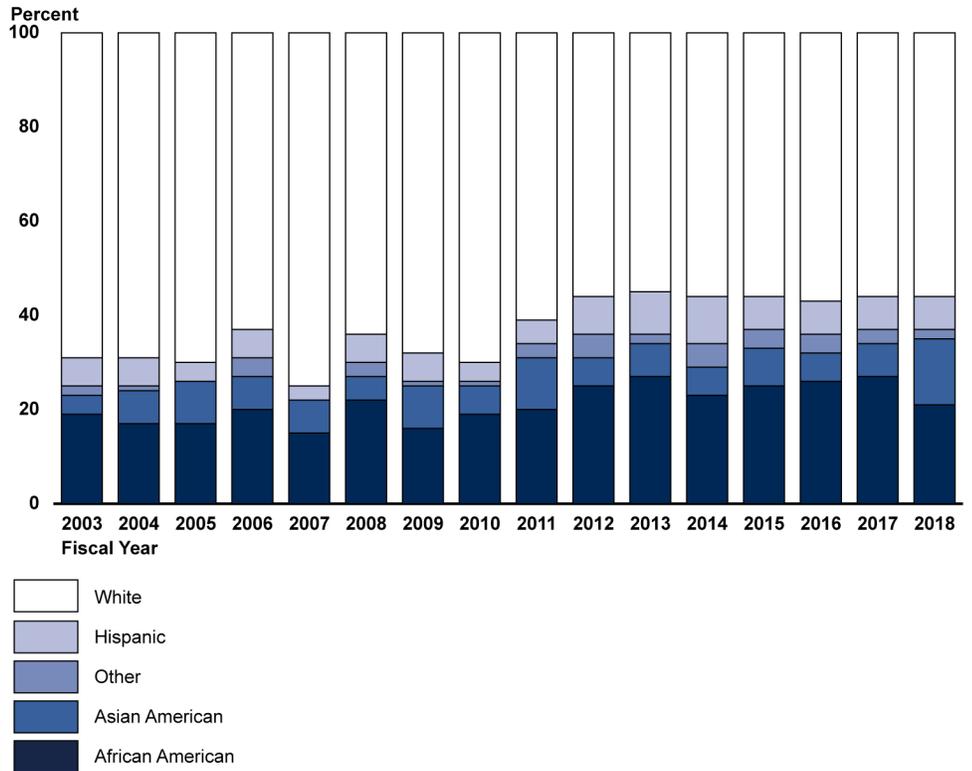
Notes: The data shown reflect the number of newly hired employees at the end of each fiscal year. We considered an employee to have been hired in a given fiscal year if the employee first appeared in USAID's personnel data for that year.

The following figures and tables present the numbers and proportions of newly hired employees in racial, ethnic, and gender groups in USAID overall and USAID's Civil Service and Foreign Service in fiscal years 2003 through 2018.

¹Our analysis includes data for individuals who accepted offers of employment at USAID in a given fiscal year.

Appendix IX: USAID Data on Newly Hired Employees, Fiscal Years 2003-2018

Figure 22: Proportions of Newly Hired Racial or Ethnic Minority Employees of USAID, Fiscal Years 2003-2018



Source: U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the percentages of newly hired white and racial or ethnic minority employees at the end of each fiscal year. We considered an employee to have been hired in a given fiscal year if the employee first appeared in USAID’s personnel data for that year. “Other” includes Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial.

**Appendix IX: USAID Data on Newly Hired
Employees, Fiscal Years 2003-2018**

Table 33: Numbers and Percentages of Newly Hired White and Racial or Ethnic Minority Employees of USAID, Fiscal Years (FY) 2003-2018

		White	African American	Hispanic	Asian	Other	Total
FY 2003	Number	84	23	7	5	2	121
	Percentage	69	19	6	4	2	100
FY 2004	Number	131	32	11	14	1	189
	Percentage	69	17	6	7	1	100
FY 2005	Number	162	40	10	20	0	232
	Percentage	70	17	4	9	0	100
FY 2006	Number	34	11	3	4	2	54
	Percentage	63	20	6	7	4	100
FY 2007	Number	103	20	4	9	0	136
	Percentage	76	15	3	7	0	100
FY 2008	Number	162	56	16	13	7	254
	Percentage	64	22	6	5	3	100
FY 2009	Number	283	69	26	37	4	419
	Percentage	68	16	6	9	1	100
FY 2010	Number	346	92	19	31	7	495
	Percentage	70	19	4	6	1	100
FY 2011	Number	294	97	26	54	15	486
	Percentage	60	20	5	11	3	100
FY 2012	Number	162	74	23	18	16	293
	Percentage	55	25	8	6	5	100
FY 2013	Number	103	50	16	12	3	184
	Percentage	56	27	9	7	2	100
FY 2014	Number	92	38	16	9	8	163
	Percentage	56	23	10	6	5	100
FY 2015	Number	113	50	14	17	8	202
	Percentage	56	25	7	8	4	100
FY 2016	Number	161	73	19	18	10	281
	Percentage	57	26	7	6	4	100
FY 2017	Number	33	16	4	4	2	59
	Percentage	56	27	7	7	3	100
FY 2018	Number	23	9	3	6	1	42
	Percentage	55	21	7	14	2	100

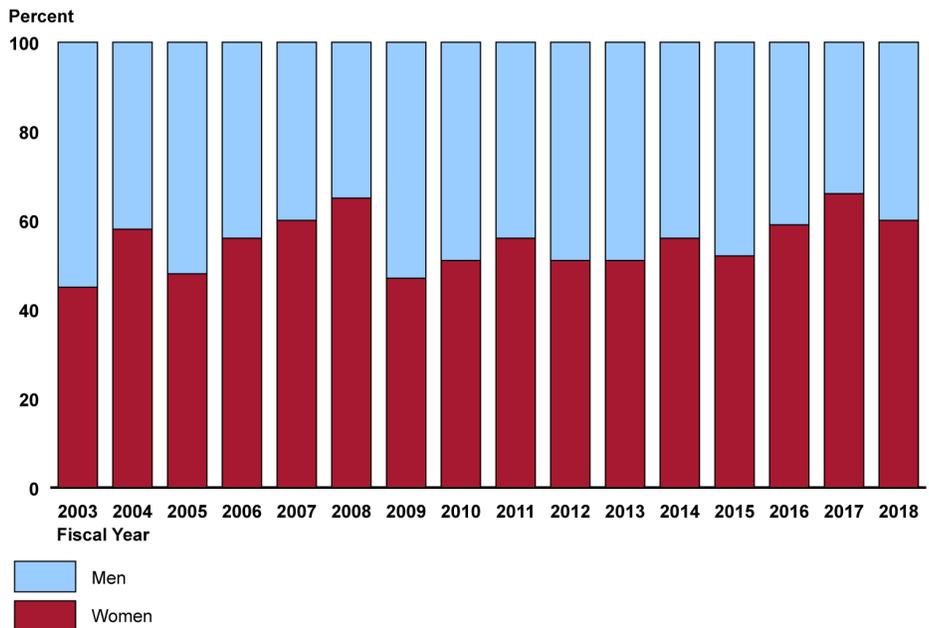
Source: GAO analysis of U.S Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the numbers and percentages of newly hired white and racial or ethnic minority employees at the end of each fiscal year. We considered an employee to have been hired in a given fiscal year if the employee first appeared in USAID's personnel data for that year. "Other"

Appendix IX: USAID Data on Newly Hired Employees, Fiscal Years 2003-2018

includes Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial. Percentages may not sum to 100 because of rounding.

Figure 23: Proportions of Newly Hired Men and Women at USAID, Fiscal Years 2003-2018



Source: U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the percentages of newly hired men and women at the end of each fiscal year. We considered an employee to have been hired in a given fiscal year if the employee first appeared in USAID's personnel data for that year.

Table 34: Numbers and Percentages of Newly Hired Men and Women at USAID, Fiscal Years (FY) 2003-2018

		Men	Women	Total
FY 2003	Number	67	54	121
	Percentage	55	45	100
FY 2004	Number	80	109	189
	Percentage	42	58	100
FY 2005	Number	120	112	232
	Percentage	52	48	100
FY 2006	Number	24	30	54
	Percentage	44	56	100
FY 2007	Number	54	82	136
	Percentage	40	60	100

Appendix IX: USAID Data on Newly Hired Employees, Fiscal Years 2003-2018

		Men	Women	Total
FY 2008	Number	89	165	254
	Percentage	35	65	100
FY 2009	Number	221	198	419
	Percentage	53	47	100
FY 2010	Number	244	251	495
	Percentage	49	51	100
FY 2011	Number	215	271	486
	Percentage	44	56	100
FY 2012	Number	143	150	293
	Percentage	49	51	100
FY 2013	Number	90	94	184
	Percentage	49	51	100
FY 2014	Number	71	92	163
	Percentage	44	56	100
FY 2015	Number	97	105	202
	Percentage	48	52	100
FY 2016	Number	115	166	281
	Percentage	41	59	100
FY 2017	Number	20	39	59
	Percentage	34	66	100
FY 2018	Number	17	25	42
	Percentage	40	60	100

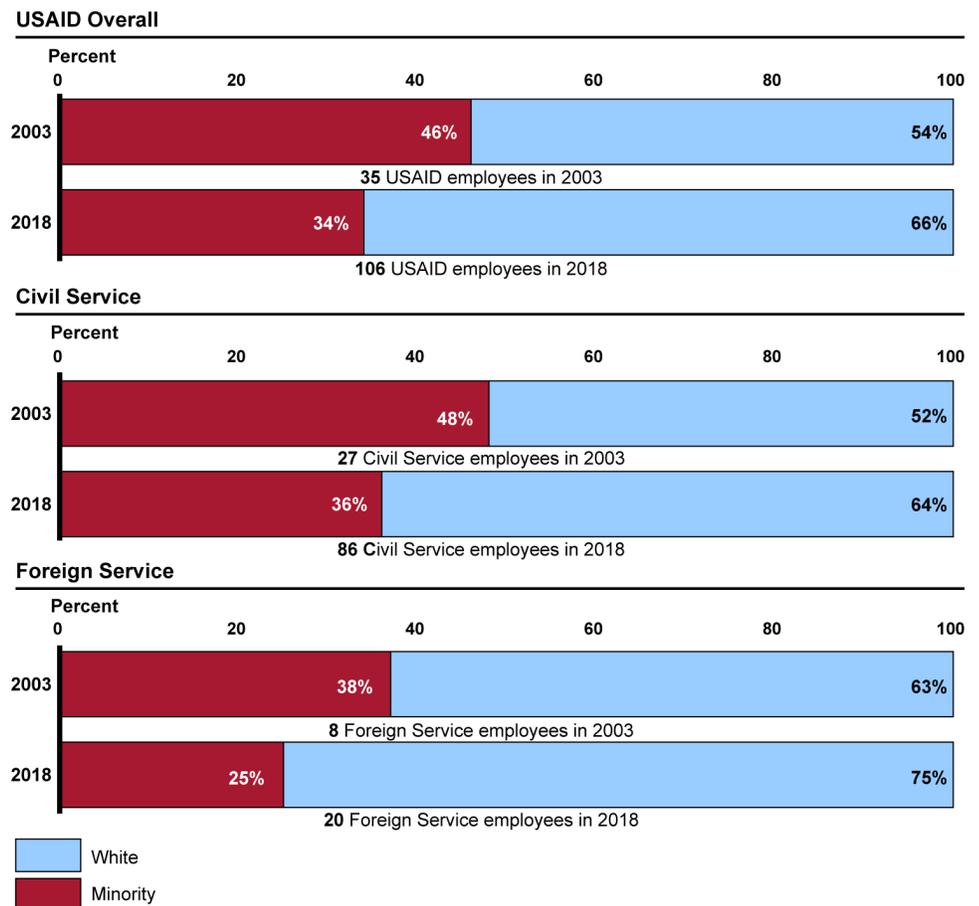
Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect the numbers and percentages of newly hired men and women at the end of each fiscal year. We considered an employee to have been hired in a given fiscal year if the employee first appeared in USAID's personnel data for that year. Percentages may not sum to 100 because of rounding.

Appendix X: U.S. Agency for International Development Workforce Data on Attrition, Fiscal Years 2003-2018

In addition to analyzing the demographic composition of the U.S. Agency for International Development’s (USAID) workforce, we analyzed USAID personnel data to determine summary statistics for employees who left USAID in fiscal years 2003 through 2018 for reasons other than retirement or death. Figures 24 and 25 show the percentages of such employees in various racial, ethnic, and gender groups at USAID overall and in USAID’s Civil Service and Foreign Service in fiscal years 2003 and 2018.

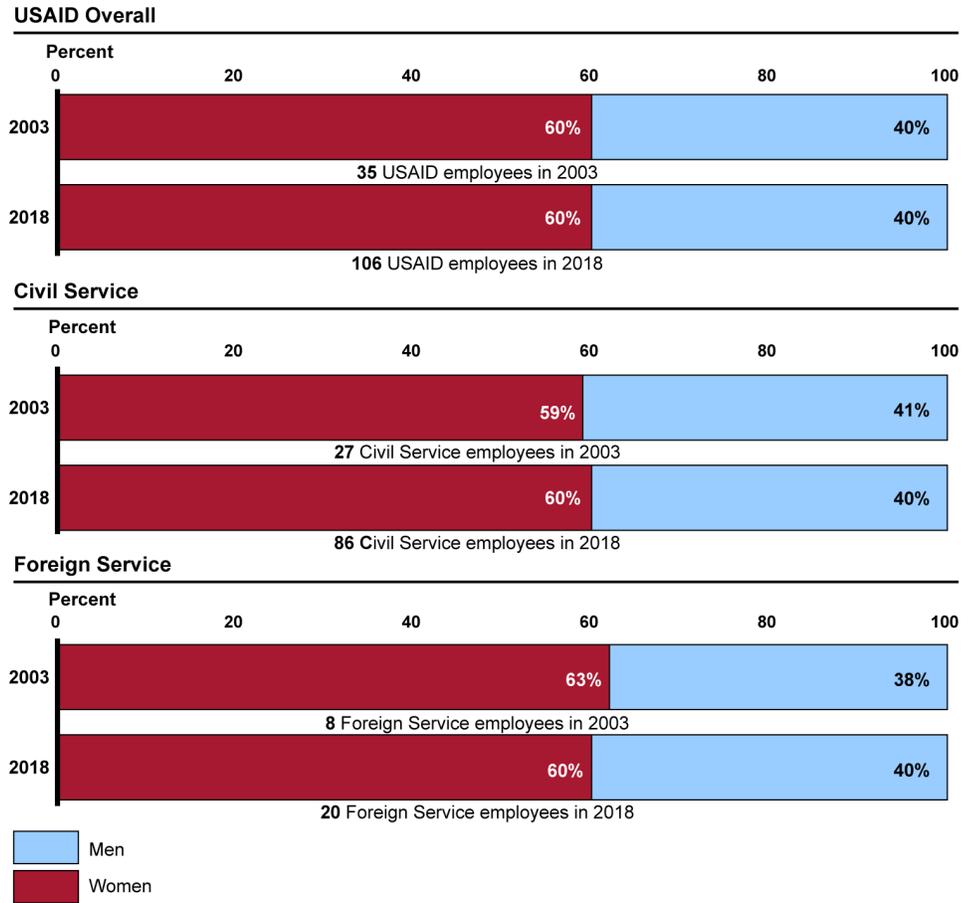
Figure 24: Proportions of Civil and Foreign Service Employees Who Left USAID Who Were White or Racial or Ethnic Minority, Fiscal Years 2003 and 2018



Source: U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect employees who had left USAID as of the end of each fiscal year for reasons other than retirement or death. “Other” includes Native Hawaiian/Pacific Islander, American Indian/Alaska Native, and non-Hispanic multiracial. Because of rounding, percentages may not sum to 100.

Figure 25: Proportions of Civil and Foreign Service Employees Who Left USAID Who Were Men or Women, Fiscal Years 2003 and 2018



Source: U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: The data shown reflect employees who had left USAID as of the end of each fiscal year for reasons other than retirement or death. Because of rounding, percentages may not sum to 100.

Table 35 presents attrition rates for white and racial or ethnic minority employees who left USAID in fiscal years 2003 through 2018 for reasons other than retirement or death.

**Appendix X: U.S. Agency for International
Development Workforce Data on Attrition,
Fiscal Years 2003-2018**

Table 35: Attrition Rates for White and Racial or Ethnic Minority Employees Who Left USAID and Its Civil or Foreign Service, Fiscal Years 2003-2018

Fiscal year	USAID		Civil Service		Foreign Service	
	Whites, %	Racial or ethnic minorities, %	Whites, %	Racial or ethnic minorities, %	Whites, %	Racial or ethnic minorities, %
2003	1.5	2.5	3.0	2.9	0.6	1.6
2004	1.8	1.2	2.4	1.8	1.5	0.0
2005	2.0	2.2	3.2	2.8	1.2	1.0
2006	2.8	3.2	6.3	4.5	0.7	0.5
2007	2.4	3.4	5.0	4.1	0.7	2.0
2008	3.3	1.7	6.4	1.9	1.5	1.3
2009	2.7	3.1	5.0	3.9	1.5	1.7
2010	2.3	2.2	4.3	2.6	1.2	1.4
2011	3.1	3.1	6.1	4.1	1.4	1.5
2012	2.9	2.7	5.9	4.2	1.3	0.5
2013	3.1	3.2	6.2	4.7	1.5	0.9
2014	3.6	4.5	5.5	5.8	2.6	2.4
2015	3.9	4.2	7.1	6.5	2.0	0.5
2016	3.3	4.5	7.5	6.5	0.8	1.5
2017	3.1	3.1	5.9	4.1	1.4	1.5
2018	3.7	3.3	8.2	4.9	1.2	1.1

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: Our analysis includes data only for employees who left for reasons other than retirement or death.

Table 36 presents attrition rates for men and women who left USAID in fiscal years 2003 through 2018 for reasons other than retirement or death.

**Appendix X: U.S. Agency for International
Development Workforce Data on Attrition,
Fiscal Years 2003-2018**

Table 36: Attrition Rates for Men and Women Who Left USAID and Its Civil or Foreign Services, Fiscal Years 2003-2018

Fiscal year	USAID		Civil Service		Foreign Service	
	Men, %	Women, %	Men, %	Women, %	Men, %	Women, %
2003	1.5	2.2	3.5	2.7	0.5	1.3
2004	1.7	1.6	2.8	1.7	1.1	1.3
2005	1.6	2.4	2.5	3.2	1.1	1.2
2006	3.3	2.6	8.0	4.1	0.8	0.5
2007	2.4	3.0	4.6	4.6	1.2	0.7
2008	2.7	2.8	4.6	4.0	1.6	1.2
2009	2.2	3.4	4.1	4.7	1.1	2.0
2010	2.2	2.3	3.5	3.5	1.4	1.0
2011	3.3	2.9	5.7	4.8	1.9	1.0
2012	2.9	2.8	5.5	4.8	1.4	0.8
2013	2.6	3.7	5.3	5.5	1.0	1.8
2014	3.8	4.1	6.2	5.3	2.2	2.8
2015	3.4	4.5	6.0	7.4	1.7	1.6
2016	4.5	3.0	9.7	5.2	1.2	0.8
2017	2.9	3.2	6.1	4.4	0.9	1.9
2018	3.1	4.0	6.8	6.5	0.9	1.5

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Note: Our analysis includes data only for employees who left for reasons other than retirement or death.

Appendix XI: USAID Workforce Data on Promotion Rates, Fiscal Years 2013-2017

As table 37 shows, our analysis of yearly promotion rates for fiscal years 2013 through 2017 at the U.S. Agency for International Development (USAID) found that promotion rates for white employees exceeded those for racial or ethnic minority employees for

- Civil Service promotions from GS-11 and every higher rank in every year, except from GS-15 to executive in 3 years, and
- Foreign Service promotions from Class 4 and higher ranks for 11 of the 20 possible year-rank combinations.

Table 37: Years When Promotion Rates for White Employees Exceeded Promotion Rates for Racial or Ethnic Minority Employees in USAID’s Civil and Foreign Services, Fiscal Years 2013-2017

Promotion stage	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	Total for FYs 2013-2017
Civil Service						
GS-15 to executive	—	—	√	—	√	2 of 5 years
GS-14 to GS-15	√	√	√	√	√	5 of 5 years
GS-13 to GS-14	√	√	√	√	√	5 of 5 years
GS-12 to GS-13	√	√	√	√	√	5 of 5 years
GS-11 to GS-12	√	√	√	√	√	5 of 5 years
Foreign Service						
Class 1 to executive	—	√	√	—	—	2 of 5 years
Class 2 to Class 1	—	√	√	—	—	2 of 5 years
Class 3 to Class 2	√	√	√	√	—	4 of 5 years
Class 4 to Class 3	√	—	√	—	√	3 of 5 years

Legend: FY = fiscal year, GS = General Schedule, √ = higher promotion rate for whites than racial or ethnic minorities, — = higher promotion rate for racial or ethnic minorities than whites.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: For each promotion stage and fiscal year, we calculated the promotion rates for white and racial or ethnic minority employees, respectively, as the number of newly elevated white employees or racial or ethnic minority employees in the next-higher rank in the following fiscal year divided by the number of whites or racial or ethnic minorities in the given rank in the current year. We examined differences in the unrounded promoted rates.

Table 38 shows the promotion rates for white employees and racial or ethnic minority employees in USAID’s Civil and Foreign Services in fiscal years 2013 through 2017.

**Appendix XI: USAID Workforce Data on
Promotion Rates, Fiscal Years 2013-2017**

Table 38: Promotion Rates for White Employees and Racial or Ethnic Minority Employees in USAID’s Civil and Foreign Services, Fiscal Years 2013-2017

Percentages

Promotion stage	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Civil Service: Whites					
GS-15 to executive	1.1	1.0	1.0	0.0	0.9
GS-14 to GS-15	8.2	5.6	6.1	3.6	6.1
GS-13 to GS-14	19.4	19.6	16.0	10.9	11.6
GS-12 to GS-13	53.3	48.2	41.1	42.1	31.0
GS-11 to GS-12	81.3	78.0	61.3	64.0	46.2
Civil Service: Racial or ethnic minorities					
GS-15 to executive	1.5	2.7	0.0	1.0	0.0
GS-14 to GS-15	3.6	4.7	4.4	1.6	3.7
GS-13 to GS-14	6.0	9.3	5.6	5.9	4.9
GS-12 to GS-13	26.6	23.4	23.3	28.7	14.3
GS-11 to GS-12	42.4	38.9	46.6	40.7	45.1
Foreign Service: Whites					
Class 1 to executive	9.7	9.6	10.2	4.7	3.4
Class 2 to Class 1	10.3	12.7	10.8	9.9	8.4
Class 3 to Class 2	12.0	11.3	9.0	8.4	7.7
Class 4 to Class 3	32.4	45.3	33.3	32.9	33.8
Foreign Service: Racial or ethnic minorities					
Class 1 to executive	10.0	1.8	10.0	4.8	5.6
Class 2 to Class 1	12.4	6.7	9.6	14.1	10.9
Class 3 to Class 2	6.9	8.4	7.5	5.8	9.1
Class 4 to Class 3	30.1	46.6	18.7	38.2	32.1

Legend: FY = fiscal year, GS = General Schedule.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: For each promotion stage and fiscal year, we calculated the promotion rates for white and racial or ethnic minority employees, respectively, as the number of newly elevated white employees or racial or ethnic minority employees in the next-higher rank in the following fiscal year divided by the number of whites or racial or ethnic minorities in the given rank in the current year. This analysis does not take into account the variety of factors besides racial or ethnic minority status that may affect promotion rates, including the length of time it takes to be promoted.

As table 39 shows, our analysis of yearly promotion rates for fiscal years 2013 through 2017 showed that men were promoted at higher rates than women

- from GS-11 and higher ranks for 13 of the 25 possible year-rank combinations in the Civil Service and

**Appendix XI: USAID Workforce Data on
Promotion Rates, Fiscal Years 2013-2017**

- from Class 4 and higher ranks for 12 of the 20 possible year-rank combinations in the Foreign Service.

Table 39: Years When Promotion Rates for Men Exceeded Promotion Rates for Women in USAID’s Civil and Foreign Services, Fiscal Years 2013-2017

Promotion stage	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017	Total for FYs 2013-2017
Civil Service						
GS-15 to executive	√	—	—	√	√	3 of 5 years
GS-14 to GS-15	—	√	—	—	—	1 of 5 years
GS-13 to GS-14	√	—	√	—	—	2 of 5 years
GS-12 to GS-13	—	√	√	√	√	4 of 5 years
GS-11 to GS-12	—	√	√	√	—	3 of 5 years
Foreign Service						
Class 1 to executive	√	√	—	√	—	3 of 5 years
Class 2 to Class 1	√	√	—	—	√	3 of 5 years
Class 3 to Class 2	√	—	—	√	√	3 of 5 years
Class 4 to Class 3	√	—	—	√	√	3 of 5 years

Legend: FY = fiscal year, GS = General Schedule, √ = higher promotion rate for men than women, — = higher promotion rate for women than men.
Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: For each promotion stage and fiscal year, we calculated the promotion rates for white and racial or ethnic minority employees, respectively, as the number of newly elevated white employees or racial or ethnic minority employees in the next-higher rank in the following fiscal year divided by the number of whites or racial or ethnic minorities in the given rank in the current year. We examined differences in the unrounded promoted rates.

Table 40 shows the promotion rates for men and women in USAID’s Civil and Foreign Services in fiscal years 2013 through 2017.

Table 40: Promotion Rates for Men and Women in USAID’s Civil and Foreign Services, Fiscal Years 2013-2017

Percentages

Promotion stage	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
Civil Service: Men					
GS-15 to executive	2.2	0.7	0.0	0.6	0.7
GS-14 to GS-15	6.0	6.8	4.6	1.0	5.0
GS-13 to GS-14	15.3	13.4	10.7	7.8	7.7
GS-12 to GS-13	33.3	42.6	41.0	37.0	23.8
GS-11 to GS-12	67.7	57.7	57.6	64.0	41.2
Civil Service Women					

**Appendix XI: USAID Workforce Data on
Promotion Rates, Fiscal Years 2013-2017**

Promotion stage	FY 2013	FY 2014	FY 2015	FY 2016	FY 2017
GS-15 to executive	0.0	2.4	1.5	0.0	0.6
GS-14 to GS-15	6.6	39.6	6.0	4.1	5.3
GS-13 to GS-14	11.4	14.4	10.1	8.3	8.0
GS-12 to GS-13	37.0	28.2	26.2	32.7	17.9
GS-11 to GS-12	50.0	55.1	48.2	40.7	46.8
Foreign Service: Men					
Class 1 to executive	13.6	10.1	64.1	4.9	2.4
Class 2 to Class 1	13.3	12.2	7.9	10.4	9.3
Class 3 to Class 2	13.3	10.3	8.1	9.3	9.5
Class 4 to Class 3	34.1	41.3	22.6	37.4	34.2
Foreign Service: Women					
Class 1 to executive	5.8	5.9	14.3	4.4	5.8
Class 2 to Class 1	6.9	10.1	14.0	11.8	8.5
Class 3 to Class 2	8.2	10.6	8.9	6.2	7.0
Class 4 to Class 3	29.5	49.5	35.2	31.6	32.2

Legend: FY = fiscal year, GS = General Schedule.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: For each promotion stage and fiscal year, we calculated the promotion rates for white and racial or ethnic minority employees, respectively, as the number of newly elevated white employees or racial or ethnic minority employees in the next-higher rank in the following fiscal year divided by the number of whites or racial or ethnic minorities in the given rank in the current year. This analysis does not take into account the variety of factors besides racial or ethnic minority status that may affect promotion rates, including the length of time it takes to be promoted.

Appendix XII: USAID Workforce Data on Years Employees Spent in Each Rank, Fiscal Years 2002-2018

Our analysis of U.S. Agency for International Development (USAID) workforce data found that racial or ethnic minorities generally spent more years in each rank than whites did in USAID's Civil Service in fiscal years 2002 through 2018. Table 41 shows the average years in rank for whites and racial or ethnic minorities in USAID's Civil and Foreign Services.

Table 41: Average Years in Rank for Whites and Racial or Ethnic Minorities in USAID's Civil and Foreign Services, Fiscal Years 2002-2018

Rank	All employees		Promoted employees	
	Whites	Racial or ethnic minorities	Whites	Racial or ethnic minorities
Civil Service				
Executive	4.0	6.1	N/A	N/A
GS-15	5.4	4.9	5.5	5.2
GS-14	4.6	5.1	3.4	3.9
GS-13	3.1	3.9	2.4	3.0
GS-12	1.7	2.9	1.3	2.1
GS-11	1.2	2.1	1.1	1.5
Foreign Service				
Executive	5.5	5.1	N/A	N/A
Class 1	5.0	4.6	5.4	5.0
Class 2	4.2	4.4	4.0	4.5
Class 3	4.0	4.1	4.0	4.2
Class 4	2.6	2.6	2.6	2.6

Legend: GS = General Schedule, N/A = not available.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: Average years in rank for promoted executives are not shown because we did not examine promotion above GS-15 or Class 1.

Our analysis also found that in the Civil Service, women generally spent more years than men in early- to mid-career ranks (GS-13 and below) before being promoted. However, women spent fewer years than men in later career ranks (GS-14 and above) before being promoted. In the Foreign Service, women generally spent fewer years than men in early- to mid-career ranks (Class 2 and below) before being promoted. Table 42 shows the average years in rank for men and women in USAID's Civil and Foreign Services in fiscal years 2002 through 2018.

**Appendix XII: USAID Workforce Data on Years
Employees Spent in Each Rank, Fiscal Years
2002-2018**

Table 42: Average Years in Rank for Men and Women in USAID’s Civil and Foreign Services, Fiscal Years 2002-2018

Rank	All employees		Promoted employees	
	Men	Women	Men	Women
Civil Service				
Executive	4.5	4.4	N/A	N/A
GS-15	5.6	4.9	6.0	4.9
GS-14	4.8	4.7	3.6	3.5
GS-13	3.4	3.6	2.4	2.8
GS-12	2.0	2.5	1.5	1.8
GS-11	1.4	1.8	1.2	1.4
Foreign Service				
Executive	5.5	5.3	N/A	N/A
Class 1	4.8	5.2	5.1	5.7
Class 2	4.3	4.1	4.1	4.1
Class 3	4.0	4.0	4.1	4.0
Class 4	2.6	2.5	2.6	2.5

Legend: GS = General Schedule, N/A = not available.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: Average years in rank for promoted executives are not shown because we did not examine promotion above GS-15 or Class 1.

Appendix XIII: Full Promotion Regression Results

Tables 43, 44, 50, and 51 provide summaries of the multivariate statistical regression results (specifically, duration regression results) for our estimates of the percentage differences in odds of promotion for racial or ethnic minorities compared with whites and for women compared with men in the U.S. Agency for International Development's (USAID) Civil and Foreign Services. Our analyses do not completely explain the reasons for differences in promotion outcomes, which may result from various unobservable factors. Thus, our analyses do not establish a causal relationship between demographic characteristics and promotion outcomes.

These summary tables present estimates from six regression models, one of which, model 5, is also presented in the body of this report. All of the models controlled for the time employees spent in each rank—that is, in each General Schedule (GS) grade for the Civil Service or salary class for the Foreign Service—prior to promotion.

- Model 1a controlled only for racial or ethnic minority status when estimating the percentage differences in odds of promotion for racial or ethnic minorities compared with whites. Model 1b controlled only for gender when estimating the percentage difference in odds of promotion for women compared with men.
- Model 2 controlled for both racial or ethnic minority status and gender.
- Model 3 controlled for racial or ethnic minority status, gender, and the following additional individual control variables that may be positively or negatively related to promotion outcomes:
 - Having a hardship assignment in the prior year (Foreign Service only) and having proficiency in two or more languages other than English (Foreign Service only)
 - Years of federal government experience, age when entering USAID, veteran's status, changing between the Foreign and Civil Services, and having an overseas post in the prior year (Foreign Service only)
- Model 4 controlled for the same variables as model 3 and also controlled for occupation, because occupations may vary in their statistical relationship to promotion outcomes. That is, certain occupations may be either positively or negatively related to promotion outcomes.
- Model 5, presented in the body of the report, controlled for the same variables as model 4 as well as for fiscal year fixed effects (i.e., indicator variables representing the fiscal year), because available

promotion slots (and therefore promotion outcomes) may be affected by budget constraints that vary across fiscal years.

- Model 6 used data for fiscal years 2011 through 2018 only. In addition to controlling for the same variables as model 5, model 6 controlled for use of long-term leave in the prior year.¹

Tables 43 through 55 provide the regression results of these six models for all promotion stages that we analyzed in the Civil and Foreign Services. Tables 43, 44, 50, and 51 present the consolidated regression results for all six models and all promotion stages, presented as estimates of percentage differences. Tables 45 through 49 and tables 52 through 55 provide the full regression results of the first five models, presented as odds ratios. Odds ratios that are statistically significant and lower than 1.00 indicate that individuals with the given characteristic were less likely to be promoted. Odds ratios that are statistically significant and greater than 1.00 indicate that individuals with the given characteristic were more likely to be promoted. To convert the values in tables 45 through 49 and tables 52 through 55 to the values in tables 43, 44, 50, and 51, we linearly transformed the estimates. That is, the values for the estimates in tables 43, 44, 50, and 51 are equal to the values in tables 45 through 49 and in tables 52 through 55 multiplied by 100, minus 100. The values for the standard errors in tables 43, 44, 50, and 51 are equal to the values in tables 45 through 49 and in tables 52 through 55 multiplied by 100. For example, in table 45, the estimate for model 1a is 0.463; we arrived at the percentage difference of negative 54 percent in table 43 by $0.463 \times 100 - 100$. Additionally, in table 45, the estimate for the standard error for model 1a is (0.0624); we arrived at the converted standard error of (6) in table 43 by $(0.0624) \times 100$.

Table 43 summarizes the regression results for our estimates of the percentage differences in odds of promotion for racial or ethnic minorities compared with whites in the Civil Service. We observed that racial or ethnic minorities' lower odds of promotion from GS-11 through GS-14 were consistently statistically significant across all of our models examining combinations of factors that could influence promotion (i.e., models 1a through 5). In addition, our results were generally statistically significant when we examined the more recent time period fiscal years 2011 through 2018 (see model 6).

¹We considered an employee to have used long-term leave in the prior year when the employee had taken more than 2 weeks of consecutive leave more than twice in that year. Data on long-term leave was available only for fiscal years 2012 and later.

Appendix XIII: Full Promotion Regression Results

Table 43: Percentage Differences in Promotion Odds for Racial or Ethnic Minorities Compared with Whites in USAID’s Civil Service, Fiscal Years 2002-2018 and 2011-2018

Control variables	Percentage difference (standard error)				
	GS-11 to GS-12	GS-12 to GS-13	GS-13 to GS-14	GS-14 to GS-15	GS-15 to executive
Fiscal years 2002-2018					
Model 1a: Racial or ethnic minority status	-54*** (6)	-57*** (4)	-44*** (5)	-39*** (8)	7 (42)
Model 2: Racial or ethnic minority status and gender	-54*** (6)	-56*** (4)	-44*** (5)	-39*** (8)	5 (41)
Model 3: Racial or ethnic minority status, gender, and additional individual-level control variables	-36*** (10)	-41*** (6)	-38*** (6)	-34*** (9)	-19 (33)
Model 4: Racial or ethnic minority status, gender, additional individual-level control variables, and occupation	-46*** (9)	-39*** (7)	-35*** (7)	-32*** (10)	-16 (36)
Model 5: Racial or ethnic minority status, gender, additional individual-level control variables, and occupation (with fiscal year fixed effects)	-41*** (10)	-36*** (8)	-31*** (7)	-25* (11)	2 (46)
Fiscal years 2011-2018					
Model 6: Racial or ethnic minority status, gender, additional individual-level control variables, and occupation (with fiscal year fixed effects)	-46*** (13)	-33** (11)	-41*** (9)	-23 (16)	-9 (57)

Legend: GS = General Schedule, exec. = executive, *** = statistically significant at p-value < 0.01, * = statistically significant at p-value < 0.1.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: We conducted discrete-time duration analysis using logit models to analyze the time duration (number of years) before promotion from each GS grade shown. In all models, we controlled for the time that employees spent in each grade before promotion. Additional individual-level control variables include employees’ years of government service; age when entering USAID; veteran’s status; changing between the Civil and Foreign Services; and taking long term leave (Model 6 only). The overall baseline population for the duration analysis represents individuals who possessed none of the characteristics indicated by the list of control variables. These analyses do not completely explain why differences in odds of promotion exist. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes.

Table 44 summarizes the regression results for our estimates of the percentage difference in odds of promotion for women compared with men in the Civil Service. We observed that the statistical insignificance of our estimates was generally consistent across all of our models examining combinations of factors that could influence promotion (i.e., models 1b through 5). In addition, the statistical insignificance of our estimates was consistent for the more recent time period fiscal years 2011 through 2018 (see model 6).

Appendix XIII: Full Promotion Regression Results

Table 44: Percentage Differences in Promotion Odds for Women Compared with Men in USAID’s Civil Service, Fiscal Years 2002-2018 and 2011-2018

Control variables	Percentage difference (standard error)				
	GS-11 to GS-12	GS-12 to GS-13	GS-13 to GS-14	GS-14 to GS-15	GS-15 to executive
Fiscal years 2002-2018					
Model 1b: Gender	-12 (13)	-27*** (8)	-9 (9)	-1 (12)	16 (40)
Model 2: Gender and racial or ethnic minority	-6 (14)	-18* (9)	-1 (10)	4 (13)	15 (40)
Model 3: Gender, racial or ethnic minority, and additional individual-level control variables	21 (20)	-12 (10)	-15 (9)	-8 (12)	16 (44)
Model 4: Gender, racial or ethnic minority, additional individual-level control variables, and occupation	27 (21)	-17 (10)	-17* (9)	-14 (11)	8 (42)
Model 5: Gender, racial or ethnic minority, additional individual-level control variables, and occupation (with fiscal year fixed effects)	37* (24)	-19* (10)	-16 (9)	-6 (13)	29 (51)
Fiscal years 2011-2018					
Model 6: Gender, racial or ethnic minority, additional individual-level control variables, and occupation (with fiscal year fixed effects)	28 (30)	-10 (15)	-19 (12)	-20 (15)	-13 (50)

Legend: GS = General Schedule, exec. = executive, *** = statistically significant at p-value < 0.01, * = statistically significant at p-value < 0.1.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: We conducted discrete-time duration analysis using logit models to analyze the time duration (number of years) before promotion from each GS grade shown. In all models, we controlled for the time that employees spent in each grade before promotion. Additional individual-level control variables include employees’ years of government service; age when entering USAID; veteran’s status; changing between the Civil and Foreign Services; and taking long term leave (Model 6 only). The overall baseline population for the duration analysis represents individuals who possessed none of the characteristics indicated by the list of control variables. These analyses do not completely explain why differences in odds of promotion exist. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes.

Tables 45 through 49 present full regression results for models 1a through 5 for each rank in the Civil Service. The results are presented as odds ratios.

Appendix XIII: Full Promotion Regression Results

Table 45: Odds Ratios for Promotion from GS-11 to GS-12 in USAID’s Civil Service, Fiscal Years 2002-2018

Control variable	Odds ratio (standard error)					
	Model 1a	Model 1b	Model 2	Model 3	Model 4	Model 5
Woman	—	0.881	0.943	1.211	1.269	1.369*
	—	(0.127)	(0.139)	(0.198)	(0.210)	(0.237)
Racial or ethnic minority	0.463***	—	0.465***	0.643***	0.543***	0.586***
	(0.0624)	—	(0.0629)	(0.0950)	(0.0850)	(0.0972)
Veteran’s preference	—	—	—	0.872	0.962	1.016
	—	—	—	(0.200)	(0.229)	(0.255)
Age at entry	—	—	—	1.115**	1.124**	1.120**
	—	—	—	(0.0524)	(0.0538)	(0.0553)
Age at entry, squared	—	—	—	0.999**	0.998***	0.998**
	—	—	—	(0.000627)	(0.000640)	(0.000659)
Years of government service	—	—	—	0.932***	0.927***	0.909***
	—	—	—	(0.0197)	(0.0200)	(0.0211)
Years of government service, squared	—	—	—	1.000	1.001	1.001
	—	—	—	(0.000736)	(0.000744)	(0.000755)
Changed service	—	—	—	0.594	0.658	0.564
	—	—	—	(0.317)	(0.362)	(0.340)
Occupation						
Administrative officer	—	—	—	—	1.404	1.375
	—	—	—	—	(0.393)	(0.399)
Management program analysis	—	—	—	—	0.764	0.802
	—	—	—	—	(0.174)	(0.193)
Auditing	—	—	—	—	2.044	2.359
	—	—	—	—	(2.572)	(2.978)
Public health program specialist	—	—	—	—	1.226	2.393
	—	—	—	—	(1.043)	(2.707)
Contracting	—	—	—	—	1.750**	1.919***
	—	—	—	—	(0.393)	(0.459)
Information technology management	—	—	—	—	5.022	5.438
	—	—	—	—	(5.558)	(6.090)
Human resources management	—	—	—	—	1.899**	1.819*
	—	—	—	—	(0.568)	(0.559)
Accounting	—	—	—	—	1.987**	2.096**
	—	—	—	—	(0.662)	(0.728)

Appendix XIII: Full Promotion Regression Results

	Odds ratio (standard error)					
	Model 1a	Model 1b	Model 2	Model 3	Model 4	Model 5
Financial administration and program	—	—	—	—	1.681 (0.718)	1.723 (0.747)
Other	—	—	—	—	1.147 (0.228)	1.235 (0.262)
Duration controls	√	√	√	√	√	√
Fiscal year controls	—	—	—	—	—	√
Constant	14.64*** (5.832)	13.55*** (5.407)	15.16*** (6.191)	1.490 (1.395)	1.189 (1.142)	0.795 (0.802)
Observations	1,355	1,355	1,355	1,355	1,353	1,312

Legend: GS = General Schedule, — = not applicable, √ = controls applied, *** = statistically significant at p-value < 0.01, ** = statistically significant at p-value < 0.05, * = statistically significant at p-value < 0.1.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Note: Odds ratios that are statistically significant and lower than 1.00 indicate that individuals with the given characteristic are less likely to be promoted, while odds ratios that are statistically significant and greater than 1.00 indicate that individuals with that characteristic are more likely to be promoted. For example, the estimated odds ratio for racial or ethnic minority employees for promotion from GS-11 to GS-12 is 0.586 (model 5), which means that the odds of promotion for racial or ethnic minority employees are about 59 percent of the odds for white employees. We conducted discrete-time duration analysis using logit models to analyze the time duration (number of years) before promotion from each GS grade shown. In all models, we controlled for the time that employees spent in each grade before promotion. The overall baseline population for the duration analysis represents individuals who possessed none of the characteristics indicated by the list of control variables. These analyses do not completely explain why differences in odds of promotion exist. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes.

Table 46: Odds Ratios for Promotion from GS-12 to GS-13 in USAID’s Civil Service, Fiscal Years 2002-2018

Control variable	Odds ratio (standard error)					
	Model 1a	Model 1b	Model 2	Model 3	Model 4	Model 5
Woman	—	0.733***	0.825*	0.876 (0.103)	0.833 (0.100)	0.806* (0.102)
Racial or ethnic minority	0.429*** (0.0433)	—	0.439*** (0.0448)	0.592*** (0.0642)	0.611*** (0.0694)	0.640*** (0.0764)
Veteran’s preference	—	—	—	0.879 (0.150)	0.843 (0.149)	0.871 (0.163)
Age at entry	—	—	—	1.020 (0.0400)	1.022 (0.0410)	1.032 (0.0427)
Age at entry, squared	—	—	—	0.999 (0.000528)	0.999 (0.000540)	0.999 (0.000554)

Appendix XIII: Full Promotion Regression Results

Control variable	Odds ratio (standard error)					
	Model 1a	Model 1b	Model 2	Model 3	Model 4	Model 5
Years of government service	—	—	—	0.937*** (0.0170)	0.941*** (0.0174)	0.927*** (0.0184)
Years of government service, squared	—	—	—	1.000 (0.000678)	1.000 (0.000687)	1.000 (0.000703)
Changed service	—	—	—	0.422** (0.158)	0.367** (0.150)	0.368** (0.152)
Occupation						
Administrative officer	—	—	—	—	1.292 (0.300)	1.482 (0.355)
Management program analysis	—	—	—	—	1.460** (0.278)	1.569** (0.316)
Auditing	—	—	—	—	2.299 (3.283)	—
Public health program specialist	—	—	—	—	5.313*** (2.914)	4.029** (2.262)
Contracting	—	—	—	—	1.723*** (0.321)	1.574** (0.306)
Information technology management	—	—	—	—	0.781 (0.261)	0.878 (0.303)
Human resources management	—	—	—	—	1.106 (0.261)	1.089 (0.265)
Accounting	—	—	—	—	0.595** (0.141)	0.573** (0.142)
Financial administration and program	—	—	—	—	1.518 (0.482)	1.515 (0.500)
Other	—	—	—	—	1.519** (0.253)	1.481** (0.259)
Duration controls	√	√	√	√	√	√
Fiscal year controls	—	—	—	—	—	√
Constant	2.194*** (0.579)	2.050*** (0.548)	2.457*** (0.669)	2.315 (1.734)	1.564 (1.199)	0.648 (0.538)
Observations	2,350	2,350	2,350	2,350	2,350	2,230

Legend: GS = General Schedule, — = not applicable, √ = controls applied, *** = statistically significant at p-value < 0.01, ** = statistically significant at p-value < 0.05, * = statistically significant at p-value < 0.1.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Note: Odds ratios that are statistically significant and lower than 1.00 indicate that individuals with the given characteristic are less likely to be promoted, while odds ratios that are statistically significant and greater than 1.00 indicate that individuals with that characteristic are more likely to be promoted.

Appendix XIII: Full Promotion Regression Results

For example, the estimated odds ratio for racial or ethnic minority employees for promotion from GS-12 to GS-13 is 0.640 (model 5), which means that the odds of promotion for racial or ethnic minority employees are about 64 percent of the odds for white employees. We conducted discrete-time duration analysis using logit models to analyze the time duration (number of years) before promotion from each GS grade shown. In all models, we controlled for the time that employees spent in each grade before promotion. The overall baseline population for the duration analysis represents individuals who possessed none of the characteristics indicated by the list of control variables. These analyses do not completely explain why differences in odds of promotion exist. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes.

Table 47: Odds Ratios for Promotion from GS-13 to GS-14 in USAID’s Civil Service, Fiscal Years 2002-2018

Control variable	Odds ratio (standard error)					
	Model 1a	Model 1b	Model 2	Model 3	Model 4	Model 5
Woman	—	0.912	0.988	0.855	0.832*	0.838
	—	(0.0897)	(0.0986)	(0.0906)	(0.0900)	(0.0926)
Racial or ethnic minority	0.557***	—	0.558***	0.622***	0.654***	0.693***
	(0.0539)	—	(0.0544)	(0.0626)	(0.0685)	(0.0739)
Veteran’s preference	—	—	—	0.711**	0.718**	0.805
	—	—	—	(0.116)	(0.120)	(0.139)
Age at entry	—	—	—	1.021	1.028	1.034
	—	—	—	(0.0385)	(0.0395)	(0.0405)
Age at entry, squared	—	—	—	0.999	0.999	0.999
	—	—	—	(0.000507)	(0.000515)	(0.000528)
Years of government service	—	—	—	0.982	0.987	0.959**
	—	—	—	(0.0158)	(0.0165)	(0.0170)
Years of government, service squared	—	—	—	1.000	1.000	1.000
	—	—	—	(0.000575)	(0.000594)	(0.000603)
Changed service	—	—	—	1.080	1.018	1.087
Occupation						
Program management	—	—	—	—	3.877	3.015
	—	—	—	—	(5.518)	(4.311)
Administrative officer	—	—	—	—	0.865	1.013
	—	—	—	—	(0.235)	(0.281)
Management program analysis	—	—	—	—	1.215	1.273
	—	—	—	—	(0.206)	(0.221)
Auditing	—	—	—	—	0.216**	0.217**
	—	—	—	—	(0.159)	(0.160)
Public health program specialist	—	—	—	—	0.788	0.703
	—	—	—	—	(0.242)	(0.219)

Appendix XIII: Full Promotion Regression Results

Control variable	Odds ratio (standard error)					
	Model 1a	Model 1b	Model 2	Model 3	Model 4	Model 5
Contracting	—	—	—	—	0.873 (0.163)	0.944 (0.180)
Information technology management	—	—	—	—	0.580 (0.210)	0.612 (0.223)
Human resources management	—	—	—	—	0.671 (0.185)	0.755 (0.212)
Accounting	—	—	—	—	0.995 (0.277)	1.008 (0.284)
Financial administration and program	—	—	—	—	0.844 (0.263)	0.932 (0.295)
Other	—	—	—	—	0.865 (0.146)	0.858 (0.148)
Duration controls	√	√	√	√	√	√
Fiscal year controls	—	—	—	—	—	√
Constant	0.198*** (0.0621)	0.164*** (0.0520)	0.199*** (0.0636)	0.243* (0.183)	0.221* (0.172)	0.187** (0.154)
Observations	4,264	4,264	4,264	4,264	4,264	3,973

Legend: GS = General Schedule, — = not applicable, √ = controls applied, *** = statistically significant at p-value < 0.01, ** = statistically significant at p-value < 0.05, * = statistically significant at p-value < 0.1.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Note: Odds ratios that are statistically significant and lower than 1.00 indicate that individuals with the given characteristic are less likely to be promoted, while odds ratios that are statistically significant and greater than 1.00 indicate that individuals with that characteristic are more likely to be promoted. For example, the estimated odds ratio for racial or ethnic minority employees for promotion from GS-13 to GS-14 is 0.693 (model 5), which means that the odds of promotion for racial or ethnic minority employees are about 69 percent of the odds for white employees. We conducted discrete-time duration analysis using logit models to analyze the time duration (number of years) before promotion from each GS grade shown. In all models, we controlled for the time that employees spent in each grade before promotion. The overall baseline population for the duration analysis represents individuals who possessed none of the characteristics indicated by the list of control variables. These analyses do not completely explain why differences in odds of promotion exist. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes.

Appendix XIII: Full Promotion Regression Results

Table 48: Odds Ratios for Promotion from GS-14 to GS-15 in USAID’s Civil Service, Fiscal Years 2002-2018

Control variable	Odds ratio (standard error)					
	Model 1a	Model 1b	Model 2	Model 3	Model 4	Model 5
Woman	—	0.986	1.043	0.921	0.864	0.937
	—	(0.119)	(0.127)	(0.118)	(0.113)	(0.125)
Racial or ethnic minority	0.612***	—	0.609***	0.659***	0.685***	0.751*
	(0.0822)	—	(0.0823)	(0.0910)	(0.0988)	(0.111)
Veteran’s preference	—	—	—	0.634*	0.633*	0.722
	—	—	—	(0.150)	(0.151)	(0.175)
Age at entry	—	—	—	1.139**	1.145***	1.155***
	—	—	—	(0.0577)	(0.0584)	(0.0603)
Age at entry, squared	—	—	—	0.998***	0.998***	0.998***
	—	—	—	(0.000670)	(0.000673)	(0.000690)
Years of government service	—	—	—	1.018	1.024	0.987
	—	—	—	(0.0214)	(0.0221)	(0.0224)
Years of government service, squared	—	—	—	0.998**	0.998**	0.999*
	—	—	—	(0.000817)	(0.000839)	(0.000853)
Changed service	—	—	—	1.427	1.518*	1.976***
	—	—	—	(0.327)	(0.352)	(0.473)
Occupation						
Program management	—	—	—	—	2.065	1.797
	—	—	—	—	(1.609)	(1.437)
Administrative officer	—	—	—	—	1.157	1.401
	—	—	—	—	(0.497)	(0.612)
Management program analysis	—	—	—	—	1.235	1.267
	—	—	—	—	(0.236)	(0.246)
Auditing	—	—	—	—	1.224	1.411
	—	—	—	—	(1.302)	(1.511)
Public health program specialist	—	—	—	—	0.553	0.557
	—	—	—	—	(0.229)	(0.232)
Contracting	—	—	—	—	0.718	0.737
	—	—	—	—	(0.194)	(0.202)
Information technology management	—	—	—	—	0.473**	0.400**
	—	—	—	—	(0.172)	(0.146)
Human resources management	—	—	—	—	1.170	1.575
	—	—	—	—	(0.451)	(0.617)

Appendix XIII: Full Promotion Regression Results

Control variable	Odds ratio (standard error)					
	Model 1a	Model 1b	Model 2	Model 3	Model 4	Model 5
Accounting	—	—	—	—	0.375 (0.227)	0.379 (0.230)
Financial administration and program	—	—	—	—	0.856 (0.361)	1.009 (0.433)
Other	—	—	—	—	1.078 (0.193)	1.078 (0.197)
Duration controls	√	√	√	√	√	√
Fiscal year controls	—	—	—	—	—	√
Constant	0.0232*** (0.0103)	0.0202*** (0.00903)	0.0227*** (0.0102)	0.00362*** (0.00377)	0.00317*** (0.00336)	0.00526*** (0.00584)
Observations	5,642	5,642	5,642	5,642	5,642	5,202

Legend: GS = General Schedule, — = not applicable, √ = controls applied, *** = statistically significant at p-value < 0.01, ** = statistically significant at p-value < 0.05, * = statistically significant at p-value < 0.1.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Note: Odds ratios that are statistically significant and lower than 1.00 indicate that individuals with the given characteristic are less likely to be promoted, while odds ratios that are statistically significant and greater than 1.00 indicate that individuals with that characteristic are more likely to be promoted. For example, the estimated odds ratio for racial or ethnic minority employees for promotion from GS-14 to GS-15 is 0.751 (model 5), which means that the odds of promotion for racial or ethnic minority employees are about 75 percent of the odds for white employees. We conducted discrete-time duration analysis using logit models to analyze the time duration (number of years) before promotion from each GS grade shown. In all models, we controlled for the time that employees spent in each grade before promotion. The overall baseline population for the duration analysis represents individuals who possessed none of the characteristics indicated by the list of control variables. These analyses do not completely explain why differences in odds of promotion exist. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes.

Table 49: Odds Ratios for Promotion from GS-15 to Executive in USAID’s Civil Service, Fiscal Years 2002-2018

Control variable	Odds ratio (standard error)					
	Model 1a	Model 1b	Model 2	Model 3	Model 4	Model 5
Woman	—	1.157 (0.396)	1.150 (0.397)	1.162 (0.439)	1.082 (0.415)	1.290 (0.508)
Racial or ethnic minority	1.074 (0.418)	—	1.051 (0.413)	0.811 (0.332)	0.844 (0.360)	1.020 (0.455)
Veteran’s preference	—	—	—	4.827*** (2.417)	5.221*** (2.569)	6.051*** (3.095)
Age at entry	—	—	—	1.068 (0.147)	1.053 (0.141)	1.082 (0.148)

Appendix XIII: Full Promotion Regression Results

Control variable	Odds ratio (standard error)					
	Model 1a	Model 1b	Model 2	Model 3	Model 4	Model 5
Age at entry, squared	—	—	—	0.998 (0.00180)	0.999 (0.00173)	0.998 (0.00174)
Years of government service	—	—	—	1.120* (0.0751)	1.143* (0.0785)	1.054 (0.0768)
Years of government service, squared	—	—	—	0.995* (0.00256)	0.995** (0.00260)	0.996 (0.00261)
Changed service	—	—	—	1.693 (0.963)	1.860 (1.082)	2.149 (1.282)
Occupation						
Program management	—	—	—	—	0.586 (0.472)	0.629 (0.514)
Administrative officer	—	—	—	—	—	—
Management program analysis	—	—	—	—	0.830 (0.459)	0.874 (0.485)
Auditing	—	—	—	—	—	—
Public health program specialist	—	—	—	—	—	—
Contracting	—	—	—	—	0.947 (0.663)	0.855 (0.632)
Information technology management	—	—	—	—	0.248 (0.274)	0.219 (0.242)
Human resources management	—	—	—	—	1.712 (1.907)	2.195 (2.500)
Accounting	—	—	—	—	—	—
Financial administration and program	—	—	—	—	1.287 (1.431)	1.708 (1.964)
Other	—	—	—	—	0.944 (0.446)	0.854 (0.414)

Appendix XIII: Full Promotion Regression Results

Control variable	Odds ratio (standard error)					
	Model 1a	Model 1b	Model 2	Model 3	Model 4	Model 5
Duration controls	√	√	√	√	√	√
Fiscal year controls	—	—	—	—	—	√
Constant	0.00117*** (0.00181)	0.00110*** (0.00171)	0.00109*** (0.00170)	0.000580** (0.00178)	0.000754** (0.00229)	0.00114** (0.00361)
Observations	3,679	3,679	3,679	3,679	3,460	3,164

Legend: GS = General Schedule, — = not applicable, √ = controls applied, *** = statistically significant at p-value < 0.01, ** = statistically significant at p-value < 0.05, * = statistically significant at p-value < 0.1.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Note: Odds ratios that are statistically significant and lower than 1.00 indicate that individuals with the given characteristic are less likely to be promoted, while odds ratios that are statistically significant and greater than 1.00 indicate that individuals with that characteristic are more likely to be promoted. We conducted discrete-time duration analysis using logit models to analyze the time duration (number of years) before promotion from each GS grade shown. In all models, we controlled for the time that employees spent in each grade before promotion. The overall baseline population for the duration analysis represents individuals who possessed none of the characteristics indicated by the list of control variables. These analyses do not completely explain why differences in odds of promotion exist. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes.

Table 50 summarizes the regression results for our estimates of the percentage differences in odds of promotion for racial or ethnic minorities compared with whites in the Foreign Service. We found that racial or ethnic minorities had lower estimated odds of promotion than whites in early to mid career (Class 4 through Class 1), but these differences were generally not statistically significant. However, we observed statistically significantly lower odds of promotion for racial or ethnic minorities from Class 3 through Class 2. These results were consistently statistically significant across all of our models examining combinations of factors that could influence promotion (i.e., models 1a through 5).

Appendix XIII: Full Promotion Regression Results

Table 50: Percentage Differences in Promotion Odds for Racial or Ethnic Minorities Compared with Whites in USAID’s Foreign Service, Fiscal Years 2002-2018 and 2011-2018

Control variables	Percentage difference (standard error)			
	Class 4 to Class 3	Class 3 to Class 2	Class 2 to Class 1	Class 1 to executive
Fiscal years 2002-2018				
Model 1a: Racial or ethnic minority status	-14*	-25***	-16*	3
	(7)	(8)	(9)	(16)
Model 2: Racial or ethnic minority status and gender	-16**	-23**	-18*	3
	(7)	(8)	(9)	(16)
Model 3: Racial or ethnic minority status, gender, and additional individual-level control variables	-15*	-23**	-16	9
	(7)	(8)	(9)	(17)
Model 4: Racial or ethnic minority status, gender, additional individual-level control variables, and occupation	-18**	-25***	-17*	22
	(7)	(8)	(9)	(20)
Model 5: Racial or ethnic minority status, gender, additional individual-level control variables, and occupation (with fiscal year fixed effects)	-13	-22**	-14	32
	(8)	(9)	(10)	(23)
Model 6: Racial or ethnic minority status, gender, additional individual-level control variables, and occupation (with fiscal year fixed effects)	-10	-18	-7	—
	(11)	(12)	(15)	—

Legend: *** = statistically significant at p-value < 0.01, ** = statistically significant at p-value < 0.05, * = statistically significant at p-value < 0.1, — = not applicable.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: We conducted discrete-time duration analysis using logit models to analyze the time duration (number of years) before promotion from each salary class shown. In all models, we controlled for the time that employees spent in each salary class before promotion. Additional individual-level control variables include employees’ years of government service; age when entering USAID; veteran’s status; taking long-term leave (Model 6 only); changing between the Civil and Foreign Services; having a hardship assignment in the prior year; having an overseas post in the prior year; and proficiency in two or more languages other than English. The overall baseline population for the duration analysis represents individuals who possessed none of the characteristics indicated by the list of control variables. These analyses do not completely explain why differences in odds of promotion exist. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes.

Table 51 summarizes the regression results for our estimates of the percentage differences in odds of promotion for women compared with men in the Foreign Service. Before controlling for other individual factors, we found that women in the Foreign Service were statistically significantly less likely than men to be promoted from Class 3 to Class 2 (model 1b). When we also controlled for individual factors, occupation, and fiscal years, we found that women in the Foreign Service were statistically significantly more likely than men to be promoted from Class 4 to Class 3,

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including in the more recent period fiscal years 2011 through 2018 (see models 5 and 6).

Table 51: Percentage Differences in Promotion Odds for Women Compared with Men in USAID’s Foreign Service, Fiscal Years 2002-2018 and 2011-2018

Control variables	Percentage difference (standard error)			
	Class 4 to Class 3	Class 3 to Class 2	Class 2 to Class 1	Class 1 to executive
Fiscal years 2002-2018				
Model 1b: Gender	12 (8)	-17** (7)	10 (10)	-3 (12)
Model 2: Gender and racial or ethnic minority	14* (9)	-15* (7)	12 (10)	-4 (12)
Model 3: Gender, racial or ethnic minority, and additional individual-level control variables	13 (9)	-11 (8)	0 (9)	-3 (12)
Model 4: Gender, racial or ethnic minority, additional individual-level control variables, and occupation	13 (9)	-12 (8)	0 (9)	-5 (13)
Model 5: Gender, racial or ethnic minority, additional individual-level control variables, and occupation (with fiscal year fixed effects)	20** (11)	-10 (9)	0 (10)	-8 (13)
Fiscal years 2011-2018				
Model 6: Gender, racial or ethnic minority, additional individual-level control variables, and occupation (with fiscal year fixed effects)	25** (14)	-6 (12)	15 (17)	— —

Legend: *** = statistically significant at p-value < 0.01, ** = statistically significant at p-value < 0.05, * = statistically significant at p-value < 0.1, — = not applicable.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: We conducted discrete-time duration analysis using logit models to analyze the time duration (number of years) before promotion from each salary class shown. In all models, we controlled for the time that employees spent in each salary class before promotion. Additional individual-level control variables include employees’ years of government service; age when entering USAID; veteran’s status; taking long-term leave (Model 6 only); changing between the Civil and Foreign Services; having a hardship assignment in the prior year; having an overseas post in the prior year; and proficiency in two or more languages other than English. The overall baseline population for the duration analysis represents individuals who possessed none of the characteristics indicated by the list of control variables. These analyses do not completely explain why differences in odds of promotion exist. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes.

Tables 52 through 55 present full regression results for models 1a through 5 for each rank in the Foreign Service. The results are presented as odds ratios.

Appendix XIII: Full Promotion Regression Results

Table 52: Odds Ratios for Promotion from Class 4 to Class 3 in USAID’s Foreign Service, Fiscal Years 2002-2018

Control variable	Odds ratio (standard error)					
	Model 1a	Model 1b	Model 2	Model 3	Model 4	Model 5
Woman	—	1.121	1.142*	1.125	1.133	1.202**
	—	(0.0846)	(0.0869)	(0.0888)	(0.0939)	(0.106)
Racial or ethnic minority	0.857*	—	0.842**	0.848*	0.818**	0.867
	(0.0732)	—	(0.0725)	(0.0746)	(0.0733)	(0.0831)
Veteran’s preference	—	—	—	0.910	0.819	1.010
	—	—	—	(0.229)	(0.209)	(0.278)
Age at entry	—	—	—	0.985	0.989	0.987
	—	—	—	(0.0463)	(0.0467)	(0.0501)
Age at entry, squared	—	—	—	1.000	1.000	1.000
	—	—	—	(0.000598)	(0.000602)	(0.000645)
Years of government service	—	—	—	1.104***	1.104***	1.098***
	—	—	—	(0.0310)	(0.0312)	(0.0327)
Years of government service, squared	—	—	—	0.993***	0.993***	0.992***
	—	—	—	(0.00172)	(0.00174)	(0.00176)
Two or more languages	—	—	—	1.022	1.038	0.964
	—	—	—	(0.126)	(0.129)	(0.128)
Overseas in prior year	—	—	—	2.035***	2.018***	3.664***
	—	—	—	(0.182)	(0.182)	(0.442)
Hardship in prior year	—	—	—	1.062	1.062	1.093
	—	—	—	(0.107)	(0.108)	(0.123)
Changed service	—	—	—	1.259	1.240	1.758***
	—	—	—	(0.217)	(0.216)	(0.346)
Occupation						
Program management	—	—	—	—	2.041	1.725
	—	—	—	—	(3.089)	(3.039)
Administrative officer	—	—	—	—	1.338	1.557**
	—	—	—	—	(0.266)	(0.339)
Management program analysis	—	—	—	—	0.952	1.129
	—	—	—	—	(0.129)	(0.163)
Public health program specialist	—	—	—	—	1.010	0.979
	—	—	—	—	(0.151)	(0.157)
Contracting	—	—	—	—	0.935	1.190
	—	—	—	—	(0.151)	(0.209)

Appendix XIII: Full Promotion Regression Results

Control variable	Odds ratio (standard error)					
	Model 1a	Model 1b	Model 2	Model 3	Model 4	Model 5
General biological science	—	—	—	—	0.787 (0.124)	0.870 (0.147)
Financial management	—	—	—	—	1.592** (0.362)	1.391 (0.334)
General business & industry	—	—	—	—	0.793 (0.145)	0.821 (0.157)
Other	—	—	—	—	1.091 (0.169)	1.277 (0.212)
Duration controls	√	√	√	√	√	√
Fiscal year controls	—	—	—	—	—	√
Constant	0.00902*** (0.00379)	0.00819*** (0.00347)	0.00841*** (0.00356)	0.00894*** (0.00883)	0.00875*** (0.00869)	0.00818*** (0.00894)
Observations	3,678	3,678	3,678	3,678	3,678	3,520

Legend: — = not applicable, √ = controls applied, *** = statistically significant at p-value < 0.01, ** = statistically significant at p-value < 0.05, * = statistically significant at p-value < 0.1.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Note: Odds ratios that are statistically significant and lower than 1.00 indicate that individuals with the given characteristic are less likely to be promoted, while odds ratios that are statistically significant and greater than 1.00 indicate that individuals with that characteristic are more likely to be promoted. For example, the estimated odds ratio for women for promotion from Class 4 to Class 3 is 1.202 (model 5), which means that the odds of promotion for women are about 120 percent of the odds for men. We conducted discrete-time duration analysis using logit models to analyze the time duration (number of years) before promotion from each salary class shown. In all models, we controlled for the time that employees spent in each class before promotion. The overall baseline population for the duration analysis represents individuals who possessed none of the characteristics indicated by the list of control variables. These analyses do not completely explain why differences in odds of promotion exist. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes.

Table 53: Odds Ratios for Promotion from Class 3 to Class 2 in USAID’s Foreign Service, Fiscal Years 2002-2018

Control variable	Odds ratio (standard error)					
	Model 1a	Model 1b	Model 2	Model 3	Model 4	Model 5
Woman	—	0.831** (0.0722)	0.852* (0.0745)	0.894 (0.0817)	0.878 (0.0831)	0.899 (0.0911)
Racial or ethnic minority	0.752*** (0.0769)	—	0.767** (0.0790)	0.767** (0.0803)	0.748*** (0.0801)	0.785** (0.0895)
Veteran’s preference	—	—	—	0.628* (0.154)	0.596** (0.147)	0.777 (0.201)

Appendix XIII: Full Promotion Regression Results

Control variable	Odds ratio (standard error)					
	Model 1a	Model 1b	Model 2	Model 3	Model 4	Model 5
Age at entry	—	—	—	1.143**	1.152**	1.044
	—	—	—	(0.0679)	(0.0688)	(0.0650)
Age at entry, squared	—	—	—	0.998**	0.998**	0.999
	—	—	—	(0.000764)	(0.000769)	(0.000799)
Years of government service	—	—	—	1.129***	1.135***	0.996
	—	—	—	(0.0284)	(0.0289)	(0.0292)
Years of government service, squared	—	—	—	0.995***	0.995***	0.998
	—	—	—	(0.00140)	(0.00141)	(0.00148)
Two or more languages	—	—	—	1.077	1.078	0.855
	—	—	—	(0.109)	(0.110)	(0.0970)
Overseas in prior year	—	—	—	1.926***	1.969***	2.704***
	—	—	—	(0.260)	(0.268)	(0.430)
Hardship in prior year	—	—	—	0.964	0.958	1.200*
	—	—	—	(0.0868)	(0.0868)	(0.121)
Changed service	—	—	—	1.033	1.024	0.929
	—	—	—	(0.168)	(0.167)	(0.164)
Occupation						
Program management	—	—	—	—	2.641	2.499
	—	—	—	—	(3.278)	(3.189)
Administrative officer	—	—	—	—	1.362	1.699**
	—	—	—	—	(0.272)	(0.362)
Management program analysis	—	—	—	—	1.375**	1.253
	—	—	—	—	(0.185)	(0.182)
Public health program specialist	—	—	—	—	1.063	1.166
	—	—	—	—	(0.177)	(0.208)
Contracting	—	—	—	—	0.961	1.312
	—	—	—	—	(0.173)	(0.253)
General biological science	—	—	—	—	0.583**	0.947
	—	—	—	—	(0.126)	(0.221)
Financial management	—	—	—	—	1.534**	1.857***
	—	—	—	—	(0.295)	(0.386)
General business & industry	—	—	—	—	0.843	0.995
	—	—	—	—	(0.180)	(0.230)
Other	—	—	—	—	0.914	1.147
	—	—	—	—	(0.160)	(0.215)

Appendix XIII: Full Promotion Regression Results

Control variable	Odds ratio (standard error)					
	Model 1a	Model 1b	Model 2	Model 3	Model 4	Model 5
Duration controls	√	√	√	√	√	√
Fiscal year controls	—	—	—	—	—	√
Constant	0.000459*** (0.000257)	0.000467*** (0.000262)	0.000494*** (0.000277)	0.000022*** (0.000028)	0.000017*** (0.000022)	0.000417*** (0.000588)
Observations	5,739	5,739	5,739	5,739	5,739	5,119

Legend: — = not applicable, √ = controls applied, *** = statistically significant at p-value < 0.01, ** = statistically significant at p-value < 0.05, * = statistically significant at p-value < 0.1.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Note: Odds ratios that are statistically significant and lower than 1.00 indicate that individuals with the given characteristic are less likely to be promoted, while odds ratios that are statistically significant and greater than 1.00 indicate that individuals with that characteristic are more likely to be promoted. For example, the estimated odds ratio for racial or ethnic minority employees for promotion from Class 3 to Class 2 is 0.785 (model 5), which means that the odds of promotion for racial or ethnic minority employees are about 79 percent of the odds for white employees. We conducted discrete-time duration analysis using logit models to analyze the time duration (number of years) before promotion from each salary class shown. In all models, we controlled for the time that employees spent in each class before promotion. The overall baseline population for the duration analysis represents individuals who possessed none of the characteristics indicated by the list of control variables. These analyses do not completely explain why differences in odds of promotion exist. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes.

Table 54: Odds Ratios for Promotion from Class 2 to Class 1 in USAID’s Foreign Service, Fiscal Years 2002-2018

Control variable	Odds ratio (standard error)					
	Model 1a	Model 1b	Model 2	Model 3	Model 4	Model 5
Woman	—	1.095 (0.0951)	1.122 (0.0986)	0.997 (0.0922)	1.004 (0.0948)	1.003 (0.0970)
Racial or ethnic minority	0.837* (0.0890)	—	0.820* (0.0882)	0.842 (0.0922)	0.830* (0.0922)	0.863 (0.0979)
Veteran’s preference	—	—	—	1.224 (0.279)	1.182 (0.271)	1.406 (0.331)
Age at entry	—	—	—	1.137** (0.0659)	1.141** (0.0665)	1.076 (0.0642)
Age at entry, squared	—	—	—	0.998*** (0.000750)	0.998*** (0.000754)	0.998** (0.000772)
Years of government service	—	—	—	1.102*** (0.0191)	1.098*** (0.0193)	0.994 (0.0216)
Years of government service, squared	—	—	—	0.996*** (0.000815)	0.996*** (0.000821)	0.998* (0.000859)

Appendix XIII: Full Promotion Regression Results

Control variable	Odds ratio (standard error)					
	Model 1a	Model 1b	Model 2	Model 3	Model 4	Model 5
Two or more languages	—	—	—	1.417*** (0.135)	1.421*** (0.137)	1.290** (0.130)
Overseas in prior year	—	—	—	1.480*** (0.165)	1.437*** (0.164)	1.777*** (0.227)
Hardship in prior year	—	—	—	0.969 (0.0917)	0.958 (0.0912)	1.051 (0.106)
Changed service	—	—	—	1.013 (0.141)	1.019 (0.144)	1.158 (0.172)
Occupation						
Program management	—	—	—	—	2.343 (1.409)	5.231** (3.636)
Administrative officer	—	—	—	—	1.181 (0.241)	1.203 (0.249)
Management program analysis	—	—	—	—	1.122 (0.152)	1.160 (0.161)
Public health program specialist	—	—	—	—	1.111 (0.200)	1.090 (0.202)
Contracting	—	—	—	—	1.050 (0.197)	1.280 (0.247)
General biological science	—	—	—	—	0.921 (0.193)	1.011 (0.216)
Financial management	—	—	—	—	1.560** (0.274)	1.491** (0.268)
General business & industry	—	—	—	—	0.966 (0.229)	1.003 (0.242)
General attorney	—	—	—	—	0.893 (0.160)	0.705* (0.132)
Other	—	—	—	—	0.683** (0.130)	0.710* (0.137)
Duration controls	√	√	√	√	√	√
Fiscal year controls	—	—	—	—	—	√
Constant	0.0121*** (0.00419)	0.0113*** (0.00393)	0.0117*** (0.00404)	0.00166*** (0.00192)	0.00145*** (0.00168)	0.0105*** (0.0128)
Observations	5,485	5,485	5,485	5,485	5,485	5,091

Legend: — = not applicable, √ = controls applied, *** = statistically significant at p-value < 0.01, ** = statistically significant at p-value < 0.05, * = statistically significant at p-value < 0.1.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Appendix XIII: Full Promotion Regression Results

Note: Odds ratios that are statistically significant and lower than 1.00 indicate that individuals with the given characteristic are less likely to be promoted, while odds ratios that are statistically significant and greater than 1.00 indicate that individuals with that characteristic are more likely to be promoted. We conducted discrete-time duration analysis using logit models to analyze the time duration (number of years) before promotion from each salary class shown. In all models, we controlled for the time that employees spent in each class before promotion. The overall baseline population for the duration analysis represents individuals who possessed none of the characteristics indicated by the list of control variables. These analyses do not completely explain why differences in odds of promotion exist. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes.

Table 55: Odds Ratios for Promotion from Class 1 to Executive in USAID’s Foreign Service, Fiscal Years 2002-2018

Control variable	Odds ratio (standard error)					
	Model 1a	Model 1b	Model 2	Model 3	Model 4	Model 5
Woman	—	0.966	0.963	0.966	0.951	0.923
	—	(0.117)	(0.117)	(0.124)	(0.127)	(0.127)
Racial or ethnic minority	1.028	—	1.034	1.089	1.220	1.321
	(0.160)	—	(0.162)	(0.173)	(0.202)	(0.226)
Veteran’s preference	—	—	—	1.092	0.758	0.886
	—	—	—	(0.316)	(0.233)	(0.275)
Age at entry	—	—	—	0.818***	0.778***	0.783***
	—	—	—	(0.0613)	(0.0577)	(0.0612)
Age at entry, squared	—	—	—	1.002**	1.003***	1.003**
	—	—	—	(0.00104)	(0.00101)	(0.00106)
Years of government service	—	—	—	1.061**	1.072***	1.009
	—	—	—	(0.0260)	(0.0280)	(0.0349)
Years of government service, squared	—	—	—	0.999	0.999	0.999
	—	—	—	(0.000948)	(0.00101)	(0.00114)
Two or more languages	—	—	—	0.954	0.996	0.918
	—	—	—	(0.125)	(0.137)	(0.130)
Overseas in prior year	—	—	—	1.612***	1.650***	2.037***
	—	—	—	(0.236)	(0.252)	(0.344)
Hardship in prior year	—	—	—	1.062	1.114	1.350**
	—	—	—	(0.139)	(0.154)	(0.200)
Changed service	—	—	—	0.546*	0.654	0.827
	—	—	—	(0.182)	(0.223)	(0.306)
Occupation						
Program management	—	—	—	—	4.998***	3.924***
	—	—	—	—	(1.128)	(0.907)

Appendix XIII: Full Promotion Regression Results

Control variable	Odds ratio (standard error)					
	Model 1a	Model 1b	Model 2	Model 3	Model 4	Model 5
Administrative officer	—	—	—	—	0.884 (0.326)	0.854 (0.321)
Management program analysis	—	—	—	—	0.586* (0.185)	0.514** (0.165)
Public health program specialist	—	—	—	—	0.901 (0.398)	0.836 (0.377)
Contracting	—	—	—	—	1.035 (0.418)	0.992 (0.413)
General biological science	—	—	—	—	1.168 (0.551)	1.139 (0.552)
Financial management	—	—	—	—	0.826 (0.268)	0.678 (0.225)
General business & industry	—	—	—	—	0.255* (0.189)	0.193** (0.145)
General attorney	—	—	—	—	1.156 (0.451)	0.882 (0.354)
Other	—	—	—	—	0.772 (0.290)	0.748 (0.284)
Duration controls	√	√	√	√	√	√
Fiscal year controls	—	—	—	—	—	√
Constant	0.00502*** (0.00303)	0.00513*** (0.00310)	0.00510*** (0.00308)	0.211 (0.312)	0.547 (0.813)	0.00422** (0.0100)
Observations	4,819	4,819	4,819	4,819	4,819	4,505

Legend: — = not applicable, √ = controls applied, *** = statistically significant at p-value < 0.01, ** = statistically significant at p-value < 0.05, * = statistically significant at p-value < 0.1.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Note: Odds ratios that are statistically significant and lower than 1.00 indicate that individuals with the given characteristic are less likely to be promoted, while odds ratios that are statistically significant and greater than 1.00 indicate that individuals with that characteristic are more likely to be promoted. We conducted discrete-time duration analysis using logit models to analyze the time duration (number of years) before promotion from each salary class shown. In all models, we controlled for the time that employees spent in each class before promotion. The overall baseline population for the duration analysis represents individuals who possessed none of the characteristics indicated by the list of control variables. These analyses do not completely explain why differences in odds of promotion exist. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes.

Appendix XIV: Promotion Regression Results for Various Racial or Ethnic Groups

Tables 56 and 57 summarize the multivariate statistical regression results (specifically, duration regression results) for our estimates of the percentage differences in odds of promotion for two groupings of racial or ethnic minorities in the U.S. Agency for International Development's (USAID) Civil and Foreign Services.¹

- We examined odds of promotion for African Americans and non-African American racial or ethnic minorities compared with whites.
- We examined odds of promotion for the individual racial or ethnic groups—African Americans, Hispanics, Asians, and other racial or ethnic minorities—compared with whites.

Our analyses do not completely explain the reasons for differences in promotion outcomes, which may result from various unobservable factors. Thus, our analyses do not establish a causal relationship between demographic characteristics and promotion outcomes.

In addition to presenting the estimates for the two groupings of racial or ethnic minorities, tables 56 and 57 present estimates from three of the regression models we used for our adjusted analysis of promotion outcomes. All models controlled for the time that employees spent in each grade prior to promotion.

- The first model controlled only for gender and the racial or ethnic minority variables relevant for the grouping of racial or ethnic minorities.
 - For the first grouping, the model controlled for whether the employee was African American or a non-African American racial or ethnic minority.
 - For the second grouping, the model controlled for whether the employee was African American, Hispanic, Asian, or another racial or ethnic minority.
- The second model controlled for the same racial or ethnic minority variables as the first model and also controlled for gender and the following additional variables:
 - Years of federal government experience
 - Age when entering USAID

¹The estimated odds of promotion for African Americans compared with whites were similar for both groupings but are shown only once in tables 55 and 56.

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for Various Racial or Ethnic Groups**

- Veteran's status
 - Transferring between the Foreign and Civil Services
 - Having a hardship assignment in the prior year (Foreign Service only)
 - Having an overseas post in the prior year (Foreign Service only)
 - Proficiency in two or more languages other than English (Foreign Service only)
 - Occupation
 - Fiscal year fixed effects (indicator variables representing the fiscal year)
- The third model, which was limited to fiscal years 2011 through 2018, controlled for the same variables as the second model and also controlled for use of long-term leave in the previous year.

Table 56 summarizes the regression results for our estimates of the percentage differences in odds of promotion for the two groupings of racial or ethnic minorities compared with whites in the Civil Service.

- For the first grouping, we found statistically significantly lower odds of promotion from GS-11 through GS-15 for African Americans than for whites in fiscal years 2002 through 2018 (model 2).² The odds of promotion from GS-12 to GS-13 were also statistically significantly lower for non-African American racial or ethnic minorities during the same period.
- For the second grouping, we found statistically significantly lower odds of promotion from GS-12 to GS-13 for Asians than for whites in fiscal years 2002 through 2018.

²The lower odds of promotion for African Americans compared with whites in the Civil Service were also statistically significant in the more recent period fiscal years 2011 through 2018 (model 3).

**Appendix XIV: Promotion Regression Results
for Various Racial or Ethnic Groups**

Table 56: Percentage Differences in Odds of Promotion for Groupings of Racial or Ethnic Minorities Compared with Whites in USAID's Civil Service, Fiscal Years 2002-2018 and 2011-2018

	GS-11 to GS-12	GS-12 to GS-13	GS-13 to GS-14	GS-14 to GS-15	GS-15 to executive
Model 1: Estimate for racial or ethnic minorities compared with whites, controlling for gender, for fiscal years 2002-2018					
<i>African American and non-African American racial or ethnic minorities compared with whites</i>					
African American	-61*** (6)	-59*** (5)	-50*** (5)	-51*** (8)	30 (60)
Non-African American racial or ethnic minority (Hispanic, Asian, or other racial or ethnic minority)	-22 (16)	-48*** (8)	-24* (12)	-16 (16)	-24 (47)
<i>African American, Hispanic, Asian, and other racial or ethnic minorities compared with whites</i>					
Asian	-17 (23)	-48*** (10)	-14 (18)	-6 (23)	35 (83)
Hispanic	-31 (20)	-43*** (12)	-22 (18)	-28 (23)	— —
Other racial or ethnic minority	-17 (35)	-60** (14)	-55* (20)	-27 (44)	— —
Model 2: Estimate for racial or ethnic minorities compared with whites, controlling for gender, additional individual-level control variables, and occupation (with fiscal year fixed effects), for fiscal years 2002-2018					
<i>African American and non-African American racial or ethnic minorities compared with whites</i>					
African American	-48*** (9)	-36*** (8)	-37*** (8)	-35** (12)	19 (65)
Non-African American racial or ethnic minority (Hispanic, Asian, or other racial or ethnic minority)	-26 (17)	-37*** (11)	-13 (14)	-9 (18)	-17 (53)
<i>African American, Hispanic, Asian, and other racial or ethnic minorities compared with whites</i>					
Asian	-27 (22)	-43** (13)	-12 (19)	-4 (24)	25 (83)
Hispanic	-36 (21)	-28 (17)	-7 (22)	-20 (26)	— —
Other racial or ethnic minority	6 (49)	-38 (25)	-32 (30)	3 (64)	— —
Model 3: Estimate for racial or ethnic minorities compared with whites, controlling for gender, additional individual-level control variables, and occupation (with fiscal year fixed effects), for fiscal years 2011-2018					
<i>African American and non-African American racial or ethnic minorities compared with whites</i>					
African American	-62*** (10)	-35** (12)	-49*** (9)	-37* (17)	46 (108)
Non-African American racial or ethnic minority (Hispanic, Asian, or other racial or ethnic minority)	-9 (28)	-30 (16)	-21 (17)	-5 (24)	-54 (49)
<i>African American, Hispanic, Asian, and other racial or ethnic minorities compared with whites</i>					

**Appendix XIV: Promotion Regression Results
for Various Racial or Ethnic Groups**

	GS-11 to GS-12	GS-12 to GS-13	GS-13 to GS-14	GS-14 to GS-15	GS-15 to executive
Asian	6 (46)	-22 (24)	-24 (24)	-9 (31)	-32 (74)
Hispanic	-49 (22)	-30 (22)	-2 (31)	2 (38)	— —
Other racial or ethnic minority	151 (198)	-47 (27)	-57 (26)	-11 (68)	— —

Legend: GS = General Schedule, *** statistically significant at p-value < 0.01, ** statistically significant at p-value < 0.05, * statistically significant at p-value < 0.1, — = not applicable.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: We conducted discrete-time duration analysis using logit models to analyze time duration (number of years) before promotion from each GS level shown. For each model, we considered two groupings of racial or ethnic minorities. For the first grouping, we examined odds of promotion for African Americans and non-African American racial or ethnic minorities relative to whites. For the second grouping, we examined odds of promotion for African Americans, Hispanics, Asians, and other racial or ethnic minorities relative to whites. In all models, we controlled for the time that employees spent in each grade before promotion. In models 2 and 3, we also controlled for additional individual-level variables, including years of government service; age when entering USAID; veteran's status; taking long-term leave (model 3 only); and transferring between the Foreign and Civil Services. The overall baseline population for the duration analysis comprises individuals who possessed none of the characteristics indicated by the control variables. Our analyses do not completely explain why differences in odds of promotion exist. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes. Standard errors are shown in parentheses.

Table 57 presents the summary of the regression results for our estimates of the percentage differences in odds of promotion for the two groupings of racial or ethnic minorities compared with whites in the Foreign Service.

- For the first grouping, we found statistically significantly lower odds of promotion from Class 4 to Class 3 for African Americans than for whites in fiscal years 2002 through 2018 (model 2).³
- For the second grouping, we found statistically significantly lower odds of promotion from Class 3 to Class 2 for members of the “Other”

³The lower odds of promotion from Class 4 to Class 3 for African Americans compared with whites in the Foreign Service were not statistically significant in the more recent period fiscal years 2011 through 2018 (model 3).

**Appendix XIV: Promotion Regression Results
for Various Racial or Ethnic Groups**

racial or ethnic minority group than for whites in fiscal years 2011 through 2018 (model 3).⁴

Table 57: Percentage Differences in Odds of Promotion for Groupings of Racial or Ethnic Minorities Compared with Whites in USAID’s Foreign Service, Fiscal Years 2002-2018 and 2011-2018

	Class 4 to Class 3	Class 3 to Class 2	Class 2 to Class 1	Class 1 to executive
Model 1: Estimates for racial or ethnic minorities compared with whites, controlling for gender, for fiscal years 2002-2018				
<i>African American and non-African American racial or ethnic minorities compared with whites</i>				
African American	-35*** (8)	-16 (12)	-13 (12)	10 (22)
Non-African American racial or ethnic minority (Hispanic, Asian, or other racial or ethnic minority)	1 (11)	-29** (9)	-22* (11)	-4 (21)
<i>African American, Hispanic, Asian, and other racial or ethnic minorities compared with whites</i>				
Asian	-3 (14)	-40** (12)	-27 (16)	13 (33)
Hispanic	17 (19)	-14 (16)	-20 (17)	-13 (33)
Other racial or ethnic minority	-25 (20)	-33 (23)	-14 (35)	-33 (41)
Model 2: Estimates for racial or ethnic minorities compared with whites, controlling for gender, additional individual-level variables, and occupation (with fiscal year fixed effects), for fiscal years 2002-2018				
<i>African American and non-African American racial or ethnic minorities compared with whites</i>				
African American	-27** (10)	-21 (12)	-13 (13)	24 (28)
Non-African American racial or ethnic minority (Hispanic, Asian, or other racial or ethnic minority)	-3 (11)	-22* (11)	-14 (13)	43 (34)
<i>African American, Hispanic, Asian, and other racial or ethnic minorities compared with whites</i>				
Asian	-7 (15)	-22 (17)	-9 (20)	45 (46)
Hispanic	21 (21)	-8 (19)	-19 (18)	43 (59)

⁴The lower odds of promotion from Class 3 to Class 2 for the “other” racial or ethnic minority group compared with whites in the Foreign Service were not statistically significant in fiscal years 2002 through 2018 (model 2).

**Appendix XIV: Promotion Regression Results
for Various Racial or Ethnic Groups**

Other racial or ethnic minority	-40*	-51*	-15	33
	(18)	(18)	(38)	(86)

Model 3: Estimates for racial or ethnic minorities compared with whites, controlling for gender, additional individual-level variables, and occupation (with fiscal year fixed effects), for fiscal years 2011-2018

African American and non-African American racial or ethnic minorities compared with whites

African American	-20	-34*	-10	—
	(14)	(14)	(21)	—
Non-African American racial or ethnic minority (Hispanic, Asian, or other racial or ethnic minority)	-4	-2	-5	—
	(13)	(18)	(19)	—

African American, Hispanic, Asian, and other racial or ethnic minorities compared with whites

Asian	-2	14	-28	—
	(18)	(28)	(22)	—
Hispanic	13	26	20	—
	(25)	(35)	(34)	—
Other racial or ethnic minority	-45	-74**	12	—
	(21)	(16)	(58)	—

Legend: *** statistically significant at p-value < 0.01, ** statistically significant at p-value < 0.05, * statistically significant at p-value < 0.1, — = not applicable.

Source: GAO analysis of U.S. Agency for International Development (USAID) data. | GAO-20-477

Notes: We conducted discrete-time duration analysis using logit models to analyze time duration (number of years) before promotion from each salary class shown. For each model, we considered two groupings of racial or ethnic minorities. For the first grouping, we examined odds of promotion for African Americans and non-African American racial or ethnic minorities relative to whites. For the second grouping, we examined odds of promotion for African Americans, Hispanics, Asians, and other racial or ethnic minorities relative to whites. In all models, we controlled for the time that employees spent in each grade before promotion. In models 2 and 3 we also controlled for additional individual-level variables, including years of government service; age when entering USAID; veteran's status; taking long-term leave (model 3 only); transferring between the Foreign and Civil Services; having a hardship assignment in the prior year; having an overseas post in the prior year; and having proficiency in two or more languages other than English. The overall baseline population for the duration analysis comprises individuals who possessed none of the characteristics indicated by the control variables. Our analyses do not completely explain why differences in odds of promotion exist. While various independent variables capture and control for many characteristics across demographic groups, unobservable factors may account for differences in odds of promotion; thus, our regression results do not establish a causal relationship between demographic characteristics and promotion outcomes. Standard errors are shown in parentheses.

Appendix XV: Comments from the U.S. Agency of International Development



Thomas Melito
Managing Director, International Affairs and Trade
U.S. Government Accountability Office (GAO)
441 G Street, N.W.
Washington, D.C. 20226

Re: Diversity in the U.S. Agency for International Development's Foreign and Civil Service Workforce GAO-20-477 (Engagement Code 103074)

Dear Mr. Melito:

I am pleased to provide the formal response of the U.S. Agency for International Development (USAID) to the draft report produced by the U.S. Government Accountability Office (GAO) titled, *Mixed Progress in Increasing Diversity, and Actions Needed to Consistently Meet Equal Employment Opportunity (EEO) Requirements* (GAO-20-477, Engagement Code 103074). The Agency thanks the GAO for the detailed and comprehensive report and concurs with its recommendations.

We are proud that USAID's workforce has become more diverse over time, as GAO-20-477 found. The overall proportion of racial or ethnic minorities in USAID's full-time, permanent, career workforce increased from 33 to 37 percent from Fiscal Year (FY) 2002 to FY 2018. During this period, the overall proportion of women employed by USAID increased from 51 to 54 percent, which reflects their growing presence in our Foreign Service.

USAID renews our commitment annually to maintaining a model EEO Program and the principles of diversity and inclusion through the issuance of a Policy Statement on EEO, Harassment, and Retaliation. We have demonstrated this commitment through significant actions, including the following:

- Increasing human and budgetary resources for the Office of Civil Rights and Diversity (OCRD) across all programs (*i.e.*, EEO and Harassment Complaints, Reasonable Accommodations, and Diversity and Inclusion, including Affirmative Employment);
- Reducing the average number of days to complete final actions on EEO complaints by 59 percent in FY 2019. The average number of days a complaint was under investigation in FY 2019 was the lowest in five Fiscal Years;
- Undertaking a full revision of Chapter 110 of the Agency's Automated Directives System (ADS), Equal Employment Opportunity; updating ADS Chapter 111, Reasonable

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Accommodation, to ensure it complies with new EEOC requirements regarding Personal Assistance Services; and drafting two new ADS chapters: Anti-Harassment Program and Preventing and Addressing Sexual Misconduct, which USAID will publish this year;

- Engaging a wide range of stakeholders, with a focus on our employees, to update the Agency's *Strategic Plan for Diversity and Inclusion*, which we expect to release soon; and
- Initiating a robust, cross-Agency effort led by OCRD to analyze our workforce data, conduct analyses of barriers, and develop action plans to expand and ensure EEO.

Acting Administrator John Barsa reiterated USAID's dedication to diversity and inclusion in a recent message to all staff. He wrote, "We don't tolerate any form of discrimination or prejudice in our ranks and we don't tolerate it in our work overseas....And in our work overseas, on a daily basis, in whatever country we may find ourselves, we know that the world is not always the way it should be. We may be frustrated, but still we roll up our sleeves and try to make a difference. We reach out and work with those who suffer under injustice. We work with those who face intolerance. We teach and inspire individuals to have hope for a better future in their countries and societies. We preach inclusion. We preach respect." We believe the improvements outlined above and in the attached document underscore that we are putting the Acting Administrator's words into practice.

I am transmitting this letter and the enclosed comments from USAID for inclusion in the GAO's final report. Thank you for the opportunity to respond to the draft report, and for the courtesies extended by your staff while conducting this engagement. We appreciate the opportunity to participate in the complete and thorough evaluation of the demographic composition of USAID's workforce, the impact of Agency-wide diversity initiatives and plans on the demographic composition of our workforce, and the differences in hiring, promotion, and attrition across USAID's various groups.

Sincerely,

Frederick M. Nutt
06/10/2020

Frederick Nutt
Assistant Administrator
Bureau for Management

Enclosure: a/s

**COMMENTS BY THE U.S. AGENCY FOR INTERNATIONAL DEVELOPMENT ON
THE DRAFT REPORT PRODUCED BY THE U.S. GOVERNMENT ACCOUNTABILITY
OFFICE (GAO) TITLED, MIXED PROGRESS IN INCREASING DIVERSITY, AND
ACTIONS NEEDED TO CONSISTENTLY MEET EEO REQUIREMENTS (GAO-20-477)**

The U.S. Agency for International Development (USAID) would like to thank the U.S. Government Accountability Office (GAO) for the opportunity to respond to this draft report. We appreciate the extensive work of the GAO's engagement team, and the recommendations and the specific findings that will help USAID achieve greater effectiveness in increasing the diversity of our workforce and meeting standards for Equal Employment Opportunity (EEO).

Recommendation 1: The USAID Administrator should ensure that the Office of Civil Rights and Diversity (OCRD) consistently responds to equal employment opportunity (EEO) complaints in a timely manner.

Response: USAID concurs. We have implemented a number of changes in OCRD to ensure that it consistently responds to EEO complaints in a timely manner. Through the leadership of the Acting Director of OCRD, the Agency has doubled the allocation of staff to the Office over the past year, including a significant increase in the Division of Complaints and Resolution (CR), which is responsible for processing EEO complaints, administering the Agency's Anti-Harassment and Alternative Dispute-Resolution Program, and managing the Agency's EEO counselors. During Fiscal Year (FY) 2020, OCRD has hired a new Chief of the CR Division and three additional staff members, which brings the Division's current level of onboard full-time-equivalent (FTE) employees to six. OCRD has made two additional selections, who are undergoing the security-clearance process as of June 1, 2020.

OCRD's CR Division has implemented robust procedures to reduce and eliminate a backlog of cases. These changes have helped OCRD deploy contractors more effectively to conduct certain steps of the EEO-complaint process, while the Division staff handles other aspects of the cases. Even though the challenges presented by the COVID-19 pandemic have slowed down the processing of complaints, thus far in FY 2020, OCRD has been 100 percent on time in providing EEO counseling to aggrieved individuals, completing EEO investigations, and issuing Final Agency Decisions. This is a significant improvement from prior years, as noted in GAO-20-477.

In addition to these efforts, the staff of the CR Division reviewed and updated the EEO complaint data in iComplaints, USAID's case-management system for EEO complaints, to track and analyze them effectively. The Division's effective and efficient use of iComplaints has enhanced OCRD's ability to manage the EEO-complaint process, generate reports, and conduct analysis on past and current cases to identify potential trends in workplace discrimination and harassment issues and barriers to employment. Additionally, the Division established internal metrics and performance-tracking mechanisms to hold staff accountable for the processing of complaints in a timely manner.

As a result, in FY 2019, the Agency reduced the average number of days to complete final actions on EEO complaints by 59 percent. The average number of days a complaint was under investigation in FY 2019 was the lowest in five Fiscal Years.

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International Development**

For FY 2019, OCRD has submitted [USAID's Annual Federal EEO Statistical Report of Discrimination Complaints \(EEO Commission Form 462\)](#) and the required [report](#) on our compliance with the No FEAR Act. We are on track to submit on time the annual report mandated by EEO Commission (EEOC) Management Directive (MD) 715 for FY 2019, which is due to the EEOC by June 30, 2020. OCRD is also posting quarterly data on complaints on USAID's [website](#), pursuant to the No FEAR Act. These reports have offered more visibility to senior leadership on the state of the Agency, and to the American public regarding the ongoing efforts of the Agency's EEO Program. OCRD will continue to monitor the flow of complaints closely throughout the year and ensure we are processing them in a timely manner. OCRD's Acting Director will also continue to meet with USAID's senior management regularly to provide and discuss information regarding our EEO Program. In July 2020, OCRD's Acting Director will provide a "State of the Agency" briefing to USAID's Executive Diversity Council, co-chaired by the Deputy Administrator and composed of senior Agency leaders, after the submission of our MD-715 report for FY 2019.

Target Date: August 31, 2020

Recommendation 2: The USAID Administrator should ensure that OCRD consistently analyzes USAID workforce demographic data for trends and potential barriers to equal employment opportunity.

Response: USAID concurs. The Agency is in the process of establishing an Affirmative Employment Program (AEP) in OCRD with three U.S. Direct-Hire employees paid for by Operating Expenses (OE). The AEP's functions will include analyzing, evaluating, and reporting on our workforce data and personnel policies, procedures, and practices; preparing and submitting our annual MD-715 Report; and developing and monitoring action plans. Currently, OCRD has filled two of the three positions in the AEP, and is recruiting the third position (Data Analyst). To ensure the Agency met the reporting requirements for our EEO Program for FY 2019, while OCRD worked to establish it, the Office retained the services of technical and advisory support contractors to assist with the preparation and submission of the MD-715 Report for FY 2019. In FY 2020 and succeeding years, OCRD's AEP staff will lead the development of the Agency's MD-715 Reports and the regular analysis of our workforce demographics and potential barriers to EEO. The AEP will collaborate with USAID's Office of Human Capital and Talent Management (HCTM) and other relevant internal and external stakeholders to identify, collect, organize, and analyze the robust range of our workforce data, including for hiring mechanisms not included in USAID's MD-715 Report, such as U.S. Personal Services Contractors. HCTM also will include key findings and next steps in the revision of the Agency's *Strategic Workforce Plan*, expected in November 2020. OCRD will continue to lead the cross-Agency effort to collect and analyze workforce data, identify triggers, conduct analyses of barriers, and identify and develop action plans to achieve the goals of the Agency's *Strategic Plan for Diversity and Inclusion*, which is under development.

Target Date: November 30, 2020

Recommendation 3: The USAID Administrator should ensure that OCRD submits required MD-715 reports to EEOC in a timely manner.

Response: USAID concurs. The Agency is on track to submit our MD-715 Report for FY 2019 on time, which is due to the EEOC by June 30, 2020. With support from a contractor, OCRD undertook a robust effort to complete the report. Of note, now that the Agency has sufficiently staffed OCRD, including through the creation of an Affirmative Employment Program (AEP) and other critical positions, the Agency will be in a better position not only to submit this annual required report to the EEOC, but also to do so in a more responsive way. With sufficient staff, the Agency will now be able to conduct broad and deep analyses of our workforce data and undertake critical efforts to identify triggers; analyze barriers to EEO in our personnel policies, practices, and processes; develop action plans to reduce these barriers; and monitor the Agency's performance to achieve greater EEO.

Target Date: July 30, 2020

Recommendation 4: The USAID Administrator should demonstrate senior leadership attention to diversity by ensuring that OCRD has the capacity to perform required equal employment opportunity functions.

Response: USAID concurs. Former Administrator Mark Green, Acting Administrator John Barsa, and Deputy Administrator Bonnie Glick have demonstrated significant leadership attention to all aspects of the Agency's EEO Program, including to diversity, by providing sufficient resources to OCRD and HCTM to enable the Offices to operate more effectively. The Agency increased OCRD's operating budget from less than \$400,000 in FY 2017 to nearly \$3 million in FY 2019, while doubling the Office's allocation of staff from 13 to 26 in the same time period. In addition, OCRD's Acting Director has a regular platform with USAID's senior management to discuss EEO matters, should OCRD have additional needs or seek additional resources in the future. The Agency's senior leadership thus continues to demonstrate attention to diversity matters by providing sufficient human and budgetary resources for OCRD to operate a model Agency EEO Program, and by seeking OCRD's input, advice, and guidance regarding policies, practices, and procedures that affect diversity in our workforce.

Target Date: June 30, 2021

Appendix XVI: GAO Contacts and Staff Acknowledgments

GAO Contacts

Jason Bair at (202) 512-6881 or bairj@gao.gov

Staff Acknowledgments

In addition to the contacts named above, Mona Sehgal (Assistant Director), David Hancock (Analyst-in-Charge), Cody Knudsen, Moon Parks, Nisha Rai, Deirdre Sutula, and Melinda Cordero made key contributions to this report. Reid Lowe, Justin Fisher, Nicole Willems, and Chris Keblitis provided technical assistance.

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