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REPRESENTATIVE BUREAUCRACY: A STUDY OF ASSOCIATIONS BETWEEN
AFRICAN AMERICANS AT THE SENIOR LEVEL AND THE MID LEVEL OF THE
FEDERAL CIVIL SERVICE

A dissertation submitted in partial fulfillment of the requirements for the degree of
Doctor of Philosophy at Virginia Commonwealth University

by

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I can do all things through Christ which strengtheneth me (KJV Phillipians 4:13)

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ABSTRACT

REPRESENTATIVE BUREAUCRACY: A STUDY OF ASSOCIATIONS BETWEEN AFRICAN AMERICANS AT THE SENIOR LEVEL AND THE MID LEVEL OF THE FEDERAL CIVIL SERVICE

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A dissertation submitted in partial fulfillment of the requirement for the degree of
Doctor of Philosophy at Virginia Commonwealth University

Virginia Commonwealth University, 2011

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For years African Americans have comprised the largest minority group within the federal civil service, yet have been under represented at the higher levels, namely, GS13 through GS15 and the senior executive service (SES). Executive and legislative actions alone have not been sufficient to overcome the under-representation of African Americans at higher levels of the federal bureaucracy. The theory of representative bureaucracy suggests that passive representation, or the extent to which a bureaucracy employs people of diverse social backgrounds, leads to active representation, or the pursuit of policies reflecting the interests and desires of those people (Kingsley, 1944). Implicit in this definition is the expectation that minority administrators, specifically African American senior administrators, would have an interest in increasing their representation at higher decision-making levels within the bureaucracy. This research utilized quantitative analysis to examine 48 federal agencies in five four-year increments to determine how much senior level African Americans contributed to

African American increases at mid levels of the federal bureaucracy. Further, this research utilized qualitative analysis in the form of standardized structured interviews to determine to what extent African American senior administrators believed that it was important to increase the representation of African Americans at higher levels.

The results of the quantitative analysis suggests that African Americans at the highest levels (GS15 and SES) of the federal bureaucracy have exerted a positive influence on the overall change in the percentage of African Americans at the mid level (GS13 and GS14) over time. Further, the results indicate that of all the independent variables tested, African Americans at the senior level were the most significant contributors to the positive change in the percentage of African Americans at the mid level, after a four-year period. The influence of African Americans at senior levels was significant only in agencies where African Americans at mid levels were already below the mean for African Americans within the federal civil service. This finding suggest that African Americans at the highest levels take an active approach to representative bureaucracy when there is inequity for African Americans at mid-level positions in their agency.

CHAPTER 1: INTRODUCTION

Statement of the Problem

African Americans have made great progress with respect to overall representation within the federal civil service. In 2004, African Americans comprised the largest minority group in the federal civil service at 17.4 percent, followed by Hispanics at 7.3 percent, Asian/Pacific Islander at 5.0 percent and American Indian/Alaskan Native at 2.1 percent (OPM FEORP, 2004). In comparison, according to the Equal Employment Opportunity Commission (EEOC), African Americans comprise 13.8 percent of total private sector employment and 7.2 percent of private sector professional occupations. To put those numbers into some context, African Americans comprised 12.1 percent of the general population based on 2000 Census data. Therefore, one might conclude that African Americans are adequately represented in the federal workforce compared to the private sector and general population.

While the federal government has done an adequate job of integrating African Americans in government employment overall, African Americans are greatly under represented at senior and mid levels within the federal civil service. In 2004, while African Americans comprised 17.4 percent of the total federal civil service, they occupied 27.6 percent of the lowest grades (GS1-4). Additionally, African Americans occupied 12.2 percent, 10.4 percent and 6.6 percent of the highest general schedule grades, GS13, GS14, and GS15, respectively, and 6.5 percent of senior executive pay levels (OPM FEORP, 2004). African American representation progressively decreases at the mid and senior levels within the federal civil service. See Table 1 below.

Table 1. Race/National Origin Distribution of Federal Civilian Employment by Payplan and Grade (Source:Office of Personnel Management)

TABLE 1 -- RACE/NATIONAL ORIGIN DISTRIBUTION OF FEDERAL CIVILIAN EMPLOYMENT BY PAYPLAN AND GRADE AS OF SEPTEMBER 30, 2004																
MEN AND WOMEN COMBINED																
AGENCY - ALL AGENCIES	TOTAL		BLACKS		HISPANICS		PACIFIC ISLANDER		ASIAN OR		AMERICAN INDIAN		OR ALASKAN NATIVE		WHITES	
	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT	NUMBER	PERCENT
TOTAL, ALL PAY PLANS	1,851,349	580.983	31.4	313,099	16.9	135,533	7.3	93,212	5.0	39,139	2.1	1,270,366	68.6			
TOTAL, GENERAL SCHEDULE (GS) AND RELATED	1,416,099	443,362	31.3	244,736	17.3	102,612	7.2	67,984	4.8	28,030	2.0	972,737	68.7			
GS-01	2,661	1,231	46.3	700	26.3	259	9.7	243	9.1	29	1.1	1,430	53.7			
GS-02	4,568	2,049	44.9	1,172	25.7	521	11.4	205	4.5	151	3.3	2,519	55.1			
GS-03	21,151	9,353	44.2	4,654	22.0	2,150	10.2	1,731	8.2	818	3.9	11,798	55.8			
GS-04	57,712	24,661	42.7	14,271	24.7	5,039	8.7	2,742	4.8	2,609	4.5	33,051	57.3			
GS-05	106,746	46,528	43.6	27,737	26.0	9,439	8.8	5,080	4.8	4,272	4.0	60,218	56.4			
GS-06	83,958	34,190	40.7	21,456	25.6	6,414	7.6	3,678	4.4	2,642	3.1	49,768	59.3			
GS-07	142,266	53,517	37.6	31,525	22.2	12,894	9.1	5,916	4.2	3,182	2.2	88,749	62.4			
GS-08	56,574	23,544	41.6	15,080	26.7	5,633	10.0	1,771	3.1	1,060	1.9	33,030	58.4			
GS-09	132,466	44,093	33.3	24,492	18.5	10,802	8.2	5,829	4.4	2,970	2.2	88,373	66.7			
GS-10	17,865	5,257	29.4	3,188	17.8	1,007	5.6	684	3.8	378	2.1	12,608	70.6			
GS-11	197,404	59,654	30.2	28,440	14.4	18,566	9.4	9,222	4.7	3,426	1.7	137,750	69.8			
GS-12	227,943	60,849	26.7	32,693	14.3	13,493	5.9	11,656	5.1	3,007	1.3	167,094	73.3			
GS-13	204,162	47,428	23.2	24,957	12.2	10,084	4.9	10,421	5.1	1,966	1.0	156,734	76.8			
GS-14	99,294	20,349	20.5	10,313	10.4	4,080	4.1	4,927	5.0	1,029	1.0	78,945	79.5			
GS-15	61,329	10,659	17.4	4,058	6.6	2,231	3.6	3,879	6.3	491	0.8	50,670	82.6			
AVERAGE GRADE	9.9	9.1		8.9		9.2		10.0		8.3		10.3				
SENIOR PAY LEVELS	18,991	2,654	14.0	1,238	6.5	656	3.5	607	3.2	153	0.8	16,337	86.0			
OTHER WHITE COLLAR	210,965	64,494	30.6	29,327	13.9	16,350	7.8	14,063	6.7	4,754	2.3	146,471	69.4			
TOTAL WAGE SYSTEMS	205,294	70,473	34.3	37,798	18.4	15,915	7.8	10,558	5.1	6,202	3.0	134,821	65.7			
* - LESS THAN 0.05 PERCENT																

Scholars conclude that the potential for individuals to be effective in an organization depends not just on their presence, but also on their position ranking within the bureaucratic hierarchy (Green, Selden, & Brewer, 2001). Higher level officials establish agency missions, set agency policies and determine agency goals. According to the U.S. Equal Employment Opportunity Commission, individuals in grade GS-15 and the senior executive service (SES) represent the senior and executive level of the federal sector officials and managers. Individuals in grades GS-13 and GS-14 represent the mid-level of the federal sector officials and managers. For the remainder of this document, “senior level” will refer to individuals in grade GS15 and the senior executive service. Mid level refers to individuals in grades GS13 and GS14. These individuals set broad policies, exercise overall responsibility for execution of these policies, and direct individual offices, programs, divisions or other units or special phases of an agencies’ operations (www.eeoc.gov/federal/fsp2005/appendix1.html). It is important for African Americans to be adequately represented at these levels.

Executive and legislative actions have not been sufficient to overcome the under-representation of minorities in the upper ranks of the public sector (Rosenbloom, 1973, 1980; Kellough & Kay, 1986; Morrison, 1992; Shull, 1993). Organizations are now required to develop effective strategies for creating working environments that promote the effective participation and inclusion of diverse groups of employees (Kellough & Naff, 2004). Morrison warned that the most detrimental aspect of moving too hurriedly from affirmative action for targeted groups to promoting overall organizational diversity is that this becomes an excuse for avoiding ongoing equity problems for people of color and White women. It seems apparent, therefore, that there is still uncertainty in how to gain adequate representation for African Americans and other minorities at mid and senior levels of the federal workforce.

The theory of representative bureaucracy offers some hope in achieving this goal. The central tenet of the theory of representative bureaucracy is that passive representation—or the extent to which a bureaucracy employs people of diverse social backgrounds—leads to active representation or the pursuit of policies reflecting the interests and desires of those people (Meier & Stewart, 1992; Meier, 1993a). Active representative bureaucracy suggests that an individual (or administrator) is expected to press for the interests and desires of those whom he is presumed to represent, whether they represent the entire organization or some segment thereof (Mosher, 1968). Previous research in representative bureaucracy indicates that people in leadership positions in municipal government can influence the growth of minority or female employment in municipalities (Kellough & Naff, 2004). Other research in representative bureaucracy suggests that higher concentrations of group membership at higher levels in an organization are associated with greater support for organization policies impacting that social group (Nachmias & Rosenbloom, 1973; Thompson, 1976; Bayes, 1991; Meier, 1993a & 1993b; Hinderer & Young, 1998; Dolan, 2000). Therefore, it is possible that African Americans in senior-level positions influence the growth of African Americans at mid levels in federal agencies.

Additionally, according to Kim (2003), individuals are selected into the career senior executive service (SES) through a merit staffing process. The representation of women and minorities in career SES positions reflects the extent to which they are present in the pipeline of jobs from which promotion to SES positions are possible. Individuals are selected into other GS positions through a merit staffing process as well. Based on Kim's argument, the representation of African Americans at the senior level should reflect the extent to which African Americans are present at the mid level. If African Americans at the senior level influence growth of African

Americans at the mid level, the overall long-term result should be an increase in African American representation at both the mid and senior levels.

This study utilized the central tenet of the theory of representative bureaucracy to determine if the extent to which African Americans were employed at the senior level of the federal bureaucracy influenced the extent to which African Americans were employed at the mid level. This study also investigated if there were any moderating variables that impacted this influence. For example, does the extent to which African Americans are employed at the senior level typically lead to higher percentages of African Americans employed at the mid level during democratic presidential administrations? One study (Lewis, 1988) examined this relationship and concluded that the rate of progress for women and minorities in terms of their overall representation and their movement into higher-level jobs remained consistent during the Carter and Reagan presidencies, despite the presidents' opposing views on affirmative action. Naff and Crum (2000) later investigated this issue and concluded that the political environment appeared to have little or no impact on the progress of the rank and file, but did appear to impact progress at higher levels for minorities. Additionally, Crum also looked at whether agencies' diversity management programs moderated the influence that African Americans employed at the senior level have on employment of African Americans at the mid level. Previous research indicates that diversity management programs are generally important in creating working environments that promote the effective participation and inclusion of diverse groups of employees (Kellough & Naff, 2004). Also, previous research found that minorities in high level positions influence agency policies and programs (Thompson, 1976; Rosenbloom & Kinnard, 1977; Meier, 1993a & 1993b; Hinderer & Young, 1998; Naff, 1998; Dolan, 2000).

Purpose of the Study

The purpose of this study was to determine if minority representation, specifically African Americans, at the highest levels in federal agencies led to increased representation of minorities, specifically African Americans, at mid levels within those agencies.

Significance of the Study

This study adds to the existing body of research on the theory of representative bureaucracy. Kingsley (1944) first coined the phrase “Representative Bureaucracy” during his study of the British Civil Service. Kingsley’s findings indicated that representation in the British Civil Service at the top consisted of the wealthy and middle to upper class—but featured a marked absence of senior personnel from lower class groups. To illustrate this point, the opportunity to compete for appointment to the lowest level (i.e., the clerical class) in the British Civil Service was restricted to about ten percent of the nation, while appointment to the highest level (i.e., the administrative class) was drawn from a reservoir of considerably less than one percent. Kingsley argued that any democratic state could not afford to exclude any considerable body of its citizens from full participation in its affairs. The democratic state requires at every level superior insight and wisdom, which is the inevitable outcome of the pooling organizational members from diverse streams of experience. In this lies the strength of representative government.

Krislov (1974) indicated that the concept of a representative bureaucracy was originally developed to argue for a less elite, less class-biased civil service. As such, this notion was of little interest to most bureaucracies in mid-20th century America, since at that time administrative structures were overwhelmingly populated by upper-class White men. Krislov added that our

society now sees other lines of division—with considerations of race, ethnicity, and sex becoming even more relevant than class. In fact, scholars have reached a consensus that race and ethnicity are perhaps the most important demographic characteristics for comparing bureaucratic and public representation in the United States (Nachmias & Rosenbloom, 1973; Herbert, 1974; Krislov, 1974; Kranz, 1976; Rosenbloom & Featherstonhaugh, 1977; Rosenbloom & Kinnard, 1977; Thompson, 1976, 1978; Cayer & Sigelman, 1980; Smith, 1980; Dye & Renick, 1981; Meier, 1975, 1993b). The lack of African American representation at higher levels, as well as the under-representation of other minorities, has created concern that federal agencies may not be acting in the best interests of all citizens.

Mosher (1968) discussed a level of confusion about the definition of the term “representation.” First, there is “active (or responsible) representation,” wherein an individual (or administrator) is expected to press for the interests and desires of those whom he is presumed to represent—whether they represent all organizational members or just some segment thereof. Second, there is “passive (or sociological) representation” which concerns the source of origin of individuals and the degree to which, collectively, they mirror the total society. For example, passive representation may be statistically measured in terms of locality of origin (e.g., rural, urban, suburban, etc.), as well as by a variety of social or demographic variables such as previous occupation, father’s occupation, education, family income, family social class, race, religion.

A public service organization—and more specifically the leadership personnel of a public service organization—which is broadly representative of all categories of the population in these respects, may be thought of as satisfying Lincoln’s prescription of government “by the people” in a limited sense (Mosher, 1968). But this does not necessarily mean that a public servant of a

particular background and unique social characteristics will necessarily represent the interests of others with like backgrounds and characteristics in his behavior and decisions. Mosher argued that there are a good many other intervening variables that impact behavior. These include the length of time in the organization or the time-distance from his background, the nature and strength of the socialization process within the organization, and the nature of the position. With respect to this latter variable, among some political appointees, incumbents are expected to represent actively; in others, active representation may be expressly forbidden and incumbents are encouraged to “bend over backwards” to avoid the appearance of partiality. Other variables include the length and content of preparatory education, and the strength of associations beyond the job and beyond the agency. Other scholars have suggested that there are other variables that moderate a public servant’s behavior, including the current presidential administration under which that individual serves, as well as the presence of diversity programs and policies (Lewis, 1988; Naff & Crum, 2000; Kellough & Naff, 2004).

The following five theories may be associated with why a public servant with a given background and certain social characteristics would be likely to represent the interests of others of similar backgrounds and characteristics in his behavior and decisions: (1) Similarity-Attraction Theory; (2) Cultural Capital Theory; (3) Social Identity Theory; (4) Vicarious Self Efficacy and (5) Social Capital Theory. These theories suggest that public servants’ similarities, culture, social identification and social networks may be stronger influences on behavior and decisions than intervening variables. Individuals are attracted to others who are physically similar (Newcomb, 1961, 1968; Berscheid, 1985), and physical attractions are reinforced by similar culture and background. Reinforcement of attraction and similarities leads to

identification with and socialization in groups. Group identification and socialization creates networks and provide access to social capital. Social capital is linked to status attainment.

Researchers have confirmed that surface-level similarity tends to predict affiliation and attraction (Berscheid, 1985). Similarity-attraction is consistent with a trait-based view of demographic diversity that assumes that surface-level differences, such as diversity in race or age, also imply differences in underlying attributes, such as values and beliefs (McGrath et al., 1995). Similarity on attributes such as attitudes, values, and beliefs facilitate interpersonal attraction and liking, and vice versa (Newcomb, 1961 & 1968). Byrne's (1971) early work on the attraction-similarity paradigm confirmed that individuals are more attracted to others who they believe hold similar attitudes as themselves and rate those individuals as more intelligent, knowledgeable, and well adjusted. Research has also indicated that values relating to race and ethnicity are important determinants of a person's policy decisions (Selden, 1997). Organizational members prefer to select members who are similar to themselves and the screening process for new members tends to trend toward the selection of like others (Chatman, 1991). Possession of cultural capital may reinforce similarity-attraction, which should lead to social identity.

Bourdieu (1986) suggested that cultural capital comprises three subtypes: *embodied*, *objectified*, and *institutionalized*. (1) Embodied represent the inherited and acquired properties of oneself. Inherited is the sense of time, culture, traditions, and belief systems, which then bestow elements of the embodied state to another typically via the family through socialization. This subtype is strongly linked to one's habitus, a person's character, and way of thinking.(2) Objectified represents the things which are owned, such as scientific instruments or works of art. These cultural goods can be transmitted (sold) physically as an exercise of economic capital, and

symbolically as cultural capital. However, while one can possess objectified cultural capital by, say, owning a painting, one can only “consume” the painting (i.e., understand its cultural meaning) if one has the correct type of embodied cultural capital. (3) Institutionalized represents the institutional recognition of the cultural capital held by an individual, most often understood as academic credentials or qualifications. This is mainly understood in relation to the labor market. It allows easier conversion of cultural capital to economic capital by guaranteeing a certain monetary value for a certain institutional level of achievement. Possession of the three subtypes of cultural capital enhances similarities and makes attraction stronger.

As noted previously, individuals tend to identify and socialize with those whom they have a strong attraction and share important commonalities (Byrne, 1971; Berscheid, 1985; Lin, 2000). Therefore, similarity-attraction and cultural capital may lead to social identity and social categorization. The specific categories on which we tend to focus in categorizing others, such as race, gender, values, or beliefs, are likely to be those that are the most distinctive or salient within the social context (Clement & Schiereck, 1973; Nelson & Klutas, 2000). The core of social identity theory is that social categorization (or grouping) influences people’s perception of others and oneself (Tajfel, 1974). Boehling (2003) suggested that employees’ motivation, and subsequently their performance, may be directly linked to their self definition: At more abstract levels people gain self-esteem from social groups, and will pursue goals that maintain or increase their social identity (collective behavior). In social identity theory, a person has not just one “personal self,” but rather several selves that correspond to widening circles of group membership. Different social contexts may trigger an individual to think, feel, and act on basis of personal, family or national “level of self” (Turner et al., 1987). Social identity is the

individual's self-concept derived from perceived membership of social groups (Hogg & Vaughan, 2002).

Identification with a group involves two key components. First, membership in the group is an emotionally significant aspect of the individual's self-concept. Second, the collective interests of the group are of concern to the individual above and beyond their implications for personal self-interests (Brewer, 1991, 1995). According to some scholars, public administrators who identify with specific social groups are expected to press for the interests of their own social groups when the issue is one of high salience to the group (Thompson, 1976; Rosenbloom & Kinnard, 1977; Meier, 1993a). This study suggests, therefore, that African Americans in senior-level positions would be expected to be associated with the growth of African American employment at the mid level in federal agencies as part of their social group, because of the importance of the issue to the group. As such, African Americans in senior-level positions represent social capital for other African Americans within their social group.

Social capital refers primarily to resources accessed in social networks (Lin, 1995; Flap, 1996; Tardos, 1996; Burt, 1997; and Portes, 1998). Social networks are created from social groups based on society's historical and institutional structural process and the general tendency for individuals to associate with those of similar group or socioeconomic characteristics (Lin, 2000). Social identification with groups provides access to social capital within groups. Being African American and identifying as part of that social group provides access to senior level social capital that may not be possible outside of that social group. According to Lin (2000), a substantial body of literature links social capital to attaining greater status or a higher positions within an organizations. Also, the proposition that a better position or origin promotes access to, or use of, better social resources has received confirmation (Campbell, Marsden, and Hurlbert

1986; Lin and Dumin 1986; Green, Tigges, and Browne 1995). Therefore, African Americans who possess both cultural capital and necessary qualifications are well positioned for access to and utilization of the social capital resources within the group for advancement to the mid level.

African Americans should be motivated to better position themselves for advancement and to utilize the social capital within their social networks because of vicarious self efficacy. Bandura (1986) described self-efficacy beliefs as people's judgments of their capabilities to organize and execute courses of action required to attain designated types of performances. Persons may have the qualifications and skills to obtain a higher performance, but may lack the confidence in their abilities to make an attempt. Bandura's (1997) argued that the role of self efficacy in human behavior is that people's level of motivation, their affective states, and their actions are based more on what they believe than on what is objectively true. Pajares (2002) suggested that in addition to other means, people form their self-efficacy beliefs through the vicarious experience of observing others perform tasks. Vicarious experience is particularly powerful when observers see similarities in some attribute and then assume that the model's performance is representative of their own capability. An African American may raise this or her self efficacy after observing another African American with similar skills and qualifications at a higher grade level. Observing the successes of such models contributes to the observer's beliefs about their own capabilities ("If they can do it, so can I."). Through observation of African Americans at higher levels, other African Americans should be motivated to seek and make themselves available for higher positions and selection into positions of greater decision-making and authority.

All of these theories are believed to contribute to the concept of representative bureaucracy. Based on this premise, this study seeks to identify the importance of public

administrators' contribution to a representative bureaucracy. The theories reviewed herein should help explain why and how public administrators contribute to a representative bureaucracy. The following diagram (Figure 1) is a pictorial representation of the relationship of the five supporting theories to representative bureaucracy.

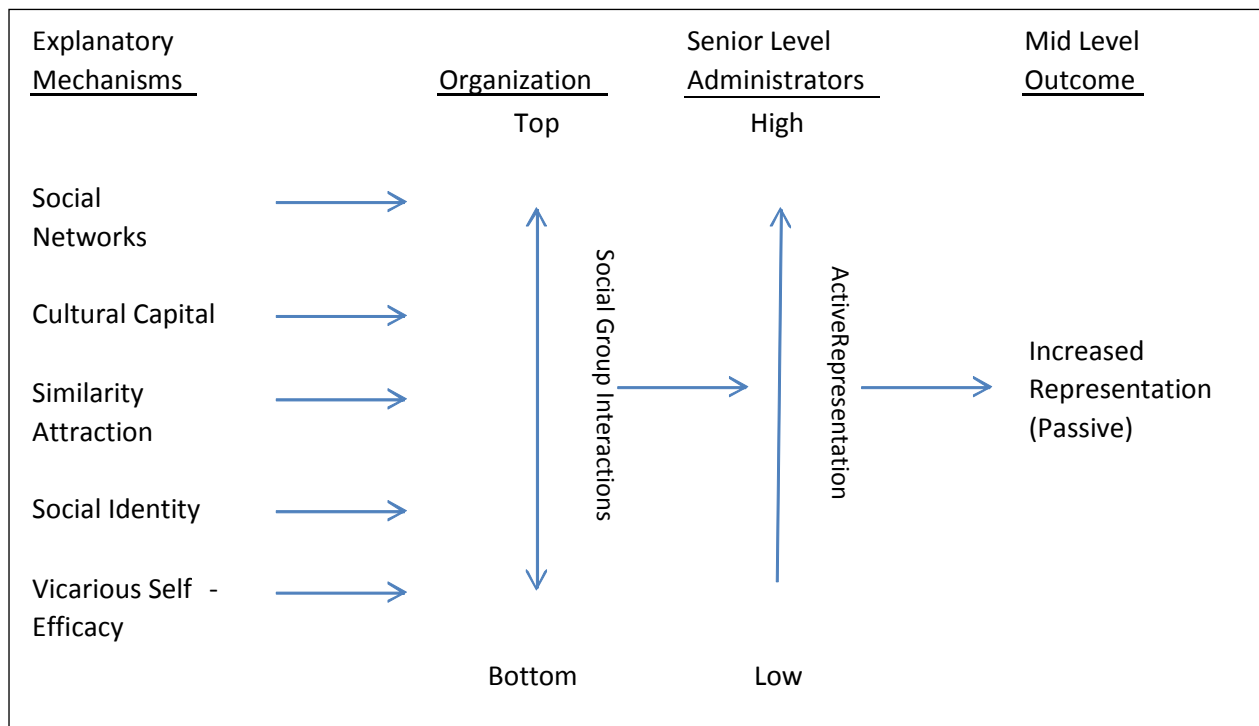


Figure 1: Explanatory Theories of Representative Bureaucracy

In summary, there are multiple traits that are shared by social groups within any organization. These traits encourage and provide opportunity for social group interactions at all levels. These shared traits, combined with social group interactions, influence the decisions and actions of senior level managers. Research has confirmed that higher concentrations of group membership at higher levels in an organization are associated with greater support for organizational policies that impact that social group. In terms of this study's assumption, a higher concentration of African Americans at senior levels was expected to be associated with active

representation that could lead to passive representation or the increase of African Americans at the mid level.

Research Questions

This study was designed to answer the following three research questions.

1. Does the percentage of African Americans employed at the senior level of the federal bureaucracy influence the percentage of African Americans employed at the mid level?
2. Does the political party of the administration and agency diversity management programs influence the percentage of African Americans at the mid level?
3. Does the political party of the administration and agency diversity management programs moderate the influence that the percentage of African Americans at the senior level have on the percentage of African Americans at the mid level?

Hypotheses

The hypotheses for this study will be identified in Chapter Two from the literature review.

Methodology and Research Design

This study utilized a mixed-methods research design. The implementation of the design was sequential, with priority given to the quantitative component of the study. The qualitative approach in the form of structured interviews was used to confirm and support the findings of the quantitative analysis. Federal agencies of the United States government, including cabinet level and independent agencies, served as the unit of analysis. Specifically, the quantitative data set for

this study consisted of information on government employees in grades 1 through 15 of the general schedule and members of the senior executive service. The data was obtained from the United States Office of Personnel Management (OPM). The OPM maintains a Central Personnel Data File (CPDF), which is a government-wide human resources reporting system. The employment data consisted of information for a 16-year time span in four year intervals of 1988, 1992, 1996, 2000, and 2004. That time span allowed inclusion of both Democratic and Republican administrations to be analyzed in the study. Additionally, the 16-year time span was expected to ensure an adequate timeframe for establishing trends. The following data elements were used in the analysis for each agency for each year requested: race (Black, Hispanics, Asians, American Indians and Whites); gender (male and female); grade (GS13, GS14, GS15, SES); total employees; average age; average length of service; number of veterans; number of bachelor's degrees; number of graduate degrees; number of supervisors; number of new hires; number of separations; and number of promotions.

The primary independent variable was the percentage of African Americans at the senior level at the beginning of a four-year period. The primary dependent variable to be tested was the change in the percentage of African Americans at the mid level at the end of the four-year period. Control variables included: (1) percentage of African Americans at the mid level with degrees; (2) percentage of African Americans at the mid level who were veterans; (3) percentage of African Americans at the mid level who were supervisors; (4) average length of service of African Americans at the mid level; and (5) average age of African Americans at the mid level. Moderating variables included in the study were (1) presidential administration and (2) agency diversity management programs. To answer the research questions and test the hypotheses identified, regression analysis was used as the primary analytical tool.

Interviews were conducted with a sample of senior managers from selected agencies utilized in the quantitative analysis. These managers were African American males and females from agencies with the highest, lowest and mid-range associations between the primary independent and dependent variables. The interviews were conducted by the most convenient method for the interviewee—either by phone or in person—using a structured interview guide (Appendix E). A codebook with themes was developed from the interview responses. No interviews were conducted until all of the necessary documents had been approved by the VCU Institution Review Board. Chapter 3 describes in detail the methodology and research design for this study.

Limitations

Since this research utilized secondary data from 1988 - 2004, more recent data may identify different findings. Similarly, this study used data for a 16-year period—meaning that data for either shorter or longer periods may yield different results. However, data for a shorter period would be less reliable. Also, in order to control the magnitude of the study, the data was analyzed in four-year increments (1988-1992, 1992-1996, 1996-2000, and 2000-2004). Selecting these specific four-year spans means that other time periods may create different results. Another limitation was that the research focused on the top three grades of the general schedule and the SES; it did not include the entire federal general schedule population. Furthermore, since this study specifically analyzed African Americans, the findings discussed herein should not be considered to be applicable to all minority populations. Additionally, the study did not separate career and appointed senior executives. (Appointed SES members are limited to 10 percent or less of the overall SES.) This research did not include survey data that would indicate individual attitudes that could support the findings. It should also be noted that because the researcher used

secondary data (i.e., he did not collect the data directly), the source of the data had to be relied upon for validity and reliability. However, the Office of Personnel Management provides large amounts of data annually to various major research organizations and sources and is well known and trusted for reliable and valid data.

Definition of Terms

Agency: Any department or independent establishment of the federal government, including a government owned or controlled corporation, whose civilian employees are paid from appropriated funds.

Average Age Assigned: The average age of employees assigned in that agency by race, gender and grade at the end of the year specified.

Average Education Level: The average education level of employees assigned in that agency by race, gender and grade at the end of the year specified.

Average Length of Service: The average years of service for employees assigned in that agency by race, gender and grade at the end of the year specified.

Bachelors Degree: A four year college degree.

Career Senior Executive Service: Senior executives selected through the merit staffing process for career executive appointments.

College Degree: A four year bachelors degree or higher.

Department of Defense (DoD): Department that manages all agencies established for the defense of the United States to include the Army, Air Force, Navy, Marines and Coast Guard.

Federal Workforce: Men and women employed by the U. S. federal government.

General Schedule Positions: Positions OPM classifies as those whose primary duty requires knowledge or experience of an administrative, clerical, scientific, artistic, or technical nature.

Head of Agency: Overall director for the agency with highest personnel authority.

High Level General Schedule Grades: Also known as feeder grades for SES. GS13 through GS15.

Higher Level Federal Civil Service: Grades GS13 through Senior Executive Service.

Mid Level: GS13 and GS14.

New Hires: Total number of employees hired for that agency in that race, gender and grade during that year.

Officials and Managers: Occupations requiring administrative and managerial personnel who set broad policies, exercise overall responsibility for execution of these policies, and direct individual offices, programs, divisions or other units or special phases of an agencies' operations. In the federal sector, this category is further broken out into sub-categories: (1) Executive/Senior Level – includes those at the GS-15 grade or in the Senior Executive Service, (2) Mid-Level – includes those at the GS-13 or 14 grade, (3) First-Level – includes those at or below the GS-12 grade and (4) Other – includes employees in a number of different occupations which are primarily business, financial and administrative in nature, and do not have supervisory or significant policy responsibilities, such as Administrative Officers.

Promotions: Total number of employees promoted for that agency in that race, gender and grade during that year.

Separations: Total number of employees leaving the agency in that race, gender and grade during that year for any reason; could include terminations, retirements, voluntary separations, etc.

Senior Executive Service: Highest level of leadership within federal agencies; established to ensure that the executive management of the government of the United States is responsive to the needs, policies, and goals of the nation and otherwise is of the highest quality.

Senior Level: GS15 and Senior Executive Service.

Senior Pay Levels: Positions which include the Senior Executive Service, Executive Schedule, Senior Foreign Service, and other employees earning salaries above grade 15 in the General Schedule.

Supervisors: Employees authorized to select, promote, rate and direct the work activities of other employees.

Total Employees: Total number of employees assigned to the agency in that race, gender and grade at the end of the designated year.

U.S. Office of Personnel Management (OPM): The agency responsible for the personnel management of the federal workforce.

Veterans: Employees that have previous U.S. military experience.

Organization of the Study

Chapter 1 provides an introduction to the dissertation and includes the purpose of the study, the significance of the study, the research questions and the hypotheses that were tested. A limited discussion of the methodology and research design is presented along with limitations of the study and definition of terms.

Chapter 2 presents a literature review of the senior executive service, origins of the theory of representative bureaucracy and empirical studies in representative bureaucracy.

Chapter 3 describes the methodology, including the research and design, the process of data collection and analysis, and the statistical testing of the hypotheses.

Chapter 4 reports the results of the data analysis.

Chapter 5 includes the discussion of the findings, conclusions of the study, implications for organizational policies and management practices and suggestions for further research.

CHAPTER 2: REVIEW OF THE LITERATURE

A review of the literature was used to shape a conceptual framework for this study.

Representative bureaucracy is a broad concept that has been utilized in much research of federal, state, and local government (Cayer & Sigelman, 1980; Daley, 1984; Gallas, 1985; Hindera & Young, 1998; Dolan, 2000), with studies focusing on various aspects of model, such as levels, structure, gender, race, ethnicity, programs, policies, administrations, etc. The current study focuses on the association between African Americans at the senior level and mid level of the federal bureaucracy and is framed around three primary areas of analysis. The first area of analysis is the impact of organization position and composition (Nachmias & Rosenbloom, 1973; Thompson, 1976; Rosenbloom & Kinnard, 1977; Henderson, 1979; Bayes, 1991; Meier & Stewart, 1992; Meier, 1993a, 1993b; Hindera & Young, 1998; Naff, 1998; Dolan, 2000; Slay, 2003). The second area of analysis is the impact of presidential administrations (Lewis, 1988; Perman, 1988; Ungar, 1991; Larson, 1993; Shull, 1993; Bridger, 1994; Goshko, 1994; Mills, 1994; Weiner, 1994; Laurent, 1996; Ewoh & Elliott, 1998; Naff & Crum, 2000). The third area of analysis is the significance of diversity management programs (Thomas, 1990; Morrison, 1992; R.R. Thomas, 1991, 1996; Wilson, 1997; Fernandez, 1999; Ivancevich & Gilbert, 2000; Riccucci, 2002; Kellough & Naff, 2004). This study was designed to investigate the following three research questions:

1. Does the percentage of African Americans employed at the senior level of the federal bureaucracy influence the percentage of African Americans employed at the mid level?
2. Does the political party of the administration and agency diversity management programs influence the percentage of African Americans at the mid level?

3. Does the political party of the administration and agency diversity management programs moderate the influence that the percentage of African Americans at the senior level have on the percentage of African Americans at the mid level?

Organization Position and Composition

Scholars have determined that the composition of the organization and position in the organization are important to minority representation. Composition refers to the makeup of the organization—for example, the number of minorities at the senior level. An organization's race and sex composition shapes the demographic mix in which Americans work and their likelihood of contact with persons from their own and other races and sexes (Reskin, McBrier & Kmec, 1999). Position refers to the level of influence within the hierarchy of the organization: supervisor; manager; or executive. According to Greene, Selden and Brewer (2001), the potential for individuals to be effective in an organization depends not only on the particular skills they bring to the job, but also on the rank of their positions within the bureaucratic hierarchy.

Blalock (1956, 1957, 1967) argued that the larger the minority group relative to the majority group, the more threatened the majority group will be, as more minorities mean more competition for the majority group. Blau (1977) and Kanter (1977), however, disagreed with Blalock. Kanter suggested that the greater the minority's representation, the more likely the majority is to perceive them realistically and to interact with them without focusing on group differences. Blau argued that the closer the sizes of the groups (i.e. the more heterogeneous an organization's composition), the less salient group membership is to the in-group and, hence, the less likely the in-group is to discriminate against the out-group.

According to other scholars, higher concentrations of group members in the organization should make active representation more likely (Nachmias & Rosenbloom 1973; Thompson 1976; Bayes, 1991; Meier 1993a & 1993b; Hindera & Young, 1998). A number of scholars proposed that this relationship is not linear (Thompson, 1976; Henderson, 1979; Meier, 1993b; Hindera & Young). Hindera and Young argued that the relationship between active and passive representation varies according to the proportion of a social group employed within the organizational setting. According to them, when African Americans in Equal Employment Opportunity Commission (EEOC) district offices constitute a plurality of the investigative staff, both Blacks and Whites are more sensitive to charges filed by Black employees. Dolan (2000) confirmed that numerical representation within an organization affects an administrator's willingness to advocate issues of concern to his or her social group. Her findings indicated that higher percentages of elite women within an organization's leadership ranks are associated with more female-friendly attitudes among SES individuals within the organization.

Naff (1998) indicated that the importance of supervisory support for a representative workforce has been confirmed by, among others, former OPM Director Constance Newman. In its study of the glass ceiling in corporate America, the Department of Labor found that minorities and women are often steered into staff positions, such as human resources, research, or administration rather than those jobs that ultimately affect the bottom line. Without experience in bottom line-related functions, they are derailed from the fast track to the executive suite.

The Civil Service Reform Act of 1978 requires all federal agencies to develop performance evaluation systems to provide for periodic appraisals of job performance of employees, and to use their results as a basis for training, rewarding, reassigning, promoting, demoting, retaining, and separating employees (Dresang, 1991). If performance appraisals have a

major impact on promotions, demotions, and retentions, then racial and sexual differences in ratings could help explain why women and minorities remain substantially under-represented at the top levels of the federal civil service and earn substantially less than White males even when they have comparable levels of education and experience (Taylor, 1979; Grandjean, 1981; Borjas, 1982; DiPrete, 1989). Lewis (1997) concluded that (1) higher percentages of women than men received outstanding ratings at every grade level and at the same grade levels in the same agencies, and that (2) supervisors rated the performance of women (especially White women) superior to that of White males. Supervisors were about as likely to rate the performance of minority men as being outstanding as that of White men in comparable positions, although they were a bit more likely to rate the performance of minority men as merely fully successful. Additionally, supervisors were less likely to rate the performance of Black women as highly as that of White women. Even though Black women received ratings as high or higher than those of White men in similar positions, they received lower ratings than the Whites they were in most direct competition with—namely, White women. The Lewis study could not determine whether women and minorities performed better or worse than White men in similar positions, or whether women and minorities needed to perform better to receive comparable ratings.

Dolan (2000) suggested that because women's life experiences differed in meaningful ways from those of men, women senior executives would make decisions differently than their male colleagues. Naff (1998) suggested it is the combined individual hiring and promotion decisions made by supervisors on a day-to-day basis that determine the overall demographic composition of the civil service. She found that most minority supervisors (68.6 percent) and half of female supervisors (49.1 percent) agreed that selecting officials should be held accountable for achieving a diverse workforce, but only 35.3 percent of non-minorities and 39.2 percent of men

agreed with such a policy. Non-minority men comprise the majority of federal supervisors. Tamerius (1995) argued that female policy makers' own personal experiences, their relations with other women, and their heightened awareness of feminist issues often give them a better feel for the problems women encounter, making them especially adept at recognizing when policy solutions fail to account for women's unique needs. Dolan suggested that women in administrative positions may be more sensitive to charges of discrimination, or they may believe the workplace should make a greater effort to help employees balance their work and family responsibilities. This implies that women in administrative positions may choose to identify themselves with the gender social group.

The current research applies this same logic to African American executives and senior managers based on social identity theory, similarity-attraction theory and cultural capital theory. African Americans' life experiences differ in meaningful ways from other minorities and the White majority. African American executives and senior managers share a culture and similarities and life experiences with other African Americans that make them adept at recognizing policies that fail to account for African American inclusion and full representation.

Slay (2003) indicated that as African Americans begin to move up in largely White corporations, there are intra-group dynamics at play that must be considered. The issue is one of conflicting primary social identities: identity as an executive in corporate America versus identity as an African American. It could be argued that the more one exhibits characteristics of one's identity, the more likely one will be seen as an out-group member by the other social group. This is an important perspective because it enables the analysis of African Americans as members of multiple constituents groups—specifically, various work groups and political

coalitions (which all nascent leaders must negotiate) and the African American ethnicity into which they are born and may feel some degree of allegiance.

Social identity is the individual's self-concept derived from perceived membership of social groups (Hogg & Vaughan, 2002). Identification with a group involves two key components: (1) membership in the group is an emotionally-significant aspect of the individual's self-concept, and (2) the collective interests of the group are of concern to the individual above and beyond his or her implications for personal self-interest (Brewer, 1991, 1995). Research demonstrates that the specific categories on which we tend to focus in categorizing others, such as race, gender, values, or beliefs, are likely to be those that are most distinctive or salient within the social context (Clement & Schiereck, 1973; Nelson & Klutas, 2000). Slay (2003) argued that the social identity literature provides fresh theoretical perspectives for understanding the determinants of behavior that enable minorities to navigate institutional barriers to advancement. She further indicated that the literature facilitates the examination of leadership as a function of in-group/out-group membership.

Scholars have concluded that public administrators are expected to press for the interests of their own social groups when the issue is one of high salience to the group (Thompson, 1976; Rosenbloom & Kinnard, 1977; Meier, 1993a). Given this assertion, it is reasonable to assume that advancement to higher levels in the federal bureaucracy is important to African Americans as a social group, as well as being of great interest to African Americans at senior levels. The United States has a documented history of racial discrimination towards African Americans leading back to slavery, which has led to inequality at high levels in American corporations and federal organizations—and which impacts status attainment. Arguably, African Americans at the senior level should support policies and make decisions that influence the percentage of African

Americans at the mid level. However, the influence of African Americans at the senior level may depend on their proportions in the agency, as well as the period of time during which they have influence. This conclusion, reached from the review of the literature, suggests the following hypothesis for the current study:

***H₁:** The percentage of African Americans at the senior level in agencies at the beginning of a four-year period will influence a positive change in the percentage of African Americans at the mid level in those agencies at the end of the four-year period.*

Influence of Presidential Administration

As argued by Piven (1992), the Democratic Party has a greater membership of African Americans, immigrants, the working class, and the lower and middle-income groups in comparison to the Republican Party, which has more members of racial/gender majorities, the business class, and the higher and middle-income groups. In an early study, Rosenbloom (1984) argued that the president's beliefs on affirmative action can have an impact on minority and female employment representation. Naff and Crum (2000) later concurred that the current president's ideology has an important impact on opportunities for advancement within the federal sector, but concluded that the political environment appears to have little or no impact on the policies and programs that support representation of the civil service rank-and-file. They did add, however, that it did appear to impact policies and programs that support representation at the senior level of the federal government.

Some scholars have suggested that although affirmative action programs grew under the Nixon and Carter administrations, they were no longer emphasized following the election of Ronald Reagan in 1980 (Mills, 1994; Ewoh & Elliott, 1998). The rate of progress for women and minorities in terms of their overall representation and their movement into higher level jobs

remained consistent during the Carter and Reagan presidencies, despite the presidents' opposing views on affirmative action (Lewis, 1988). However, as Perman (1988) reported, women and minorities believed that the Reagan administration created an environment indifferent to their advancement. Diversification of the general schedule workforce slowed under Reagan, but no longer appeared to be a major problem; however, representation in the upper levels of the hierarchy and salary differences were major problems for minorities (Lewis, 1988). Shull (1993) suggested that Bush continued Reagan's legacy of undermining civil rights enforcement. Under the Bush administration's watch, the EEOC was criticized by the U.S. General Accounting Office (GAO) for its inconsistent and inadequate oversight of federal agencies (Ungar, 1991), to include allowing agencies to submit late and/or incomplete affirmative action plans (U.S. GAO 1991).

Many believe opportunities for White male advancement were severely constricted under the Clinton administration (Laurent, 1996). Bill Clinton took office calling for a government that "looks like America" (Weiner, 1994) and appointed more women and minorities to cabinet positions than any previous president (Shull, 1993). Although the Clinton administration made no policy changes with regard to equal employment opportunity or affirmative action, many White men concluded that his stated aim to attain a workforce that "looks like America" stymied their advancement opportunities (Weiner, 1994; Larson, 1993; Bridger, 1994; Goshko, 1994). Fisher (1987) posited that Democratic presidents are more likely to appoint women in top political positions in comparison to their Republican counterparts. In a similar study, Kim (2003) described how that Democratic presidents are more likely to be related to female and minority representation in the SES. However, Kim also argued that while more women and minorities have been employed in higher-level positions under the Democratic administration than under

the Republican administration, senior executive employment was less favorable to women or Hispanics during the Carter years than during the Reagan or Bush years.

As chief executive, the president has enormous authority in shaping an administration, but his power is severely limited as far as the appointment of SES members is concerned. For example, about 90 percent of the SES positions are filled by individuals drawn from the career civil service, whereas the remaining 10 percent are staffed by non-career political appointees (Wilson, 1989; Huddleston, 1991; Naff & Crum, 2000; U.S. OPM, 2000b). Current law allows up to 20 percent of an agencies' senior executives to be non-career appointees (U.S. OPM, 2004). Naff and Crum found that representation of women and minorities within the non-career SES had varied considerably among various presidential administrations. There was an initial drop of three percentage points in the representation of White women when Reagan took office in 1981. The representation of White women grew steadily throughout the Reagan and Bush terms, while minority women continued to hold about two percent of non-career executive positions. The proportion of those jobs held by both groups sharply increased after Clinton took office, reaching 28 percent for White women and just under 9 percent for minority women by March 1996. The representation of minority men among the non-career SES dropped from 11 percent at the end of the Carter administration to under 5 percent by the end of Reagan's last year in office. Minority male representation gradually increased to 9 percent in the last year of office for Bush. By the middle of Clinton's first term, minority men held just under 14 percent of the non-career SES positions (Naff & Crum, 2000). There did appear to be a positive relationship between the views of the president and the appointment of minorities and women into politically-appointed SES positions.

Individuals are selected into the career SES through a merit staffing process. Also, the representation of women and minorities in career positions tends to reflect the extent to which they are present in the “pipeline” of jobs from which promotion to SES positions are possible. Research has indicated that their representation in the three GS 13-15 “feeder” jobs had increased steadily over the period 1979 - 1999, suggesting that, all things being equal, there should have been a gradual and steady increase in career SES jobs as well (Kim, 2003). Representation of White and minority women in the career SES grew steadily from 1979 and increased markedly during Clinton’s presidency. Although the share of career SES jobs held by minority men fluctuated during that period, it did increase as well. Naff and Crum (2000) concluded that a relationship exists between the composition of the senior executive service and the ideology of the president in power. In a later study, Kim (2003) suggested that a president’s party is a good indicator of the president’s ideologies, policy agenda, and employment preferences. Further, a president’s ideologically-identical constituents and clientele are likely to be amicably employed in senior executive positions in the administration than the employees of the opposite party. In summary, a review of the literature indicated that the presidential administration does appear to influence decisions for minority representation at higher levels of the federal bureaucracy. This conclusion resulted in two hypotheses that were to be tested in this research:

H₂: The percentage of African Americans at the mid level is higher during Democratic presidential administrations.

H₃: The influence of the percentage of African Americans at the senior level at the beginning of a four-year period on the change in the percentage of African Americans at

the mid level at the end of the four-year period is greater during democratic presidential administrations.

The data selected for the current study utilized information at the end of four-year presidential terms which were expected to be more evident of the administration's influence.

Figure 2 identifies the trends in growth of African Americans at the lowest and highest levels for federal agencies selected for this study at the end of four-year presidential terms.

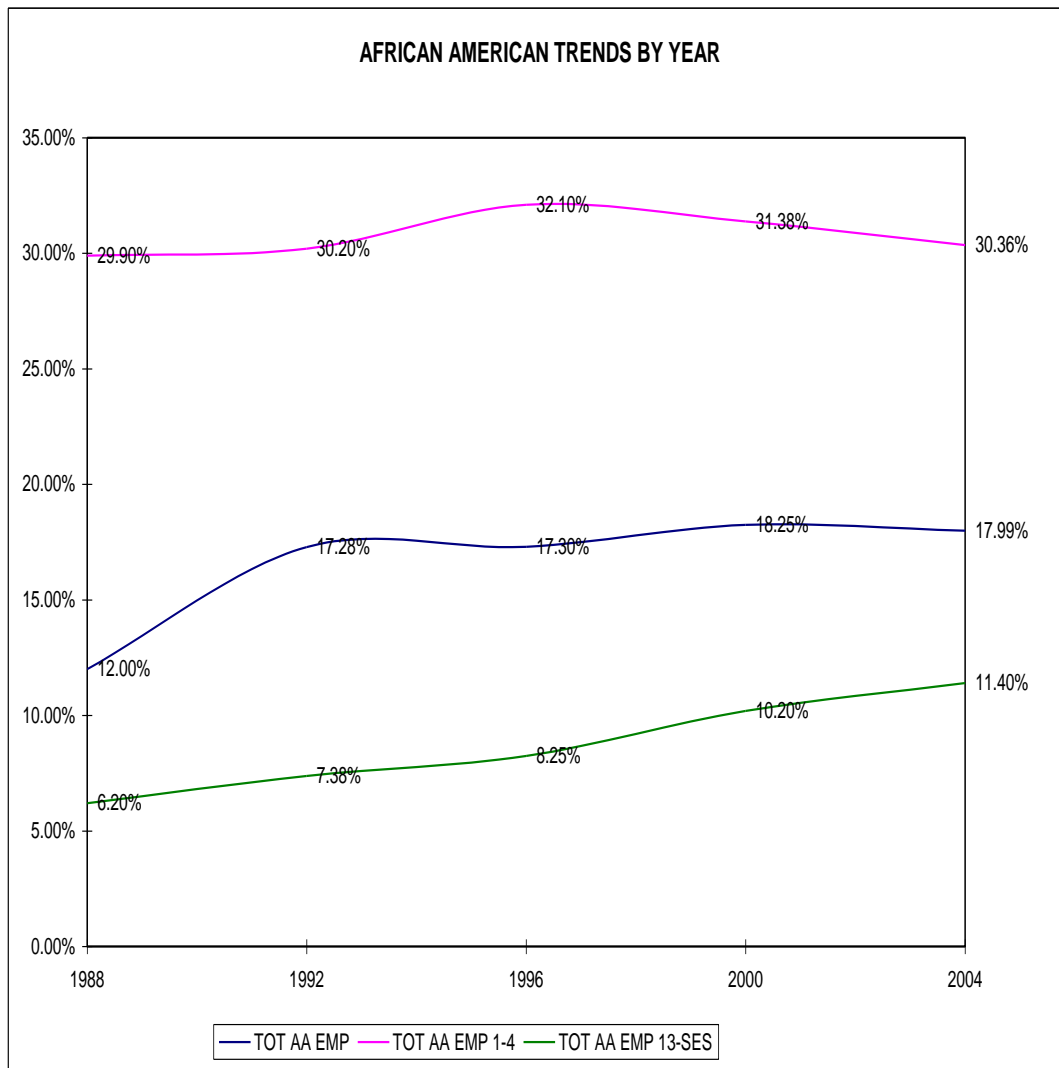


Figure 2: African American trends at end of presidential administrations (1988 – 2004)

Source: Office of Personnel Management

Diversity Management Programs

The origins of current affirmative action programs date back to EEO efforts aimed at eliminating discrimination (Krislov, 1967; Rosenbloom, 1973, 1977; Rosenbloom & Berry, 1984). Examples of EEO policies prohibiting discrimination in federal employment and contracting are found in the provisions of the Ramspect Act of 1940 and Executive Order Number 8587, which was issued by President Franklin Roosevelt that same year. By the 1970s it was apparent that the existing executive and legislative actions were not sufficient to overcome the under-representation of minorities in the upper ranks of the public sector (Rosenbloom, 1973). This inertia increased the pressure to transfer the EEO program to another agency and the strategy of using goals and timetables for minority hiring and promotion became more common (Rosenbloom, 1973). The ultimate goal was to bring the level of representation of minorities and women within the agency into parity with the relevant labor pool. Goals and timetables often required that race, ethnicity, and gender be taken into account in employment, college admissions, and contract awards (Kellough, Selden, & Legge, 1997). Rosenbloom (1980) and Kellough and Kay (1986) found that the implementation of goals and timetables in the federal government had no impact on employment of Blacks and minimal impact on employment of women.

One of the earliest contributors to the literature on diversity management was R. Roosevelt Thomas, who in an influential 1990 *Harvard Business Review* article, argued that as the labor force becomes increasingly diverse, it will be necessary to move from affirmative action to affirming diversity (Thomas, 1990). For many years, federal agencies have been required to implement equal employment opportunity and affirmative action programs, with the goal of increasing diversity. And, indeed, many federal agencies have reported implementing a

variety of programmatic elements recommended by the growing body of literature on diversity in the workplace (Kellough & Naff, 2004). In contrast, other agencies have indicated that they have very limited programs or they have simply repackaged their traditional equal employment opportunity and affirmative action initiatives.

The notion that “diversity” is defined not just in terms of characteristics such as gender, race, and ethnicity—but rather encompasses all the ways people differ from one another—is one of the central ideas used to distinguish diversity management from EEO/AA. Consequently, this has become a prominent theme in the expanding literature on diversity management (Thomas, 1990, 1991; Norton & Fox, 1997; Slack, 1997; Wilson, 1997; Fernandez, 1999). However, a significant share of agencies (25.8 percent) which had indicated that they were engaged in a diversity effort reported that they had simply repackaged their traditional EEO/AA programs (Kellough and Naff, 2004). Additionally, according to Kellough and Naff a small proportion of agencies that reported having diversity programs indicated that they did not address some of the most basic and traditional dimensions of diversity including race, ethnicity, religion, and disability. Morrison (1992) warned that the most problematic aspect of moving too hurriedly from affirmative action for targeted groups to promoting the diversity more broadly is that this becomes an excuse for avoiding the continuing problems in achieving equity for people of color and White women. Given the importance of achieving representative bureaucracies, it is imperative to understand whether, and to what extent, federal agencies have adopted diversity management programs (Kellough & Naff).

In the report, Workforce 2000, the Hudson Institute warned that existing human resources policies and practices, which were developed when the workforce was largely young, White, and male, would become ineffective as the workforce became older, increasingly nonwhite, and was

comprised of more women than ever before (Johnston & Packer, 1987). In a very general sense, diversity management programs reflect an organizational commitment to recruit, retain, reward, and promote a heterogeneous mix of productive, motivated, and committed workers (Ivancevich & Gilbert, 2000). Kellough and Naff (2004) suggested that organizations must move beyond programs to develop effective strategies to create working environments that promote the effective participation and inclusion of diverse groups of employees.

Based on their research in private sector organizations, Thomas and Ely (1996) identified three theoretical paradigms for understanding diversity: discrimination-and-fairness; access-and-legitimacy; and learning-and-effectiveness. The *discrimination-and-fairness paradigm* focuses on whether minorities and women are given an equal chance of obtaining employment in public organizations. According to this paradigm, public organizations pursue diversity under the guise of equality and fairness and are concerned primarily with compliance with EEO and affirmative action legal requirements (Thomas & Ely). According to the *access-and-legitimacy paradigm*, agencies value diversity because it enables them to provide better access and services to their constituents. This paradigm organizes itself around differentiation. Agencies utilize individuals to affiliate with like constituents. Agencies adopting the *learning-and-effectiveness paradigm* value diversity because it improves internal processes by incorporating the varied perspectives and approaches to work that different group members offer an organization (Milliken & Martins, 1996). Agencies operating under this framework seek to integrate, as opposed to assimilate or differentiate, diverse individuals within the agency.

Selden and Selden (2001) proposed a fourth paradigm, *valuing-and-integrating*, which seeks to build directly on the learning-and-effectiveness paradigm and incorporate aspects of the other two paradigms. Specifically, organizations adhering to this paradigm should be more

effective in recruiting and retaining a diverse workforce, structuring internal processes, and serving clients. This paradigm suggests that an organization's culture is continually influenced by the individual cultures of its members. The value of multiculturalism to public organizations highlights the importance of viewing culture and cultural differences not simply as demographic representations within an organization. Rather, an individual's cultural foundation is a complex, dynamic development of sensibilities that impact and refine the ways in which an individual views, perceives, and interacts with his or her environment. From the extensive literature, Kellough and Naff (2001) identified steps organizations should take to create better climates for diversity (see Table 2).

Table 2: Steps to Create a Better Climate for Diversity Management

Steps	Explanation
Ensure management accountability	Management official's performance ratings and compensation should depend in part on their success in achieving diversity-related goals (Morrison, 1992; Cox, 1994; Caps, 1996; Dobbs, 1996; Wilson, 1997; Fernandez, 1999)
Re-examine the organization's structure, culture, and management systems	Selection, promotion, performance appraisal criteria, and career development programs should be examined for potential bias, and where necessary, be revamped (Morrison, 1992; Dugan et al., 1993; Cox, 1994; Fine, 1995; CAPS, 1996; Thomas, 1996; Norton & Fox, 1997; Wilson, 1997; Matthews, 1998; Fernandez, 1999)
Pay attention to the numbers	The representation of groups in various levels and occupations in the organization should be closely monitored (Morrison, 1992; Cox, 1994; CAPS, 1996; Thomas, 1996; Norton & Fox, 1997). Also, Morrison (1992) and Wilson (1998) emphasize the importance of monitoring employees' perceptions of the organizational environment
Provide training	Organizations should ensure that employees are taught about the importance of diversity goals and the skills required to work effectively in a diverse workforce (Gardenswartz & Rowe, 1993; Cox, 1994; CAPS, 1996; Hudson & Hines-Hudson, 1996; Chambers & Riccucci, 1997; Wilson, 1997; Matthews, 1998; Fernandez, 1999;)

Table 2, continued

Steps	Explanation
Develop mentoring programs	Mentors should be made available to employees as they can serve an important role in communicating organizational expectations to employees who are interested in advancement (Morrison, 1992; Dugan et al., 1993; Cox, 1994; Fine, 1995; CAPS, 1996; Wilson, 1997; Payne, 1998; Fernandez, 1999; Thomas & Gabarro, 1999)
Promote internal identity or advocacy groups	Organizations should encourage the development of formally or informally constituted groups representing specific categories of nontraditional employees such as women, African Americans, or gays and lesbians. Such representation can help mitigate the potential isolation of members of these groups and may provide leadership in resolving conflicts (Morrison, 1992; Cox, 1994; Dobbs, 1996; Digh, 1997; Thomas & Gabarro, 1999)
Emphasize shared values among employees, customers and stakeholders	Organizations should recognize that, in many cases, their culture and structure reflect the orientation of Euro-American men, and they should proactively work to create a more inclusive climate, linking diversity to their business strategy (CAPS, 1996; Norton & Fox, 1997; Wilson, 1997; Fernandez, 1999; Thomas & Gabarro, 1999).

Source: Kellough, J.E., & Naff, K. C. (2004). Responding to a wake-up call: An examination of federal agency diversity management programs. *Administration and Society*, 36, 62-90.

Kellough and Naff (2004) suggested that by 1999 most federal agencies appeared to have heeded the call to develop a program to better manage an increasingly diverse workforce.

However, there was wide variation in the adoption of components prescribed in the literature.

To take a closer look at agency variations in the implementation of diversity management initiatives, Kellough and Naff (2001) identified the following five programmatic components: (1) characteristics of their diversity training efforts; (2) internal communications regarding their programs; (3) accountability for diversity within the organizations; (4) activities reflective of broader resource commitments to the programs; and (5) scope of their programs in terms of the dimensions of diversity addressed. A summary measure of the overall level of development of

agency diversity programs was constructed and agencies were ranked from the most developed programs to the least developed. The researchers concluded that a primary determinant of the level of development of agency or sub-agency diversity programs was found to be support from the leadership of each organization. They asserted that the development of agency diversity programs is consistently and positively linked to a commitment to diversity by the heads of the organizations studied. They further suggested this is the first empirical demonstration of the importance of organizational leadership for diversity management in a relatively large sample of organizations. Additionally, Kellough and Naff indicated that the finding has obvious implications for future program development and is consistent with research suggesting that people in leadership positions in municipal government can influence the growth of minority or female employment in municipalities. African Americans at the senior level represent the leadership in their organizations and should influence their organization's diversity management programs as well as growth of African Americans at mid levels. This review of the literature resulted in two two additional hypotheses:

***H₄:** There is a positive association between agencies' diversity management program scores and the percentage of African Americans at the mid level.*

***H₅:** There is a positive relationship between agencies' diversity management program scores and the influence of the percentage of African Americans at the senior level at the beginning of a four-year period and the change in the percentage of African Americans at the mid level at the end of the four-year period.*

CHAPTER 3: METHODOLOGY AND RESEARCH DESIGN

This chapter addresses the research methodology and design used in this study. It describes the design of the study, the population and unit of analysis, method of data collection, research questions and hypotheses, independent and dependent variables, and types of statistical analysis. This study utilized a mixed-methods research design. Within the social sciences, mixed-methods research has become increasingly popular and may be considered a legitimate, stand-alone research design (Greene, Caracelli & Graham, 1989; Creswell, 2002, 2003; Tashakkori & Teddlie, 2003). Mixed-methods research is defined as the collection or analysis of both quantitative and qualitative data in a single study in which the data are collected concurrently or sequentially, are given a priority, and involve the integration of the data at one or more stages in the process of the research (Creswell, Plano Clark, Gutmann, & Hanson, 2003). When both quantitative and qualitative data are included in a study, researchers may enrich their results in ways that one form of data does not fully allow (Brewer & Hunter, 1989; Tashakkori & Teddlie, 1998).

The data in this study were collected and analyzed sequentially starting with the quantitative research, following by qualitative component. However, priority was given to the quantitative research portion of this analysis. According to Creswell (2002), sequential implementation may be explanatory or exploratory. In explanatory sequential research, the investigator first collects the quantitative data, then supplements that with qualitative data to help explain or elaborate on the quantitative results. In terms of this study, quantitative analysis was conducted on secondary data collected from the Office of Personnel Management in order to answer the research questions and hypotheses. Afterwards, standardized open-ended interviews

were conducted with African Americans in senior-level positions to help explain or elaborate on the quantitative results. The data integration of the quantitative and qualitative findings are reported in Chapter 5. Below is a graphical representation of the mixed methods design for this study. The capital letters indicates that priority is given to the collection and analysis of the quantitative data, which is considered the most important to this study. The arrows indicate the sequence in which the data was collected and analyzed and integrated into the study.

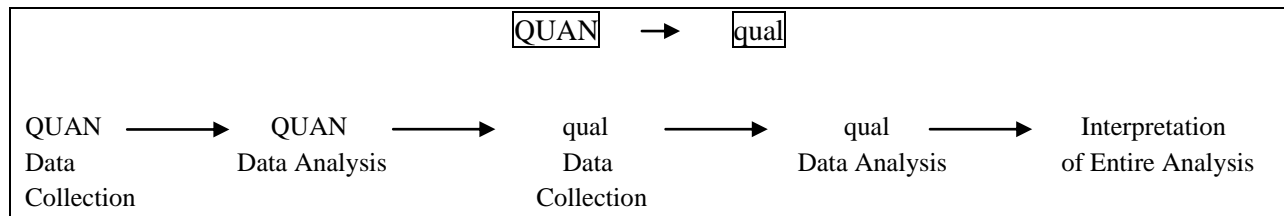


Figure 3: Mixed Methods Design

Source: Creswell, J.W. (2003). Research Design: Qualitative, Quantitative, and Mixed Methods Approaches. Lincoln Nebraska: Sage.

Quantitative Research

The quantitative research was framed around a correlational research design. The purpose of correlational research is to investigate the extent to which variations in one factor corresponds with variations in one or more other factors based on correlation coefficients (Issac & Michael, 1995). The primary analytical method for this study was ordinary least squares (OLS) regression analysis. This study analyzed the association between the percentage of African Americans at the senior level (GS15 and SES), and the change in the percentage of African Americans at the mid level (GS13 and GS14) of the federal civil service, by examining secondary data for federal agencies. Additionally, this study considered the impact of interactive variables by analyzing the extent to which presidential administrations and agency diversity management programs moderated the relationship between the percentage of African Americans

at the senior level and the change in the percentage of African Americans at the mid level in federal agencies. The quantitative analysis addressed the following three questions:

1. Does the percentage of African Americans employed at the senior level of the federal bureaucracy influence the percentage of African Americans employed at the mid level?
2. Does the political party of the administration and agency diversity management programs influence the percentage of African Americans at the mid level?
3. Does the political party of the administration and agency diversity management programs moderate the influence that the percentage of African Americans at the senior level have on the percentage of African Americans at the mid level?

Quantitative Data

This study analyzed secondary data provided from the U.S. Office of Personnel Management. The U.S. Office of Personnel Management (OPM) maintains a Central Personnel Data File (CPDF), with information on nearly two million full-time, permanent, federal civilian employees. The data received comprised large, medium and small agencies of the executive branch. It should be noted that data for the legislative and judicial branches were excluded from this study. Also, data was unavailable for any agency of the executive branch that was exempt from personnel reporting requirements. Therefore, the current study excluded data on employees in the U.S. Postal Service and any other agencies exempt from personnel reporting requirements. Other scholars have collected similar data from OPM and excluded the U.S. Postal Service and other segments of the workforce exempt from personnel reporting requirements (Naff & Crum, 2000). The data included all general schedule employees, grade levels 1 through 15 and members of the senior executive service, for each agency provided, for the years 1988, 1992,

1996, 2000, and 2004. The years 1988 through 2004 include four different presidents and three periods of republican control and two periods of democratic control. See Table 3 below.

Table 3: Presidential Administration Control

President	Took Office	Left Office	Party	Study Years
Ronald W. Reagan	January 20, 1981	January 20, 1989	Republican	1988
George H. W. Bush	January 20, 1989	January 20, 1993	Republican	1992
William J. Clinton	January 20, 1993	January 20, 2001	Democratic	1996/2000
George W. Bush	January 20, 2001	January 20, 2009	Republican	2004

The data elements selected for each agency in this study were grade, race, gender, total employees assigned, average age, average length of service, number of veterans, number of college degrees, number of supervisors, number of new hires, number of separations, and number of promotions. Each data point was representative of the end of the year in which it was included. This data set provided the option to transform the raw numbers into percentages and to standardize the data comparison across agencies. Additionally, inclusion of multiple years allowed the researcher to determine if the presidential administration in office had a moderating effect on the primary association. This data set was similar to data that many other scholars have used in their research of the federal civil service and SES (Lewis, 1986 & 1988; Dolan, 2000; Naff & Crum, 2000).

A sample of the raw data received from the Office of Personnel Management for the Department of the Air Force for the year ending 2000 is included in Appendix A as Table 4.

There was a time lag in the data that must be considered. The effects of the associations were

not instantaneous and were measured over a four-year period of time to gain better results. For example, the impact of the percentage of African Americans at the senior level in an agency at the beginning of a four-year period was measured against the change in the percentage of African Americans at the mid level in that agency at the end of that four-year period.

Additionally, this study examined whether agency diversity programs were associated with the percentage of African Americans at the mid level and, if agency diversity programs moderated the association between African Americans at the senior level and African Americans at the mid level. For this portion of the study, agency scores on diversity program indices were used. Kellough and Naff (2004) created these indices during their study of agency diversity management programs, with data derived from a survey administered by the National Performance Review (NPR) Diversity Task Force, to 160 agencies and sub-agencies in the spring of 1999. They rated the agencies on the following five programmatic aspects: (1) characteristics of their diversity training efforts; (2) internal communications regarding their programs; (3) accountability for diversity within the organizations; (4) activities reflective of broader resource commitments to the programs; and (5) scope of their programs in terms of the dimensions of diversity addressed. The researchers ranked the agencies from the most developed programs to the least developed.

The current study utilized those agency rankings to determine their association with the percentage of African Americans at the mid level in those agencies, and to determine if the rankings intervened in the association between the percentage of African Americans at the senior level and the change in the percentage of African Americans at the mid level, in those agencies. Because the agency diversity program indices had not been updated, there was only one year of

data utilized in this analysis. The agency scores on Diversity Program Indices are located in Table 5 of Appendix B.

Quantitative Research Questions and Hypotheses

This section describes the research questions and supporting hypotheses, and identifies the independent and dependent variables for the quantitative research. The research questions were addressed and the hypotheses tested using a four-year time lag between the primary independent variable and the dependent variable. The primary independent variable was tested against the change in the dependent variable at the end of a four-year time period. The analysis depended upon the amount of time it took to implement policies, decisions, and directives from senior level officials, and to realize their impacts. The four-year time lag allotted between the independent variable and the dependent variable in this study was believed to be sufficient time for an impact to be measured. One overall model was constructed to answer the research questions and to test the hypotheses for this study.

There were three primary research questions for this study, which were answered by testing five hypotheses.

1. Does the percentage of African Americans employed at the senior level of the federal bureaucracy influence the percentage of African Americans employed at the mid level?

H₁: The percentage of African Americans at the senior level in agencies at the beginning of a four-year period will influence a positive change in the percentage of African Americans at the mid level in those agencies at the end of the four-year period.

The independent variable is the percentage of African Americans at the senior level at the beginning of the four-year period and the dependent variable in this hypothesis is the change in the percentage of African Americans at the mid level at the end of the four-year period.

2. Does the political party of the administration and agency diversity management programs influence the percentage of African Americans at the mid level?

H₂: The percentage of African Americans at the mid level is higher during Democratic presidential administrations.

The independent variable is the Democratic presidential administration and the dependent variable in this hypothesis is the percentage of African Americans at the mid level.

H₄: There is a positive association between agencies' diversity management program scores and the percentage of African Americans at the mid level.

The independent variable is agencies' diversity management program scores and the dependent variable in this hypothesis is the percentage of African Americans at the mid level.

3. Does the political party of the administration and agency diversity management programs moderate the influence that the percentage of African Americans at the senior level have on the percentage of African Americans at the mid level?

H₃: The influence of the percentage of African Americans at the senior level at the beginning of a four-year period on the change in the percentage of African Americans at the mid level at the end of the four-year period is greater during democratic presidential administrations.

Democratic presidential administration was combined with the percentage of African Americans at the senior level at the beginning of a four-year period to form a new independent variable representing the interactive term in this hypothesis. Thus, the dependent variable is the change in the percentage of African Americans at the mid level at the end of the four-year period.

H₅: There is a positive relationship between agencies' diversity management program scores and the influence of the percentage of African Americans at the senior level at the

beginning of a four-year period and the change in the percentage of African Americans at the mid level at the end of the four-year period.

Agencies' diversity management program scores were combined with the percentage of African Americans at the senior level at the beginning of a four-year period to form a new independent variable representing the interactive term in this hypothesis. The dependent variable is the change in the percentage of African Americans at the mid level at the end of the four-year period.

Variables

The raw data used in this study were converted to percentages and standardized where appropriate and needed so that the data were comparable across agencies. The independent variable was the variable that was hypothesized to induce the change in the dependent variable. The dependent variable was the variable whose changes this research sought to explain. Control variables were other variables that may have been able to explain the changes in the dependent variable; they were introduced into this research to reduce the risk of incorrectly attributing explanatory power to the primary independent variable. An interacting variable allows the relationship between the independent and dependent variables to be moderated by a third variable. It illustrates how the nature of the relationship between the independent and dependent variable varies depending on the value of the third variable:

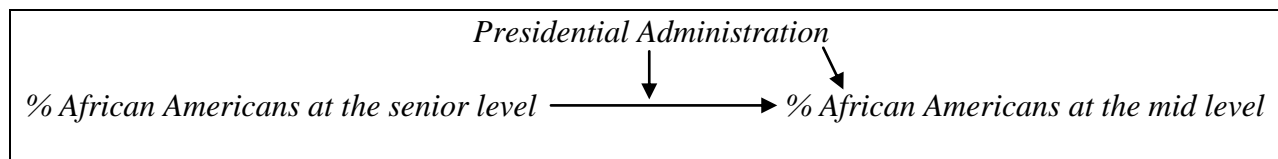


Figure 4: Interacting Variables

An intervening variable provides a link between the independent variable and the dependent variable. The intervening variable allows the researcher to understand the relationship between the independent and dependent variables by identifying other factors that intervene between the independent and dependent variables. Introducing an intervening variable into the research creates a three-variable explanation:

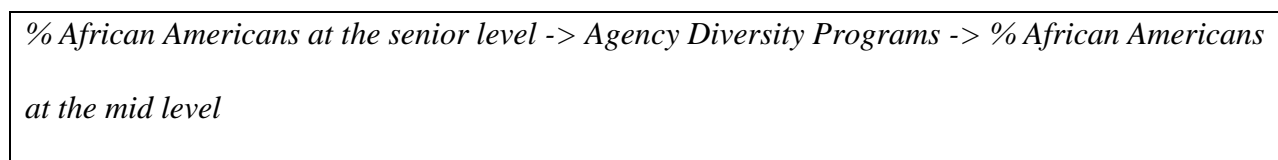


Figure 5: Intervening Variables

The primary independent variable for the study was the percentage of African Americans at the senior level at the beginning of a four-year period. African Americans at the senior level consisted of those federal employees in grades GS15 and the Senior Executive Service. That variable was created by dividing the total number of GS15 and SES into the total number of African Americans in grades GS15 and SES. The primary dependent variable in the study was the change in the percentage of African Americans at the mid level at the end of the four-year period. The mid level of the federal civil service consisted of employees in grades GS13 and GS14. The total number of GS13 and GS14 were divided into the total number of African Americans in grades GS13 and GS14 to form the percentage of African Americans at the mid level. The percentage of African Americans at the mid level at the beginning of a four-year period was subtracted from the percentage of African Americans at the end of the four-year

period to establish the dependent variable, change in the percentage of African Americans at the mid level.

Control variables included the percentage of African Americans at the mid level with college degrees, percentage of African Americans at the mid level whom were supervisors, percentage of African Americans at the mid level whom were veterans, average length of government service (seniority) for African Americans at the mid level, and average age (experience) of African Americans at the mid level. Selden and Selden (2001) noted that the average age of the American worker is expected to continue to rise in the next two decades with the number of workers between 16 and 24 years old falling by approximately eight percent. Lewis (1988) indicated that education, work experience and age tend to increase a worker's value on the job. Additionally, Lewis (1992) determined that seniority, education, and being a supervisor were important in explaining the differences between men and women who have risen to middle management status in the federal government. Therefore, the current study controlled for these variables. Blank (1985) and later Lewis and Frank (2002) concluded that protected groups (women, minorities, and veterans) were likely than others to choose public employment. Mani (2001) indicated that when federal agencies hire, they must, by law, give veterans hiring preference. Although the federal government is not required to give veterans preference in promotion, some believe that veterans come to the workplace with experience that gives them advantages when they compete with non-veterans for promotions (Guy, 1992; Hale & Kelly, 1989; Keeton, 1994; Newman, 1993). Lewis and Frank (2002) suggested that veterans are substantially more likely than non-veterans to want and to hold government jobs. Therefore, this study controlled for the percentage of African Americans who were also veterans.

The variable for the percentage of African Americans at the mid level with college degrees was created by dividing the total number of GS13 and GS14 with college degrees into the number of African Americans in grades GS13 and GS14 with college degrees. The same type of conversion was completed for the variables percentage of African Americans at the mid level who were supervisors and those who were veterans. The data for average length of government service and average age was used as it was received from OPM.

There were two moderating variables used in this study—presidential administration (Republican or Democratic) and the presence of agency diversity program. These variables were included in this study to determine their direct impact on the percentage of African Americans at the mid level and their indirect impact on the association between the percentage of African Americans at the senior level and the change in the percentage of African Americans at the mid level. To determine the direct impact, an independent variable was created for presidential administration and diversity management program scores and each were tested against the dependent variable—namely, African Americans at the mid level. To determine the moderating (indirect) impact, the change in the percentage of African Americans at the mid level remained the dependent variable and a new independent variable was created by combining each moderating variable with the percentage of African Americans at the senior level. Because the presidential administration variable was comprised of two discrete variables, dummy coding was utilized to create dichotomous variables (1=Democratic and 0=Republican). The diversity program interactive variable was comprised of the diversity program index scores.

There was the possibility that a change in the percentage of African Americans at the mid level could have been influenced by the percentage of African Americans in the feeder grades that move into the mid level. Large percentages of African Americans in GS12 positions which

feed into GS13 positions, and large percentages of African Americans in GS13 positions which feed into GS14 positions, could have influenced the percentage of African Americans moving into the mid level (push effect). The percentage of African Americans at the GS12 and GS13 level was controlled for in this model to account for the push effect. Table 6 below lists the variables that were utilized in this study.

Table 6: Variables

Independent	Control	Interacting	Dependent
Percentage of African Americans at the senior level at the beginning of a four-year period	Percentage of African Americans at the mid level with college degrees	Presidential Administration	Change in the percentage of African Americans at the mid level at the end of the four-year period
	Percentage of African Americans at the mid level who are supervisors	Agency Diversity Management Programs	
	Percentage of African Americans at the mid level who are veterans		
	Average length of service for African Americans at the mid level		
	Average age of African Americans at the mid level		
	Percentage of African Americans in grade GS12		
	Percentage of African Americans in grade GS13		

Statistical Analysis

One overall model was constructed to test the relationships for this study. All variables were entered into the overall model. Regression Analysis ($Y = a + b X$) using a method of ordinary least squares was used to test the hypotheses within the model. Because agencies vary in size, each data point did not provide equally precise information about the variation. Some data points were overstated while others were understated. Therefore, weights were added, resulting in a weighted least squares method ($Y = a + b_{w1} X_{w1}$). The purpose of using the weighted least squares was to give each agency its proper amount of influence in the analysis. Additionally, there was a four-year time lag in the analysis to ensure the impact of the percentage of African Americans at the senior level on the change in the percentage of African Americans at the mid level was adequately captured. The percentage of African Americans at the senior level at the beginning of a four-year period, starting at the end of the year, was tested against the change in the percentage of African Americans at the mid level at the end of the four-year period. The Statistical Program for Social Sciences (SPSS) was used to analyze the data for this study. All of the required data screening and corrections for regression analysis was completed prior to the analysis.

***H₁:** The percentage of African Americans at the senior level in agencies at the beginning of a four-year period will influence a positive change in the percentage of African Americans at the mid level in those agencies at the end of the four-year period.*

The percentage of African Americans in grade GS15 and the SES combined served as the independent variable, representing African Americans at the senior level at the beginning of a four-year period. The change in the percentage of African Americans in grades GS13 and GS14 combined served as the dependent variable, representing African Americans at the mid level at

the end of the four-year period. The control variables in the analysis were percentage of African Americans at the mid level with college degrees, percentage of African Americans at the mid level that were supervisors, percentage of African Americans at the mid level that were veterans, average length of federal service for African Americans at the mid level, and average age of African Americans at the mid level. A significance level of .05 was used to determine whether African Americans at the senior level were making a significant contribution to the percentage of African Americans at the mid level. The standardized coefficient was used to determine the extent to which African Americans at the senior level were contributing to African American employment at the mid level. All of the analysis was completed using SPSS.

***H₂:** The percentage of African Americans at the mid level is higher during Democratic presidential administrations.*

Presidential Administration was dummy coded (1- Democratic, 0-Republican) to form a dichotomous independent variable used in the overall model. The dichotomous variable was entered into the overall model to determine the direct impact on the dependent variable, percentage of African Americans at the mid level. Kim (2003) used a similar approach when exploring the linkage between passive and active representation, by examining the relationship between female and minority representation in the senior executive service for the period 1979-1999. The independent variables were female or minority employment share (or representation ratio) in the senior executive service and a president's party. The dependent variable used was policy outputs as defined by line-item budgets.

***H₃:** The influence of the percentage of African Americans at the senior level at the beginning of a four-year period on the change in the percentage of African Americans at*

the mid level at the end of the four-year period is greater during Democratic presidential administrations.

This analysis used presidential administration as a condition to test the association between the percentage of African Americans at the senior level and the change in the percentage of African Americans at the mid level. To test the interaction, the change in the percentage of African Americans at the mid level was regressed against an interactive variable, formed by combining presidential administration and the percentage of African Americans at the senior level. The new combined interactive variable was entered into the overall model to test the indirect impact of presidential administrations on the dependent variable.

H₄: *There is a positive association between agencies' diversity management program scores and the percentage of African Americans at the mid level.*

The dependent variable, African Americans at the mid level, was regressed against agencies' diversity management program scores. Agencies' diversity management programs were defined or coded according to their diversity program index score as established by Kellough and Naff (2004). See Table 5 in Appendix B for the complete listing of agency scores on diversity program indices. The data were collected from a survey administered by the National Performance Review's (NPR) Diversity Task Force to 160 agencies and sub-agencies in the spring of 1999. Usable responses were received from 137 or 85.6 percent of the organizations surveyed. Those included components from the 23 largest departments and agencies, as well as the U.S. Postal Service and most of the smaller agencies. Collectively, those organizations represented more than 80 percent of the federal civilian workforce. There is no known update to the findings from the survey of 1999. The agencies' diversity program management scores were

added to the overall model to test the direct influence on the change in the percentage of African Americans at the mid level after a five-year period, namely, in 2004.

H₅: There is a positive relationship between agencies' diversity management program scores and the influence of the percentage of African Americans at the senior level at the beginning of a four-year period and the change in the percentage of African Americans at the mid level at the end of the four-year period.

Agencies' diversity management programs could have intervened in the association between the percentage of African Americans at the senior level and the percentage of African Americans at the mid level. That is, African Americans at the senior level may have affected African Americans at the mid level indirectly through agencies' diversity management programs. Kellough and Naff (2004) concluded that a primary determinant of the level of development of agency diversity programs was support from the leadership of each organization. Hypothesis Five suggested that the percentage of African Americans at the senior level influenced agency diversity management programs and that agency diversity management programs influenced the percentage of African Americans at the mid level. The hypothesis was tested in the overall model by regressing the change in the percentage of African Americans at the mid level at the end of a four-year period against a new independent variable, which was formed by combining agencies' diversity management program scores and the percentage of African Americans at the senior level at the beginning of a four-year period.

Qualitative Research

Qualitative findings grow out of three kinds of data collection: (1) in-depth, open-ended interviews; (2) direct observation; and (3) written documents (Patton, 2002). This study utilized standardized, in-depth, open-ended interviews as the qualitative data collection method since

they yield direct assessments from people about their experiences, opinions, feelings, and knowledge. The specific intent of the interview questions utilized herein was to help explain the most important finding in the quantitative research—namely, that African Americans in senior-level positions were the most significant contributors to the increase in African Americans at the mid level over time. That quantitative finding generated three primary questions that were further explored using the qualitative interviews:

1. *Why do African Americans in senior-level positions influence the percentage of African Americans moving into mid-level positions?* According to previous research, African Americans in senior-level positions believe that the issue of African Americans moving into higher positions is important. This opinion was reflected in responses to questions pertaining to the importance of ethnic diversity in higher-level positions, the benefit of more African Americans in higher-level positions, and views on the current percentages of African Americans in higher-level positions.
2. *How do African Americans in senior-level positions influence the percentage of African Americans moving into mid-level positions?* The answer to this question was reflected in responses from senior managers pertaining to their direct and indirect involvement in decisions for their organization and contributions to hiring and promotions. Also, senior managers provided their opinions on adopting an advocacy role.
3. *What is important for African Americans in senior-level positions to influence the percentage of African Americans moving into mid-level positions?* Although the issue of increasing African American representation at higher levels was important to senior managers, there were factors that either hindered or aided their ability to

actively represent their juniors. The importance of some of those factors were reflected in their responses to questions pertaining to barriers, diversity management programs, efforts of the organization, interactions within the organization, and the qualifications of African American candidates.

Qualitative Research Approval

All human subjects' research is required to be approved through the Institutional Review Board (IRB) prior to starting the data collection process. One of three review choices may be requested from the IRB depending upon the level of risk imposed on the participants as set forth in regulations for the protection of human subjects (Title 45 Part 46 of the code of Federal Regulations): Exempt; Expedited Review; and Full Review. The interview protocol for this study was submitted to the IRB for expedited review. The interviews were designed to impose no more than minimal risk on each interviewee (see IRB approval letter at Appendix C). A consent form was required in the packet along with the interview guide submitted to the IRB for approval. The purpose of the consent form was to explain to each interviewee how their information would be protected and maintained and kept confidential and private. Each interviewee was required to sign a consent form prior to the interview (see Appendix D).

Qualitative Data Collection

The qualitative data were collected using a standardized open-ended interview protocol (see Appendix E). A standardized open-ended interview approach was used to ensure that each interviewee was asked the same questions in the same way and in the same order (Patton, 2002). This technique limited interviewer bias and increased reliability of the data collection instrument. The standardized open-ended interviews were conducted with senior managers from a sample of the agencies utilized in the quantitative research. Managers were selected from various agencies

with the lowest to the highest relationship between the percentage of African Americans at the senior level and the change in the percentage of African Americans at the mid level. Interviews were conducted with both male and female senior managers at the GS15 and SES levels. Interviews were conducted in person or by telephone, whichever was most convenient for the interviewee. All interviews were tape recorded on a digital hand-held recorder and transcribed at a later date. The tape-recorded interviews were downloaded on a password-protected personal computer using digital voice manager software and further copied to a 512MB thumb drive as a secondary source of storage. All of the tape-recorded interviews and storage devices were maintained by the interviewer in a locked filed drawer at his private residence.

The recorded interviews were transcribed using Dragon NaturallySpeaking 10.0, which is a voice-to text-speech recognition software. The recorded interviews were repeated verbatim by the interviewer into a microphone plugged into a desktop computer and the words were transcribed into a Microsoft word text document. The text document was later edited for punctuation; however, any grammatical irregularities were maintained as original text. The transcribed interviews were saved on two separate 512MB thumb drives and maintained by the interviewer as back-up precautions.

Qualitative Data Analysis

The object of analyzing qualitative data is to determine the categories, relationships and assumptions that inform the respondents' view of the world in general, and of the topic in particular (McCracken, 1988). An important first step in this study was to ensure that the mass volume of interview information was organized appropriately for analysis. A codebook was developed for that purpose. Coding is one of the significant steps taken during analysis to organize and make sense of textual data (Basit, 2003). It involves subdividing the data as well as

assigning categories (Dey, 1993). The codebook for this study consisted of primary categories or themes along with descriptions of the categories and examples of comments to be coded.

Category names can come from the pool of concepts that researchers already have from their disciplinary and professional reading, derived from the technical literature, or are the words and phrases used by informants themselves (Strauss & Corbin, 1990). Miles and Huberman (1994) suggested creating codes from the conceptual framework, the list of research questions, hypotheses, problem areas, and/or key variables that the researcher brings to the study. The codes in this study were created to answer the following three research questions that were generated as a result of the primary quantitative finding: (1) Why do African Americans in senior-level positions influence the percentage of African Americans moving into mid-level positions? (2) How do African Americans in senior-level positions influence the percentage of African Americans moving into mid-level positions? (3) What is important for African Americans in senior-level positions to influence the percentage of African Americans moving into mid-level positions? The codebook with brief descriptions of each code is provided in Table 7.

Table 7: Representative Bureaucracy Codebook

Code	Description	Examples of issues/ideas to Code
1. Advocate Responsibility	<ul style="list-style-type: none"> •African American senior managers' responsibility to advocate for more African American representation at higher levels within the federal civil service 	<ul style="list-style-type: none"> •Admission of responsibility to advocate •Disagreement with responsibility to advocate •Degree of responsibility to advocate •Reasons to advocate •Types of advocacy
2. Barriers	<ul style="list-style-type: none"> •Roadblocks that prevents or impedes African Americans from obtaining higher level positions within organizations 	<ul style="list-style-type: none"> •Organizational barriers •Include organizational culture •Individual barriers •Policy barriers
3. Benefits	<ul style="list-style-type: none"> •Benefits of having more African Americans at higher levels in the federal civil service •Benefits of having more African Americans at higher levels within the organization 	<ul style="list-style-type: none"> •Benefit to other African Americans •Benefit to other minorities •Benefit to the majority •Benefit to the federal civil service •Benefit to the organization
4. Contributions	<ul style="list-style-type: none"> •Contribution to the representation of African Americans at higher levels within the organization 	<ul style="list-style-type: none"> •Direct contribution to hiring or promoting African Americans to higher level positions •Indirect contribution to hiring or promoting African Americans to higher levels •Most successful efforts contributing to the increase in the percentage of African Americans at higher levels
5. Decision Involvement	<ul style="list-style-type: none"> •Involvement in decisions to fill vacancies for higher level positions within the organization 	<ul style="list-style-type: none"> •Directly involved with decisions •Include hiring or promotion authority •Indirectly involved with decisions •Include advising hiring or promotion authority •Include making recommendations to approval authority
6. Diversity Management	<ul style="list-style-type: none"> •Managing diversity in higher level positions within the organization 	<ul style="list-style-type: none"> •Policies or procedures to monitor higher level positions for diversity •Policies or procedures for selecting candidates to higher level vacancies

Table 7, continued

Code	Description	Examples of issues/ideas to Code
7. Efforts of Organization	•Organization's efforts to improve African American representation at higher levels	•Types of effort •Level of effort •Lack of effort
8. Ethnic Diversity	•Importance of having ethnic diversity at higher levels within the federal civil service	•Degree of importance to have ethnic diversity •Impacts of the lack of ethnic diversity •Significance of ethnic diversity
9. Interactions	•Interactions with other African Americans within the organization	•Types of interactions •Include internal and external interactions •Level of interactions •Include senior and below senior level interactions •Lack of interactions
10. Percentages	•Percentages of African Americans at higher levels within the federal civil service •Percentages of African Americans overall and at higher levels within the organization	•Relevance of the percentage of African Americans at higher levels •Adequacy of the percentage of African Americans at higher levels •Significance of the percentage of African Americans at higher levels •Knowledge of the percentage of African Americans within the organization
11. Qualifications	•Qualifications of candidates in the feeder pools that lead into higher level positions	•Degree of qualifications for current candidates •Lack of qualifications for current candidates •Types of qualifications needed for candidates
12. Suggestions	•Other suggestions to influence greater representation of African Americans at higher levels	•Include suggestions for organization policy •Include suggestions for individual improvement •Include suggestions for federal policy
13. Other	•Other relevant items not previously coded	•Anything not covered in a previous category

A computer software package was used to aid the analyses of the qualitative data. NVivo is the most recent version of NUD*IST (Non-numerical Unstructured Data, Indexing Searching and Theorizing) and provides considerable flexibility in coding qualitative data. Although computer programs for text analysis have been around since 1966 (Tesch, 1990), electronic methods for coding data are increasingly being used by researchers. Nonetheless, no single software program can replace the job of the research, which is to create the categories, do segmenting and coding, and decide what to retrieve and collate. The software provides rapid and comprehensive searching in lieu of the limited and slow process of manual searching and filing (Bisit, 2003). The interview transcripts had to be imported into NVivo. A list of the categories was prepared as nodes in the program. Sub-nodes were created as required. Coding was accomplished by selecting segments of the text and adding it under the designated category. Once all coding was completed, analysis was conducted on the themes and relationships within the data. Conclusions were drawn and findings were generated from the results.

CHAPTER 4: DATA ANALYSIS

The purpose of this chapter is to explain the data analysis for this study. The data were analyzed using both quantitative and qualitative methods. Priority was given to the quantitative method of analysis, and thus is the first method of analysis explained in this chapter. Qualitative analysis was used as a secondary method to help explain the findings of the quantitative analysis. There were three research questions and five hypotheses used to direct the quantitative analysis:

1. Does the percentage of African Americans employed at the senior level of the federal bureaucracy influence the percentage of African Americans employed at the mid level?
2. Does the political party of the administration and agency diversity management programs influence the percentage of African Americans at the mid level?
3. Does the political party of the administration and agency diversity management programs moderate the influence that the percentage of African Americans at the senior level have on the percentage of African Americans at the mid level?

***H₁:** The percentage of African Americans at the senior level in agencies at the beginning of a four-year period will influence a positive change in the percentage of African Americans at the mid level in those agencies at the end of the four-year period.*

***H₂:** The change in the percentage of African Americans at the mid level is greater during democratic presidential administrations.*

***H₃:** The influence of the percentage of African Americans at the senior level at the beginning of a four-year period on the change in the percentage of African Americans at the mid level at the end of the four-year period is greater during democratic presidential administrations.*

***H₄:** There is a positive association between agencies' diversity management program scores and the change in the percentage of African Americans at the mid level.*

***H₅:** There is a positive relationship between agencies' diversity management program scores and the influence of the percentage of African Americans at the senior level at the beginning of a four-year period on the change in the percentage of African Americans at the mid level at the end of the four-year period.*

Quantitative Analysis

Data used in this study were collected from the Office of Personnel Management for 132 federal agencies. In total, 48 of the 132 agencies were selected to be included in the analysis according to specified criteria. Each agency had to exist in all five of the years included in the study (1988, 1992, 1996, 2000, 2004), and each agency had to have a minimum of 10 African Americans assigned at the senior level (GS-15 or SES) in the aggregate for the five years. Table 8 lists the specific 48 agencies whose data was included in the analysis, and Table 9 has a summary of descriptive statistics for the 48 agencies by year. The data in Table 9 is consolidated for all 48 agencies as of the end of each year listed.

Table 8: Federal Agencies (48)

AF-DEPARTMENT OF THE AIR FORCE	HU-DEPARTMENT OF HOUSING AND URBAN DEVELOPMENT
AG-DEPARTMENT OF AGRICULTURE	IB-BROADCASTING BOARD OF GOVERNORS
AH-NAT FOUNDATION ON ARTS AND HUMANITIES	IN-DEPARTMENT OF INTERIOR
AM-AGENCY FOR INTERNATIONAL DEVELOPMENT	LP-GOVERNMENT PRINTING OFFICE
AN-AFRICAN DEVELOPMENT FOUNDATION	MC-FEDERAL MARITIME COMMISSION
AR-DEPARTMENT OF THE ARMY	NF-NATIONAL SCIENCE FOUNDATION
AU-FEDERAL LABOR RELATIONS AUTHORITY	NL-NATIONAL LABOR RELATIONS BOARD
BO-OFFICE OF MANAGEMENT AND BUDGET	NN-NAT AERONAUTICS AND SPACE ADMINISTRATION
CC-COMMISSION ON CIVIL RIGHTS	NP-NATIONAL CAPITAL PLANNING COMMISSION
CM-DEPARTMENT OF COMMERCE	NQ-NAT ARCHIVES AND RECORDS ADMINISTRATION
DD-OTHER DEPARTMENT OF DEFENSE	NU-NUCLEAR REGULATORY COMMISSION
DJ-DEPARTMENT OF JUSTICE	NV-DEPARTMENT OF THE NAVY
DL-DEPARTMENT OF LABOR	OM-OFFICE OF PERSONNEL MANAGEMENT
DN-DEPARTMENT OF ENERGY	RR-RAILROAD RETIREMENT BOARD
EB-EXPORT-IMPORT BANK OF THE UNITED STATES	SB-SMALL BUSINESS ADMINISTRATION
EC-OFFICE OF ADMINISTRATION	SK-CONSUMER PRODUCT SAFETY COMMISSION
ED-DEPARTMENT OF EDUCATION	SM-SMITHSONIAN INSTITUTION (EXCEPT UAUSBOT)
EE-EQUAL EMPLOYMENT OPPORTUNITY COMMISSION	SS-SELECTIVE SERVICE SYSTEM
EP-ENVIRONMENTAL PROTECTION AGENCY	ST-DEPARTMENT OF STATE
FC-FEDERAL COMMUNICATIONS COMMISSION	TB-NATIONAL TRANSPORTATION SAFETY BOARD
FD-FEDERAL DEPOSIT INSURANCE CORPORATION	TC-U.S. INTERNATIONAL TRADE COMMISSION
FT-FEDERAL TRADE COMMISSION	TD-DEPARTMENT OF TRANSPORTATION
GS-GENERAL SERVICES ADMINISTRATION	TR-DEPARTMENT OF TREASURY
HE-DEPARTMENT OF HEALTH AND HUMAN SERVICES	VA-DEPARTMENT OF VETERANS AFFAIRS

Table 9: Summary Descriptive Statistics for 48 Agencies

Description \ Year	1988	1992	1996	2000	2004
Total Employees	2409185	2329750	2059122	1829373	1875865
Total AA Employees	410678	400953	356925	333949	337509
Total Senior Level	65429	76589	81905	80175	88998
Total AA Senior Level	2573	3635	4899	5571	6466
Total Mid Level	290346	342859	380132	365912	399263
Total AA Mid Level	19564	27337	33246	40091	49323
Total Mid Level Supervisors	0	0	67040	61531	63857
Total AA Mid Level Supervisors	0	0	5781	6074	6995
Total Mid Level College Degrees	150279	182960	191616	197181	214658
Total AA Mid Level College Degrees	8592	12054	14174	17222	21428
Total Mid Level Veterans	24618	78184	65368	54328	53540
Total AA Mid Level Veterans	1319	5018	4637	4425	5233
Average Age Mid Level	44.17670286	45.10772164	46.21137218	46.80727595	47.50852575
Average AA Age Mid Level	43.48697479	45.10040323	46.42695313	46.59201521	47.3
Average Length of Service Mid Level	15.86179664	16.29895238	17.46575729	17.49325643	17.27868561
Average AA Length of Service Mid Level	18.01008403	19.13548387	20.23764706	20.1878327	19.67481203
Total New Mid Level Hires	0	3249	1656	4343	6037
Total New AA Mid Level Hires	0	194	84	473	548
Total Mid Level Promotions	40188	37864	34421	42909	40964
Total AA Mid Level Promotions	3048	3704	3740	5862	5508
Total Mid Level Separations	0	6951	12049	11808	13588
Total AA Mid Level Separations	0	438	793	908	1435

Source: U. S. Office of Personnel Management

The data analyzed in the study consisted of a four-year lag. The independent variables included data for years 1988, 1992, 1996 and 2000. The dependent variable included data for the years 1992, 1996, 2000 and 2004 for grades GS13 and GS14. Eight cases were created for each of the 48 agencies, which provided a total of 384 cases to be analyzed in the study. There were a

total of seven independent variables used in this analysis. The primary and most important independent variable in the study was the percentage of African Americans at the senior level at the beginning of a four-year period. That variable consisted of members in grades GS15 and the senior executive service (SES) for the years 1988, 1992, 1996 and 2000. The primary concern of the study was the influence of African Americans at the senior level on the increase in African Americans at the mid level over a period of time.

Scholars have concluded that there are other variables that contribute to influencing higher-level achievement, such as education, work experience, age, seniority, being a supervisor and being a veteran (Lewis, 1988; Hale & Kelly, 1989; Guy, 1992; Lewis, 1992; Newman, 1993; Keeton, 1994). These variables (enumerated and described below) were used as control variables in this study. Each control variable included data for grades GS12 and GS13 for the years 1988, 1992, 1996 and 2000. Employees in grades GS12 and GS13 advance into the mid level grades, GS13 and GS14 through the merit system.

1. The first control variable, *percentage of African Americans in grade below*, was included to test a push effect. That variable determined if the percentage of African Americans in the grades below that lead into the mid level grades influenced the change in the percentage of African Americans at the mid level over a period of time.
2. The *percentage of African Americans in grade below with a college degree* was included to determine if having a college degree had a significant impact on African Americans moving into the mid level.
3. The *percentage of African Americans in grade below who were supervisors* was included to determine if being a supervisor provided African Americans an advantage for moving into the mid level over time.

4. The *percentage of African Americans in grade below who were veterans* was included to determine if having military experience provided African Americans an advantage for moving into the mid level over time.
5. The *average length of service (tenure) for African Americans in grade below* was included to determine if seniority provided African Americans an advantage for moving into the mid level over a period of time.
6. The *average age for African Americans in grade below* was included to determine if experience represents an important factor for moving into the mid level over a period of time.

Due to previous research findings, all of these variables were expected to have some level of influence on the change in the percentage of African Americans moving into the mid level. Due to the ecological fallacy, conclusions drawn from group-level data cannot be used for individuals. The conclusions drawn from this study generalize to the group and not individuals.

Additionally, two moderating variables were used in this analysis. (1) Presidential Administration was dummy coded such that Democrat = 1 and Republican = 0. That variable was used to determine if the presidential administration in office had a significant impact on the change in the percentage of African Americans at the mid level over a period of time. (2) Agency diversity management programs were operationalized using agency diversity program scores established by Kellough and Naff (2004). That variable was used to determine if federal agencies' diversity management programs had an impact on the change in the percentage of African Americans at the mid level over a period of time. The one dependent variable (DV) in this study was the change in the percentage of African Americans at the mid level at the end of a four-year period. That variable consisted of the percentage of African Americans assigned at

grades GS13 and GS14 in the years 1992, 1996, 2000 and 2004. That was the response variable that reacted to the impacts of the independent variables to reflect the significance of those variables.

The change in the percentage of African Americans at the mid level was dependent upon the number of promotions, hires and separations for each agency. Promotions were the primary method of advancement to the next higher grade in the federal civil service. New hires accounted for 8.8 percent of the advancement to the mid level for the 48 agencies used in this study. The trends for African American promotions and hires into the mid level from 1992 to 2004 mirrored the trends for all promotions and hires into the mid level for those timeframes. The greatest increases were during the second term of the Democratic administration, namely, from 1996 to 2000. The largest decrease for promotions was during the first term of the Republican administration, from 2000 to 2004. There was a continuous increase for new hires from 1996 to 2004. There was a continuous increase in the percentage of promotions for African Americans into the mid level from 1992 to 2004, with the largest percentage increase occurring during the second term of the Democratic administration, from 1996 to 2000. It is noteworthy that the percentage of African American separations continuously increased during this timeframe, with the largest increase occurring during the Republican administration, from 2000 to 2004. The percentage of new hires for African Americans decreased the first term of the Democratic administration from 1992 to 1996 and again during the first term of the Republican administration from 2000 to 2004. Table 8 identifies agency and African American promotions, hires and separations. Figures 6 through 8 are graphical representations of the table data.

Table 10: Agency and African American Promotions, Hires and Separations

Mid Level	1992			1996			2000			2004		
	Promotions	Hires	Separations	Promotions	Hires	Separations	Promotions	Hires	Separations	Promotions	Hires	Separations
Agency	37243	3038	6769	33353	1510	11714	40105	3923	11208	34557	5596	12308
African Americans	3646	179	421	3568	73	760	5384	373	846	4668	496	1279
Percent African Americans	0.0979	0.0589	0.0622	0.1070	0.0483	0.0649	0.1342	0.0951	0.0755	0.1351	0.0886	0.1039

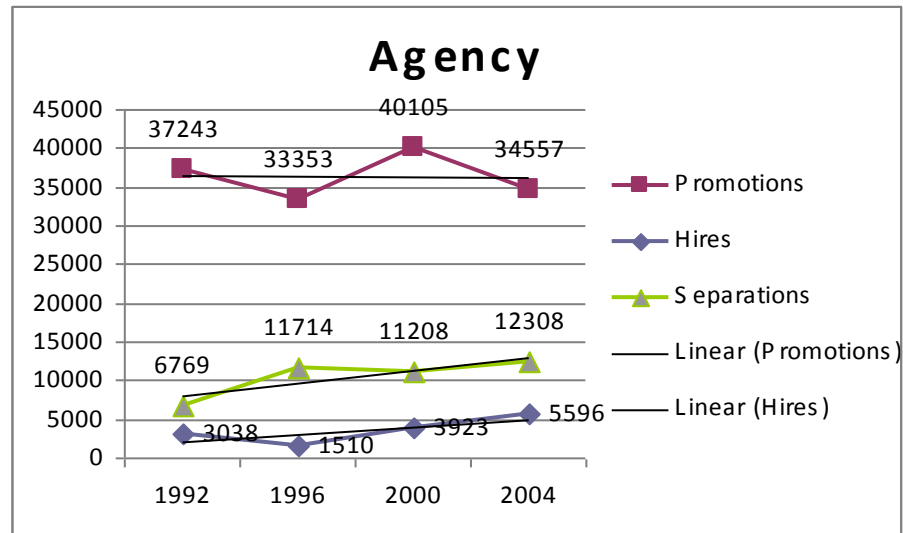


Figure 6: Agency Promotions, Hires and Separations

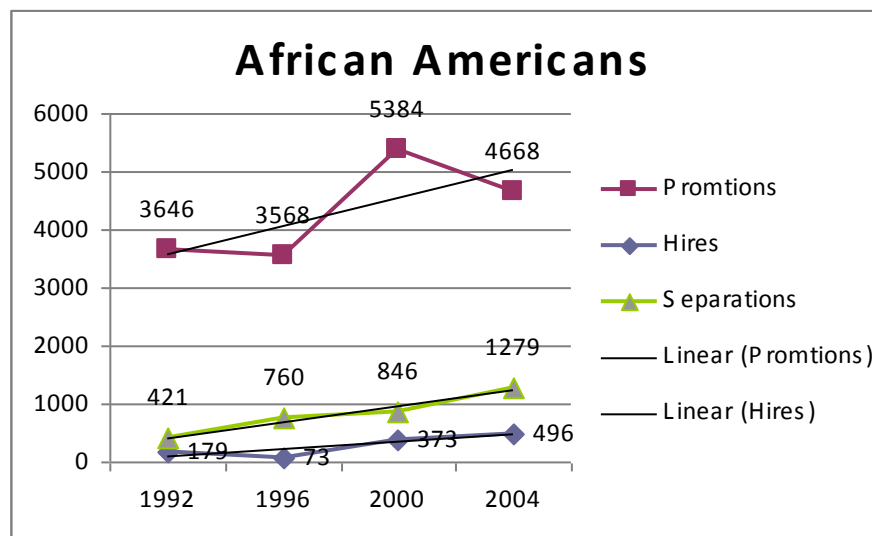


Figure 7: African American Promotions, Hires and Separations

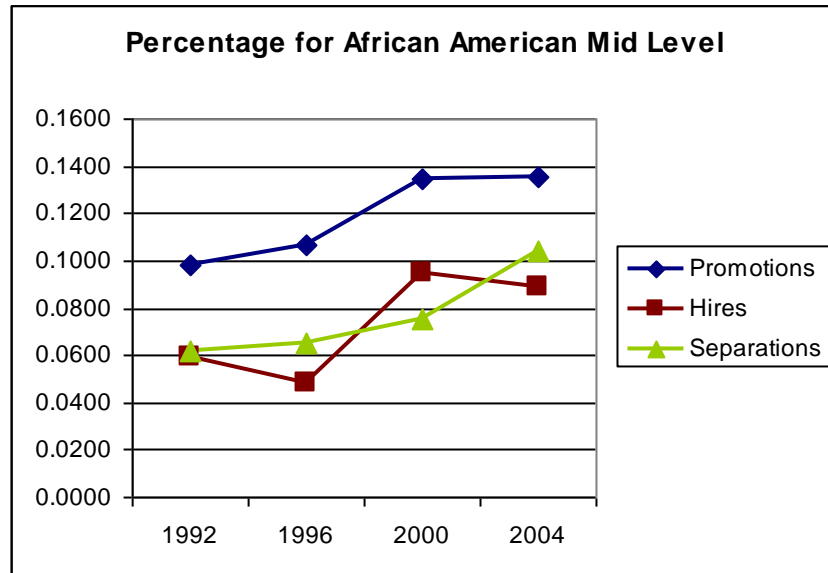


Figure 8: Percentage of African American Promotions, Hires and Separations

There was little change in the trends for advancement into the mid level when promotions and hires were combined to create total gains. The trends for agency and African Americans total gains approximated the trends for promotions. The trend for the percentage of gains for African Americans approximated the percentage of promotions for African Americans up to the second term of the Democratic administration. The percentage of total gains dropped slightly for African Americans at the end of the first term of the Republican administration in 2004. Additionally, there was a continuous climb in the percentage of change between gains and separations for African Americans during the Democratic administration from 1992 to 2000. There was a decline in the change during the Republican administration from 2000 to 2004. Table 11 identifies agency and African American gains and separations. Figures 9 through 11 are graphical representations of the table data.

Table 11: Agency and African American Gains and Separations

Mid Level	1992			1996			2000			2004		
	Gains	Separations	Change	Gains	Separations	Change	Gains	Separations	Change	Gains	Separations	Change
Agency	40281	6769	33512	34863	11714	23149	44028	11208	32820	40153	12308	27845
African Americans	3825	421	3404	3641	760	2881	5757	846	4911	5164	1279	3885
Percent African Americans	0.0950	0.0622	0.1016	0.1044	0.0649	0.1245	0.1308	0.0755	0.1496	0.1286	0.1039	0.1395

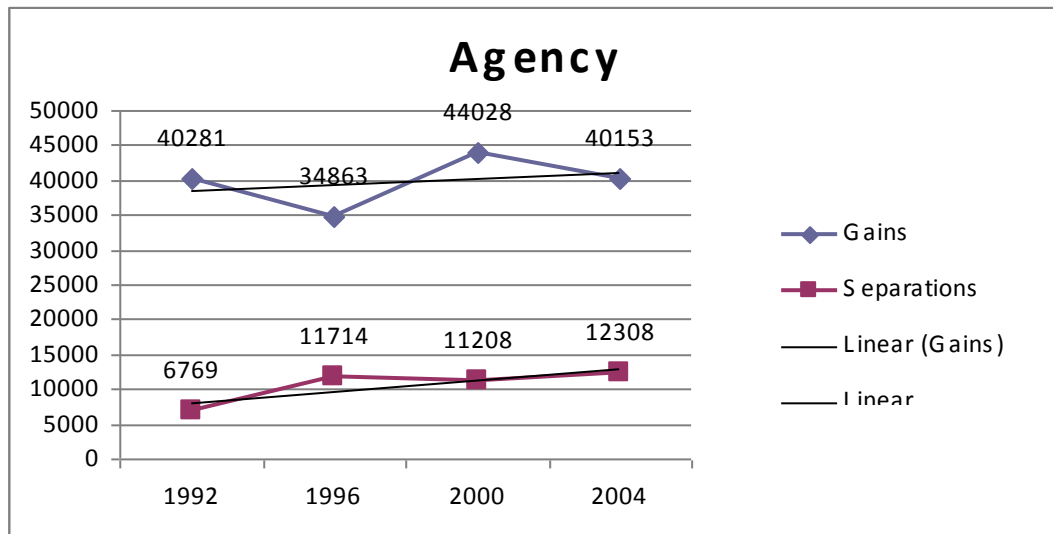


Figure 9: Agency Gains and Separations

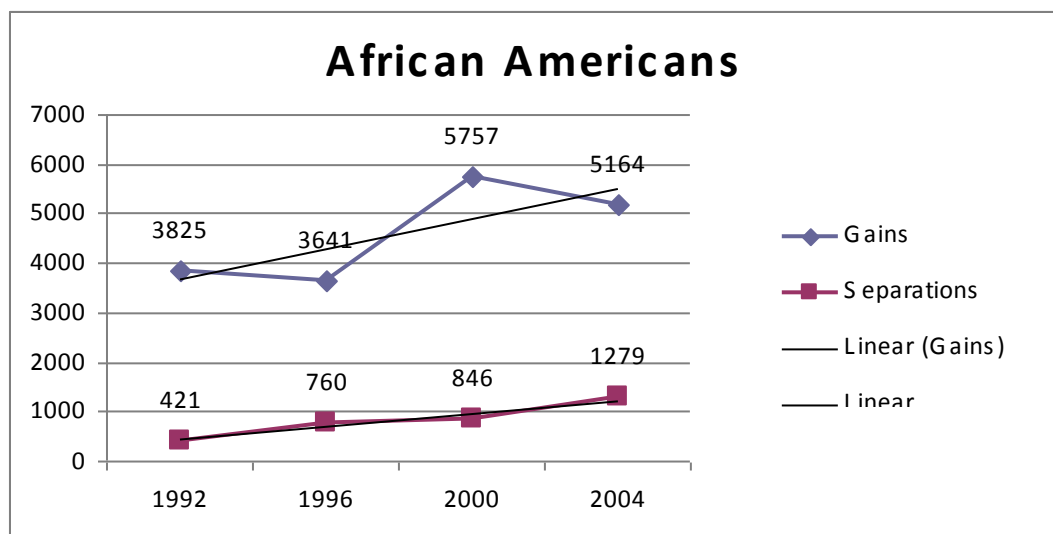


Figure 10: African American Gains and Separations

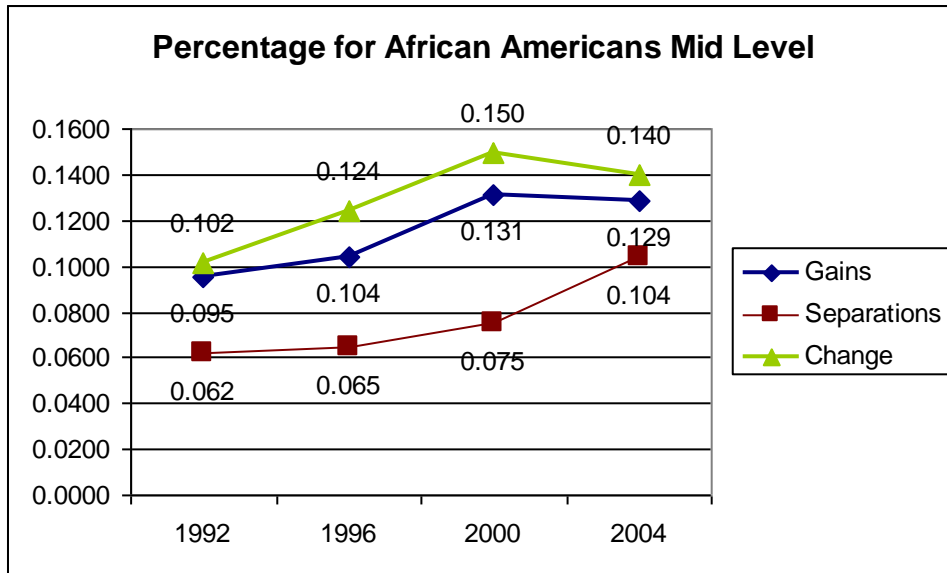


Figure 11: Percentage for African American Gains and Separations

SPSS was used to perform multiple regression analysis to evaluate the hypotheses. The individual variables were screened for outliers, normality, multicollinearity, homoscedasticity, and missing values. Missing values were found in three cases for two independent variables: average length of service (tenure) and average age. The missing values were replaced with the variable mean. Additionally, problems of skewness and kurtosis were identified in some variables which suggested violations of normality in data sets (see Table 12). Normality of data is preferred for multiple regression analysis and transformation of data is recommended to create a more normal distribution. Skewness and kurtosis close to zero suggest near normal distributions.

Table 12: Initial Statistics

		DV-% ChgML	IV-% SLPrior	%Grade Below Prior	% College Grade Below Prior	%Super Grade Below Prior	%Vets Grade Below Prior	SMEAN (AAvg LOS)	SMEAN (AAvg Age)
N	Valid	384	384	384	384	384	384	384	384
	Missing	0	0	0	0	0	0	0	0
	Mean	.0214	.0919	.1749	.1467	.1084	.1362	18.8640	44.2696
	Std. Error of Mean	.00512	.00596	.00610	.00708	.01084	.00740	.18867	.16902
	Std. Deviation	.10031	.11670	.11950	.13873	.21247	.14510	3.69724	3.31212
	Variance	.010	.014	.014	.019	.045	.021	13.670	10.970
	Skewness	1.109	3.563	1.921	3.437	2.657	2.286	-.440	-.789
	Std. Error of Skewness	.125	.125	.125	.125	.125	.125	.125	.125
	Kurtosis	35.735	15.066	4.600	16.104	7.177	7.589	2.505	3.056
	Std. Error of Kurtosis	.248	.248	.248	.248	.248	.248	.248	.248
	Range	1.64	.83	.72	1.00	1.00	1.00	28.87	27.23
	Minimum	-.77	.00	.03	.00	.00	.00	4.83	28.70
	Maximum	.88	.83	.75	1.00	1.00	1.00	33.70	55.93

The first multiple regression analysis to test Hypothesis One was performed without transformation of the data and produced a significant but weak model with Multiple R of .264, R Square of .069 and Adjusted R Square of .052. However, with the weak model the unstandardized coefficients suggested that the primary independent variable was significant (.027) and had a positive effect (.144) on the change in the dependent variable. A one unit change in the percentage of African Americans at the senior level led to a .144 change in the percentage of African Americans at the mid level four years later. Two control variables had a significant influence as well. The percentage of African Americans in the grades below led to a .169 change in the dependent variable four years later. The average age of African Americans in the grades below led to a .005 change in the dependent variable four years later (see Table 13).

Table 13: Untransformed OLS Regression Results for Hypothesis 1

Variables	Unstandardized Coefficients		Standardized Coefficients	t	Sig.
	B	Std. Error	Beta		
Senior Level	0.144	0.065	0.167	2.217	0.027 *
Feeder Group	0.169	0.064	0.201	2.649	0.008 **
College Degree	-0.117	0.061	-0.162	-1.926	0.055
Supervisor	-0.017	0.025	-0.037	-0.695	0.488
Veteran	-0.061	0.038	-0.088	-1.602	0.11
Length of Service	-0.003	0.002	-0.103	-1.202	0.23
Age	0.005	0.002	0.176	2.138	0.033 *
<p>R²: .069 Adjusted R2: .052 Standard Error: .09766 F: 4.008 N: 383</p> <p>Statistical Significance (one-tailed): *** 0.001 **0.01 *0.05</p>					

Logarithmic transformation was conducted on six of the eight variables to create near normal distributions and to strengthen the power of the model. Transformation was not required for average length of service (tenure) or average age. Those two variables already had skewness of less than plus or minus one, which approximates normality. A constant should be added to any variable with negative or zero values during transformation to prevent creating missing cases of more than three percent. A constant of one was added to the independent variables percentage of African American veterans and percentage of African American supervisors during transformation. Transformation of the dependent variable without adding a constant created missing cases of more than three percent but also improved normality significantly as represented by the change in skewness and kurtosis. When a constant was added during transformation, the result was no missing cases but normality was not improved. The missing

cases were randomly scattered throughout each agency and didnot prevent any agency from being included in the analysis. The decision was made to transform the dependent variable and improve normality and exclude the missing cases from the analysis. No other variables required a constant during transformation to avoid missing cases of more than three percent (see Table 14).

Table 14: Logged Transformation Statistics

		L%ChgML	L%SLPrior	L% GradeBelow	L%College	LAAVets2	LAASuper2	SMEAN (AAVgLOS)	SMEAN (AAVgAge)
N	Valid	309	376	384	373	384	384	384	384
	Missing	75	8	0	11	0	0	0	0
	Mean	-3.9304	-2.7628	-1.9333	-2.1405	-2.4416	-3.4453	18.8640	44.2696
	Std. Error of Mean	.06454	.04161	.03108	.03461	.05927	.07973	.18867	.16902
	Std. Deviation	1.13457	.80691	.60907	.66837	1.16146	1.56245	3.69724	3.31212
	Variance	1.287	.651	.371	.447	1.349	2.441	13.670	10.970
	Skewness	.039	.785	.144	.469	-.661	.811	-.440	-.789
	Std. Error of Skewness	.139	.126	.125	.126	.125	.125	.125	.125
	Kurtosis	1.585	.638	-.024	.664	-.291	-.957	2.505	3.056
	Std. Error of Kurtosis	.276	.251	.248	.252	.248	.248	.248	.248
	Range	8.32	4.07	3.28	3.83	4.62	4.62	28.87	27.23
	Minimum	-8.46	-4.25	-3.56	-3.83	-4.61	-4.61	4.83	28.70
	Maximum	-.13	-.18	-.29	.00	.01	.01	33.70	55.93

A review of the correlation matrix for the transformed variables revealed that some variables were highly correlated (see Table 15). Tabachnick and Fidell (2001) recommended not including variables with bivariate correlations of .70 or more in the same analysis. The independent control variable, logged percentage of African Americans with a college degree, was correlated above .70 with the percentage of African Americans at the senior level and the percentage of African Americans in the grade below and was excluded from the analysis. Additionally, the control variable average length of service (tenure) for African Americans in grade below was correlated above .70 with the control variable average age of African Americans in grade below and was excluded from the analysis.

Table 15: Logged Transformed Correlations

		L%ChgML	L%SLPrior	L%GradeBelow	L%College	LAAVets2	LAASuper2	SMEAN (AAAvgLOS)	SMEAN (AAAvgAge)
L%ChgML	Pearson Correlation	1.000	.529**	.471**	.522**	-.067	.075	-.042	-.004
	Sig. (1-tailed)		.000	.000	.000	.119	.095	.230	.470
	N	309	305	309	302	309	309	309	309
L%SLPrior	Pearson Correlation	.529**	1.000	.641**	.717**	.031	.189**	.012	.147**
	Sig. (1-tailed)	.000		.000	.000	.273	.000	.411	.002
	N	305	376	376	367	376	376	376	376
L%GradeBelow	Pearson Correlation	.471**	.641**	1.000	.852**	.245**	.148**	.118*	.126**
	Sig. (1-tailed)	.000	.000		.000	.000	.002	.011	.007
	N	309	376	384	373	384	384	384	384
L%College	Pearson Correlation	.522**	.717**	.852**	1.000	.164**	.125**	.001	.079
	Sig. (1-tailed)	.000	.000	.000		.001	.008	.493	.064
	N	302	367	373	373	373	373	373	373
LAAVets2	Pearson Correlation	-.067	.031	.245**	.164**	1.000	.215**	.150**	.201**
	Sig. (1-tailed)	.119	.273	.000	.001		.000	.002	.000
	N	309	376	384	373	384	384	384	384
LAASuper2	Pearson Correlation	.075	.189**	.148**	.125**	.215**	1.000	.281**	.287**
	Sig. (1-tailed)	.095	.000	.002	.008	.000		.000	.000
	N	309	376	384	373	384	384	384	384
SMEAN(AAAvgLOS)	Pearson Correlation	-.042	.012	.118*	.001	.150**	.281**	1.000	.770**
	Sig. (1-tailed)	.230	.411	.011	.493	.002	.000		.000
	N	309	376	384	373	384	384	384	384
SMEAN(AAAvgAge)	Pearson Correlation	-.004	.147**	.126**	.079	.201**	.287**	.770**	1.000
	Sig. (1-tailed)	.470	.002	.007	.064	.000	.000	.000	
	N	309	376	384	373	384	384	384	384

** . Correlation is significant at the 0.01 level (1-tailed).

* . Correlation is significant at the 0.05 level (1-tailed).

The variables analyzed in this study to test Hypothesis One after final data cleansing were the following:

- Dependent Variable – Logged change in the percentage of African Americans at the mid level at the end of the four-year period.
- Independent Variable – Logged percentage of African Americans at the senior level at the beginning of a four-year period.
- Control Independent Variables – (1) Logged percentage of African Americans in grades below at the beginning of a four-year period, (2) Average age for African Americans in grades below at the beginning of a four-year period, (3) Logged percentage of African Americans in grades below that are veterans at the beginning of a four-year period, (4) Logged percentage of African Americans in grades below that are supervisors at the beginning of a four-year period.

The regression analysis after transformations created a much stronger and significant model, Multiple R = .597, R Square = .357 and Adjusted R Square = .346. The primary independent variable was significant at .000 and accounted for the second largest unstandardized coefficient change in the dependent variable at .533. This was the most important independent variable in the model. That finding indicated that every one percent increase in the percentage of African Americans at the senior level was responsible for a .533 percent change in the percentage of African Americans at the mid level. That finding provided evidence to support Hypothesis One and allowed us to reject the null hypothesis. Those results supported the first research question: African Americans in senior level positions have a positive influence on the change in the percentage of African Americans assigned at the mid level after a four-year period.

Additionally, the logged percentage of African Americans in the grades below (which feeds into the mid level) was significant at .000 and accounted for most of the change in the dependent variable with an unstandardized coefficient of .606. This finding suggested evidence of a push effect into mid level positions. The higher the percentage of African Americans assigned in grades below the mid level, the higher the change in the percentage of African Americans at the mid level will be over a period of time. The average age of African Americans in grades below was significant at .025 with an unstandardized coefficient of -.042. For every one unit decrease in the average age of African Americans in an agency, there was a .042 percent increase in the change for the percentage of African Americans at the mid level over a period of time. This relationship implies that agencies with higher percentages of younger employees in the grades below the mid level would experience higher changes in the percentage of African Americans at the mid level over time. The logged percentage of African Americans who were veterans in the grades below was significant at .000 with an unstandardized coefficient of -.198.

For a one percent decrease in the percentage of veterans in an agency there was a .198 percent increase in the change for the percentage of African Americans at the mid level over time. This relationship implies that agencies with lower percentages of Veterans in the grades below have a higher change in the percentage of African Americans at the mid level over a period of time (see Table 16). Figure 12 is a graphical display of the raw scores for the percentage of African Americans assigned at the senior level at the beginning of a four-year period plotted against the change in the percentage of African Americans assigned at the mid level at the end of the four-year period. The other independent control variables were held constant using the means. The graph suggests that as the percentage of African Americans increase at the senior level there is a greater increase in the change in the percentage of African Americans at the mid level.

Table 16: Transformed OLS Regression Results for Hypothesis 1

Variables	Unstandardized Coefficients		Standardized Coefficients	t	Sig.
	B	Std. Error	Beta		
Logged Senior Level	0.533	0.091	0.36	5.846	.000***
Logged Feeder Group	0.606	0.12	0.322	5.07	.000***
Logged Supervisor	0.013	0.036	0.018	0.36	0.719
Logged Veteran	-0.198	0.055	-0.183	-3.569	.000***
Age	-0.042	0.019	-0.111	-2.246	.025*
<p>R²: .357 Adjusted R2: .346 Standard Error: .91914 F: 33.197 N: 304</p> <p>Statistical Significance (one-tailed): *** 0.001 **0.01 *0.05</p>					

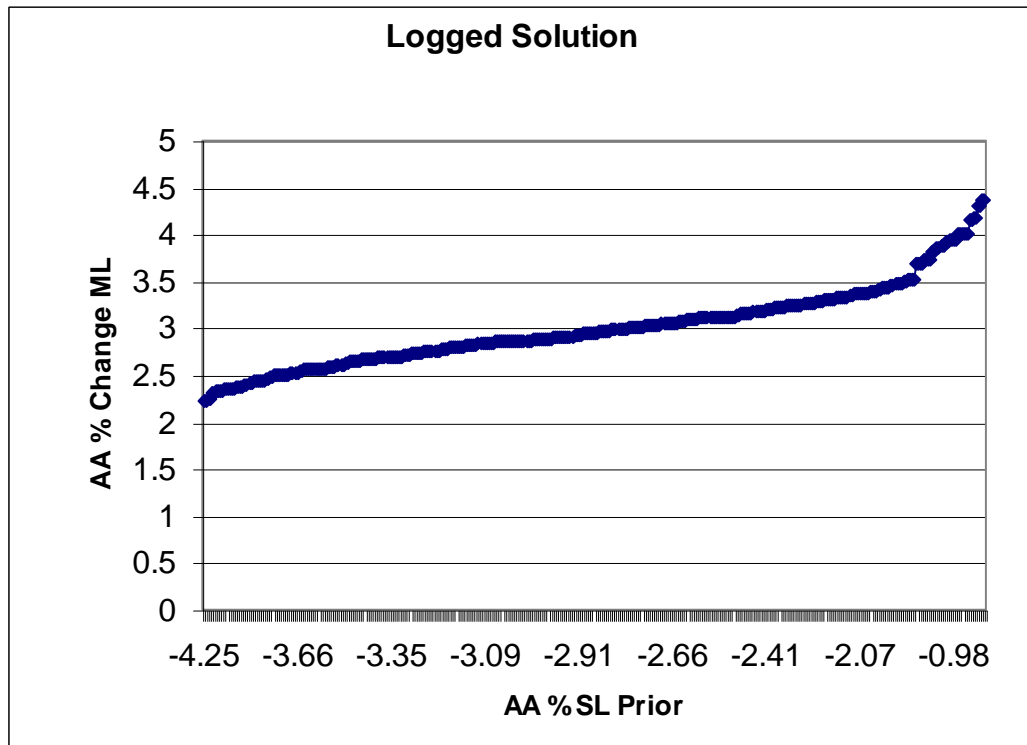


Figure 12: Logged Transformation Graph

Although the primary relationship in this study was supported by rejecting the null for Hypothesis One, a test was conducted to determine whether the relationship existed regardless of the proportion of African Americans already at the mid level within federal agencies. In other words, was the relationship between the percentage of African Americans at the senior level and the change in the percentage of African Americans at the mid level after a period of time still significant when African Americans at the mid level were already at or above the mean for African Americans within the federal civil service? The mean for African Americans in the civil service for the 48 agencies used in this study was .17. There were 251 cases where African Americans at the mid level were below the mean for African Americans within the federal civil service. There were 54 cases where African Americans were equal to or above the mean of .17 for African Americans within the federal civil service. Table 17 displays the analysis for those

agencies where African Americans at the mid level were below the mean for African Americans within the federal civil service. When comparing the unstandardized coefficients, the analysis suggests that African Americans at the senior level were the second most significant contributor to the change in the percentage of African Americans at the mid level in those agencies after a four-year period. Table 18 displays the analysis for those agencies where African Americans at the mid level were equal to or above the mean for African Americans within the 48 agencies. The analysis revealed that African Americans at the senior level were not significant to the change in the percentage of African Americans at the mid level in those agencies after a four-year period. Those findings suggest that African Americans at the senior level exerted an important influence on the positive change in African Americans at the mid level up to a certain point. However, once African Americans at the mid level reached the mean for African Americans within the federal civil service, the influence of African Americans at the senior level was no longer significant. The unstandardized coefficient for African Americans in senior level positions in the model where African Americans at the mid level were equal to or above the mean was half the size of the unstandardized coefficient in the model where they were below the mean. This difference suggests that even if African Americans in senior level positions were significant when African Americans at the mid level was equal to or above the mean for African Americans in the civil service, the impact lessened as the percentage of African Americans increased in the agency. Additionally, being a veteran was the most important contributor to the change in the percentage of African Americans at the mid level over time, particularly in those agencies where African Americans at the mid level were already at or above the mean for African Americans within the federal civil service.

Table 17: Mid Level Analysis Below African American Mean

Variables	Unstandardized Coefficients		Standardized Coefficients	t	Sig.
	B	Std. Error	Beta		
Logged Senior Level	0.598	0.113	0.348	5.287	.000***
Logged Feeder Group	0.676	0.137	0.327	4.948	.000***
Logged Supervisor	0.005	0.041	0.007	0.133	0.894
Logged Veteran	-0.165	0.065	-0.143	-2.552	.011*
Age	-0.036	0.022	-0.095	-1.692	0.092
<p>R²: .326 Adjusted R2: .312 Standard Error: .91364 F: 23.714 N: 250</p> <p>Statistical Significance (one-tailed): *** 0.001 **0.01 *0.05</p>					

Table 18: Mid Level Analysis Equal or Above African American Mean

Variables	Unstandardized Coefficients		Standardized Coefficients	t	Sig.
	B	Std. Error	Beta		
Logged Senior Level	0.3	0.186	0.217	1.61	0.114
Logged Feeder Group	0.215	0.293	0.1	0.733	0.467
Logged Supervisor	0.033	0.082	0.056	0.402	0.689
Logged Veteran	-0.277	0.115	-0.373	-2.419	.019*
Age	-0.069	0.037	-0.229	-1.846	0.071
<p>R²: .301 Adjusted R2: .228 Standard Error: .91843 F: 4.131 N: 53</p> <p>Statistical Significance (one-tailed): *** 0.001 **0.01 *0.05</p>					

To test Hypothesis Two, a dummy variable was created for Democratic administration by coding 1988 and 1992 = 0 (Republican) and 1996 and 2000 = 1 (Democrat). The dummy variable for Democratic administration was highly correlated with the logged variable for the percentage of African Americans who were supervisors at .743. The variable for the percentage of African Americans who were supervisors was eliminated from the analysis to test the affects of the presidential administration (see Table 19). When the new dummy variable was entered into the model along with the previous remaining variables, the strength of the model increased as follows: Multiple R = .606, R Square = .368 and Adjusted R Square = .357. Democratic administration was significant at .024 with an unstandardized coefficient of .262, suggesting that the change in the percentage of African Americans at the mid level was greater during Democratic presidential administrations. Those results allowed us to reject the null hypothesis for Hypothesis Two (see Table 20). The primary independent variable was significant at .000 and still accounted for the second highest unstandardized coefficient at .498.

Table 19: Correlations with Democratic Administration

		L%ChgML	L%SLPrior	L%GradeBelow	LAAVets2	LAASuper2	SMEAN(AAAvgAge)	DemocraticAdminSL
L%ChgML	Pearson Correlation	1.000	.529**	.471**	-.067	.075	-.004	.203**
	Sig. (1-tailed)		.000	.000	.119	.095	.470	.000
	N	309	305	309	309	309	309	309
L%SLPrior	Pearson Correlation	.529**	1.000	.641**	.031	.189**	.147**	.293**
	Sig. (1-tailed)	.000		.000	.273	.000	.002	.000
	N	305	376	376	376	376	376	376
L%GradeBelow	Pearson Correlation	.471**	.641**	1.000	.245**	.148**	.126**	.203**
	Sig. (1-tailed)	.000	.000		.000	.002	.007	.000
	N	309	376	384	384	384	384	384
LAAVets2	Pearson Correlation	-.067	.031	.245**	1.000	.215**	.201**	.189**
	Sig. (1-tailed)	.119	.273	.000		.000	.000	.000
	N	309	376	384	384	384	384	384
LAASuper2	Pearson Correlation	.075	.189**	.148**	.215**	1.000	.287**	.743**
	Sig. (1-tailed)	.095	.000	.002	.000		.000	.000
	N	309	376	384	384	384	384	384
SMEAN(AAAvgAge)	Pearson Correlation	-.004	.147**	.126**	.201**	.287**	1.000	.283**
	Sig. (1-tailed)	.470	.002	.007	.000	.000		.000
	N	309	376	384	384	384	384	384
DemocraticAdminSL	Pearson Correlation	.203**	.293**	.203**	.189**	.743**	.283**	1.000
	Sig. (1-tailed)	.000	.000	.000	.000	.000	.000	
	N	309	376	384	384	384	384	384

** . Correlation is significant at the 0.01 level (1-tailed).

Table 20: Analysis with Democratic Administration

Variables	Unstandardized Coefficients		Standardized Coefficients	t	Sig.
	B	Std. Error	Beta		
Logged Senior Level	0.498	0.091	0.336	5.445	.000***
Logged Feeder Group	0.605	0.119	0.321	5.105	.000***
Logged Veteran	-0.21	0.054	-0.195	-3.859	.000***
Age	-0.051	0.019	-0.136	-2.761	.006**
Democratic Administration	0.262	0.115	0.115	2.276	.024*
<p>R²: .368 Adjusted R²: .357 Standard Error: .91147 F: 34.767 N: 304</p> <p>Statistical Significance (one-tailed): *** 0.001 **0.01 *0.05</p>					

To test Hypothesis Three, a new variable was created. The new variable was a combination of the logged percentage of African Americans at the senior level at the beginning of a four-year period and the dummy variable for Democratic presidential administration, after centering. Numerous researchers (Aiken & West, 1991; Judd & McClelland, 1989) recommended centering the predictor variables before computing the interaction term to limit multicollinearity. Centering is accomplished by subtracting the means from the variables resulting in reducing the means to zero. Logged percentage of African Americans at the senior level at the beginning of a four-year period and the dummy variable for Democratic presidential administration were centered using this method.

The descriptive review revealed no correlations among the three variables greater than .293 (see Table 21). The three independent variables were entered into the analysis without any other independent variables to test the moderating effect. Each variable was entered into the

model in succession with the interactive variable entered last. The model was tested after each sequence. The strength of the model with the three variables was Multiple R = .533, R Square = .284 and Adjusted R Square = .277. The first predictor variable, centered logged percentage of African Americans at the senior level at the beginning of a four-year period, was significant at .000 with an unstandardized coefficient of .765. The second predictor variable, centered Democratic administration was not significant at .298. The interactive variable was not significant at .499 (see Table 22). These results imply that the influence of African Americans at the senior level on the change in the percentage of African Americans at the mid level was not moderated by the presidential administration. The null hypothesis could not be rejected.

Table 21: Centered Correlations

		Cent LAASGPrior2	CentDemo Admin2	Cent InteractiveIV2
CentLAASGPrior2	Pearson Correlation	1	.293**	.045
	Sig. (1-tailed)		.000	.193
	N	376	376	376
CentDemoAdmin2	Pearson Correlation	.293**	1	-.003
	Sig. (1-tailed)	.000		.475
	N	376	384	376
CentInteractiveIV2	Pearson Correlation	.045	-.003	1
	Sig. (1-tailed)	.193	.475	
	N	376	376	376

**. Correlation is significant at the 0.01 level (1-tailed).

Table 22: Presidential Moderating Effect

Variables	Unstandardized	Coefficients	Standardized	t	Sig.
	B	Std. Error	Beta		
Centered Logged Senior Level	0.765	0.076	0.516	10.057	.000***
Centered Democratic Administration	0.122	0.117	0.054	1.043	0.298
Centered Interactive Variable	-0.103	0.152	-0.033	-0.677	0.499
<p>R²: .284 Adjusted R²: .277 Standard Error: .96655 F: 39.829 N: 304</p> <p>Statistical Significance (one-tailed): *** 0.001 **0.01 *0.05</p>					

A second model was needed to analyze hypotheses four and five. Agency diversity index scores were available for 1999 only and matched to 15 agencies from the first model of 48 agencies (see Table 23).

Table 23: Agencies with Diversity Score Match (15)

AR-Department of The Army	IN-Department of the Interior
CM-Department of Commerce	NN-Nat Aeronautics and Space Administration
DD-Other Department of Defense	NV-Department of The Navy
ED-Department of Education	OM-Office of Personnel Management
EE-Equal Employment Opportunity	SB-Small Business Administration
EP-Environmental Protection Agency	ST-Department of State
GS-General Services Administration	VA-Department of Veterans Affairs
HU-Department of Housing and Urban Development	

To analyze Hypothesis Four, a correlation analysis was computed to compare agency diversity scores to the change in the percentage of African Americans at the mid level (GS13 and GS14) for the years 2000 and 2004. A total of 60 cases were created for possible use in this model. The initial descriptive review of both variables revealed no significant skewness in either variable (see Table 24). Moreover, correlation analysis revealed a weak association between the two variables at .010 that was not significant at .469 (see Table 25). That observation suggests that there was no significant association between agencies' diversity management program summary scores and the change in the percentage of African Americans at the mid level.

Table 24: Diversity Statistics

	DV-Percent Changein MidLevel	Diversity Summary Scores
N	60	60
Valid	0	0
Missing		
Mean	.0225	.8693
Std. Error of Mean	.00253	.46572
Std. Deviation	.01958	3.60744
Variance	.000	13.014
Skewness	.494	-.112
Std. Error of Skewness	.309	.309
Kurtosis	2.466	-.816
Std. Error of Kurtosis	.608	.608
Range	.12	12.55
Minimum	-.04	-5.87
Maximum	.08	6.68

Table 25: Diversity Correlations

	DV-Percent Changein MidLevel	Diversity Summary Scores
DV-PercentChangein MidLevel	1	.010
Pearson Correlation		.469
Sig. (1-tailed)		
N	60	60
DiversitySummaryScores	.010	1
Pearson Correlation	.469	
Sig. (1-tailed)		
N	60	60

A correlation analysis was computed to evaluate Hypothesis Five. An interactive variable was created by combining agency diversity summary scores and the logged percentage of African Americans at the senior level at the beginning of a four-year period (1996 & 2000). A correlation analysis was performed to determine if there was a positive association between the interactive variable and the change in the percentage of African Americans at the mid level at the end of the four-year period. A review of the correlation analysis revealed a weak association between the two variables at .015 that was not significant at .456 (see Table 26). This observation points to the lack of a positive relationship between agencies' diversity management program scores and the influence of the percentage of African Americans at the senior level at the beginning of a four-year period on the change in the percentage of African Americans at the mid level at the end of the four-year period.

Table 26: Diversity Interactive Correlation

		DV-Percent Change in MidLevel	Interactive DivSummary Score&Log PctSLPrior
DV-PercentChange in Mid Level	Pearson Correlation	1	.015
	Sig. (1-tailed)		.456
	N	60	60
InteractiveDivSummary Score&LogPctSLPrior	Pearson Correlation	.015	1
	Sig. (1-tailed)	.456	
	N	60	60

The relationship between agency diversity program summary scores and the change in the percentage of African Americans at the mid level at the end of a four-year period was tested further using multiple regression analysis. Agency diversity program summary scores were entered into the model along with the logged percentage of African Americans at the senior level

at the beginning of a four-year period to test the direct impact on the dependent variable (see Table 27). The variable, agency diversity program summary scores, was not significant at .927.

Table 27: Diversity Management Programs

Variables	Unstandardized Coefficients		Standardized Coefficients	t	Sig.
	B	Std. Error	Beta		
Logged Senior Level	0.022	0.007	0.376	3.067	.003**
Diversity Summary Scores	6.11E-05	0.001	0.011	0.092	0.927
<p>R²: .142 Adjusted R²: .112 Standard Error: .01845 F: 4.706 N: 59</p> <p>Statistical Significance (one-tailed): *** 0.001 **0.01 *0.05</p>					

To test the interactive effect, the following two variables—(1) agency diversity program summary scores and (2) the logged percentage of African Americans at the senior level at the beginning of a four-year period—were centered and combined for use in the model (see Table 28). Each variable was entered into the model in succession with the interactive variable entered last. The model was tested after each sequence. The strength of the model with the three variables entered was Multiple R = .377, R Square = .142 and Adjusted R Square = .096. The first predictor variable, centered logged percentage of African Americans at the senior level at the beginning of a four-year period, was significant at .004 with an unstandardized coefficient of .010. The second predictor variable, centered diversity summary program scores, was not significant at .877. The interactive variable was not significant at .857 (see Table 29). These results did not indicate a relationship between agencies' diversity management program scores and the change in the percentage of African Americans at the mid level for that sample of

agencies. Further, the findings revealed no evidence of a relationship between agencies' diversity management program scores and the influence of the percentage of African Americans at the senior level at the beginning of a four-year period on the change in the percentage of African Americans at the mid level at the end of the four-year period. In other words, for this study there was no evidence that the influence of African Americans at the senior level on the change in the percentage of African Americans at the mid level over a period of time was moderated by the presence of agency diversity management programs. Therefore, null Hypotheses Four and Five could not be rejected.

Table 28: Centered Diversity Interactive Descriptive Statistics

	Mean	Std. Deviation	N
DV-PercentChangein MidLevel	.0225	.01958	60
CentLogPctSLPrior	.0000	.76136	60
CentDiversitySumScore	.0000	3.60744	60
CentInteractive	-.0063	2.96279	60

Table 29: Centered Diversity Programs

Variables	Unstandardized	Coefficients	Standardized	t	Sig.
	B	Std. Error	Beta		
Centered Senior Level	0.010	0.003	0.377	3.045	.004**
Centered Diversity Summary Scores	0.000	0.001	0.021	0.156	0.877
Centered Interactive	0.000	0.001	0.025	0.181	0.857
<p>R²: .142 Adjusted R²: .096 Standard Error: .01861 F: 3.095 N: 59</p> <p>Statistical Significance (one-tailed): *** 0.001 **0.01 *0.05</p>					

The overall results of the quantitative analyses suggest that the percentage of African Americans employed at the senior level in federal agencies was important to a positive change in the percentage of African Americans employed at the mid level in those agencies over a period of time. These findings, therefore, support the central tenet of the theory of representative bureaucracy which suggest that passive representation—or the extent to which a bureaucracy employs people of diverse social backgrounds—leads to active representation, or the pursuit of policies reflecting the interests and desires of those people (Meier & Stewart, 1992; Meier, 1993a). In addition, active representative bureaucracy suggests that an individual (or administrator) is expected to advocate for the interests and desires of those whom he is presumed to represent, whether they represent the entire organization or some segment thereof (Mosher, 1968). These analyses resulted in a positive relationship suggesting that the higher the percentage of African Americans employed at the senior level, the greater the change in the percentage of African Americans employed at the mid level in those agencies. The finding is consistent with other scholars who have argued that higher concentrations of group members in the organization should make active representation more likely (Nachmias & Rosenbloom 1973; Thompson, 1976; Bayes, 1991; Meier, 1993a, 1993b; Hindera & Yound, 1998). Further, these analyses indicated that the percentage of African Americans employed at the senior level had the second largest impact on the positive change in the percentage of African Americans employed at the mid level in federal agencies of all the variables tested. The strong association in agencies at the federal level added to research indicating that values relating to race and ethnicity were important determinants of a person's policy decisions (Selden, 1997). Further, the findings discussed herein indicated that people in leadership positions in municipal government

influenced the growth of minority or female employment in municipalities (Kellough & Naff, 2004).

Other findings from this analysis suggest that younger employees at grades that lead into the mid level contributed more to the positive change in the percentage of African Americans at the mid level than older employees. Additionally, lower percentages of African Americans who were veterans in agencies contributed more to the positive change in the percentage of African Americans at the mid level over time. Additionally, the findings in this analysis contribute to previous research conducted on the presidential administration's impact on minority representation within the federal government (Rosenbloom, 1984; Lewis, 1988; Piven, 1992; Shull, 1993; Naff & Crum, 2000; Kim, 2003). Specifically, results in this study suggest that there was a greater positive change in the percentage of African Americans at the mid level in federal agencies during Democratic presidential administrations. This finding supports Kim (2003), who showed that greater numbers of women and minorities tend to be employed in higher level positions under Democratic administrations than under Republican administration. However, the findings in this analysis indicated that the presidential administration did not moderate the relationship between the percentage of African Americans employed at the senior level and the positive change in the percentage of African Americans employed at the mid level. This finding suggests a strong positive relationship between the percentage of African Americans employed at the senior level and the change in the percentage of African Americans employed at the mid level regardless of the presidential administration in office. This result further highlights the strong influence of individuals in leadership positions within federal organizations.

Other findings in this analysis suggest that federal agencies' diversity management programs did not significantly influence a positive change in the percentage of African

Americans at the mid level. Additionally, diversity management programs were not shown to have moderated either the relationship between the percentage of African Americans employed at the senior level, or the positive change in the percentage of African Americans employed at the mid level in federal agencies. These findings may be associated with the relatively small number of agencies and limited number of cases analyzed along with a smaller timeframe for the analysis. Additional research should be conducted with a larger sample and a longer timeframe for the analysis.

Qualitative Analysis

Qualitative interviews for this study were conducted from February 24, 2010 through May 10, 2010. Research interviews were conducted with a total of 15 African Americans at the senior level in 10 of the 48 agencies used in the quantitative portion of this study. Two of the senior managers were at the SES level (male and female) and the remaining 13 were at the GS15 level. A total of five of the 15 senior managers were females. Interviews were conducted with four senior managers from three of the 16 agencies with the highest change in the percentage of African Americans at the mid level from the quantitative findings in this study. Interviews were conducted with seven senior managers from three of the 16 agencies with the lowest change in the percentage of African Americans at the mid level from the quantitative findings in this study. Additionally, interviews were conducted with four senior managers from four of the 16 agencies with the mid range of change in the percentage of African Americans at the mid level from the quantitative findings in this study. Almost all interviews were completed by telephone; however, two interviews were conducted in person. See Table 30 for a breakdown of the interviews by grade and gender.

Table 30: Qualitative Interviews by Grade and Gender

Agency	Mid Level Change	SES	GS15	Female	Male	Interview
1	L		3	1	2	Type
2	L		3	1	2	F&T
3	M		1		1	T
4	M		1		1	T
5	H		1		1	T
6	L	1			1	T
7	H		1	1		T
8	M		1		1	T
9	H	1	1	2		F&T
10	M		1		1	T

Each of the senior managers who was interviewed signed an informed consent form which was maintained by the interviewer (see Appendix D). Table 31 identifies the agencies with the highest, lowest, and mid-range change in the percentage of African Americans at the mid level from the quantitative findings for this study.

Table 31: Agencies Listed by Change in Mid Level Percentage

Agencies with 2% to 12% A.A. Change	Agencies with 1.1% to 1.8% A.A. Change	Agencies with -3.6% to 1.1% A.A. Change
CC-COMMISSION ON CIVIL RIGHTS	FD-FEDERAL DEPOSIT INSURANCE C	DD-OTHER DEPARTMENT OF DEFENSE
MC-FEDERAL MARITIME COMMISSION	NQ-NAT ARCHIVES AND RECORDS AD	NU-NUCLEAR REGULATORY COMMISSI
AN-AFRICAN DEVELOPMENT FOUNDAT	AG-DEPARTMENT OF AGRICULTURE	AR-DEPARTMENT OF THE ARMY
FC-FEDERAL COMMUNICATIONS COMM	DJ-DEPARTMENT OF JUSTICE	AU-FEDERAL LABOR RELATIONS AUT
SS-SELECTIVE SERVICE SYSTEM	IB-BROADCASTING BOARD OF GOVER	DN-DEPARTMENT OF ENERGY
AM-AGENCY FOR INTERNATIONAL DE	AH-NAT FOUNDATION ON ARTS AND	SM-SMITHSONIAN INSTITUTION (EX
OM-OFFICE OF PERSONNEL MANAGEM	HE-DEPARTMENT OF HEALTH AND HU	NF-NATIONAL SCIENCE FOUNDATION
HU-DEPARTMENT OF HOUSING AND U	RR-RAILROAD RETIREMENT BOARD	AF-DEPARTMENT OF THE AIR FORCE
ED-DEPARTMENT OF EDUCATION	TD-DEPARTMENT OF TRANSPORTATIO	TC-U.S. INTERNATIONAL TRADE CO
FT-FEDERAL TRADE COMMISSION	VA-DEPARTMENT OF VETERANS AFFA	BO-OFFICE OF MANAGEMENT AND BU
SB-SMALL BUSINESS ADMINISTRATI	DL-DEPARTMENT OF LABOR	EB-EXPORT-IMPORT BANK OF THE U
SK-CONSUMER PRODUCT SAFETY COM	LP-GOVERNMENT PRINTING OFFICE	IN-DEPARTMENT OF INTERIOR
TB-NATIONAL TRANSPORTATION SAF	NL-NATIONAL LABOR RELATIONS BO	NV-DEPARTMENT OF THE NAVY
TR-DEPARTMENT OF TREASURY	NN-NAT AERONAUTICS AND SPACE A	EE-EQUAL EMPLOYMENT OPPORTUNIT
GS-GENERAL SERVICES ADMINISTRA	ST-DEPARTMENT OF STATE	EC-OFFICE OF ADMINISTRATION
EP-ENVIRONMENTAL PROTECTION AG	CM-DEPARTMENT OF COMMERCE	NP-NATIONAL CAPITAL PLANNING C

The results of the quantitative analysis generated three primary questions (Q1, Q2, Q3) that were explored using the standardized open ended qualitative interviews: (1) Why do African Americans in senior level positions influence the percentage of African Americans moving into

mid level positions? (2) How do African Americans in senior level positions influence the percentage of African Americans moving into mid level positions? And, (3) What is important for African Americans in senior level positions to influence the percentage of African Americans moving into mid level positions? There was one representative bureaucracy codebook created to identify all of the themes from the standardized open-ended interviews. There were a total of 17 themes and 425 expressions generated from the interviews as shown in Table 32. Three themes identified with Q1; three themes identified with Q2; and six themes identified with Q3.

Table 32: Representative Bureaucracy Coding

Tree Node Representative	# of Informants Making Expressions	Total Expressions
Bureaucracy	N (%)	N (%)
Percentages	15 (100)	54 (12.7)
Benefits	15 (100)	39 (9.1)
Interactions	15 (100)	39 (9.1)
Qualifications	15 (100)	37 (8.7)
Ethnic Diversity	15 (100)	28 (6.5)
Diversity Management	14 (93.3)	34 (8.0)
Advocate Responsibility	14 (93.3)	30 (7.0)
Efforts of Organization	14 (93.3)	20 (4.7)
Contributions	13 (86.6)	25 (5.8)
Mentoring	13 (86.6)	25 (5.8)
Decision Involvement	13 (86.6)	16 (3.7)
Barriers	12 (80.0)	28 (6.5)
Other	10 (66.6)	22 (5.1)

Tree Node Representative Bureaucracy	# of Informants Making Expressions N (%)	Total Expressions N (%)
Suggestions	8 (53.3)	15 (3.5)
Culture	4 (26.6)	6 (1.4)
Social Capital	3 (20.0)	4 (0.9)
Similarity-Attraction	2 (13.3)	3 (0.7)
TOTAL NUMBER OF INFORMANTS	15	
TOTAL EXPRESSIONS		425

As indicated in the literature review, administrators were more likely to engage in active representation when the issue was one that was salient to their social group. Based on the quantitative results, senior level African American administrators were expected to articulate reasons why it was important to increase African American representation at higher levels. Three themes were generated from the interview questions that focused on why African Americans in senior level positions contributed to increases in the percentage of African Americans in higher level positions. First, in general, senior managers believed that it was important to have ethnic diversity to include African American representation at higher levels of the federal civil service. Second, senior managers believed that increasing African Americans representation at higher levels benefited the overall federal government, their organization, their social group, and other minorities. Third, senior managers agreed that the current percentages should have been higher for African Americans in mid to senior level positions. Specific responses coded under the themes addressing the first primary question are discussed in the subsequent three sections.

Ethnic Diversity

Senior managers were asked to comment on the importance of having ethnic diversity at higher levels within the federal civil service. One hundred percent of the respondents commented on the importance of having ethnic diversity at higher levels within the federal civil service. A total of 28 expressions were recorded. Most of the respondents expressed various reasons that they considered important to have ethnic diversity at higher levels. Some managers' comments supported the importance of ethnic diversity to society as a whole, while other comments supported the importance to relationships within organizations. More than half of the senior managers expressed some level of importance and significance to having ethnic diversity at higher levels. One senior manager expressed that,

It is very important that we reflect the diversity of our country and make sure that everyone has equal opportunity and access to such grades. When you have diversity the viewpoints and decisions and the ideas are inclusive of everyone. Thoughts and opinions, and things that are important to that particular group can be brought to the table. (#12-GS15)

A few senior managers expressed that there were negative impacts of not having ethnic diversity at senior levels. One manager commented that,

If everyone who is in the lower levels are females, African Americans, Hispanics, and Asians, and if everybody at the top are Caucasian males and Caucasian females; the working relationship between the upper echelon and the lower echelon; there is just going to be some disconnect there. (#11-GS15)

Benefits

Senior managers were asked to comment on the benefits of having more African Americans at higher levels within their organization and within the federal civil service.

Examples of comments included benefit to other African Americans, benefit to other minorities,

benefits to the majority, benefit to the organization, and benefit to the federal civil service. All of the senior managers commented on this question and 39 expressions were coded to this theme. While all respondents agreed that there were benefits to having more African Americans at higher levels within the civil service, their reasoning varied. Some managers' comments supported the concept of representative bureaucracy; while a few discussed the benefit of collegial support.

As expected, many senior managers commented on benefits to African Americans as a social group. One senior manager commented that, "The value of having more African Americans at higher levels is; the more you have the more you have a tendency to look out for your people; well, people that are like you." (#11-GS15) The same manager stated,

It would be very beneficial for the organization to have more African Americans at the senior level. I mean, because the lower level African Americans will see, just like when Barack Obama was elected to president; there is hope you know, we can make it. (#11-GS15)

One other senior manager indicated that because of a few recent promotions,

I don't feel totally alone now. I didn't have anybody that I could go to and say, hey, this is what I am going through; someone to talk to about issues; because as a Black man everything you do is Black; whether you want it to be or not. People look at you and they see a color first; sometimes they pre-judge you. (#1-GS15)

Other opinions suggested that the benefits were not just for African Americans as a social group. There were benefits to other minorities. As one senior manager commented, "If we had more African Americans at higher levels it would make opportunities for other minorities, not just Blacks but minorities, period." (#1-GS15) The same senior manager commented further that,

We are a little bit different in dealing with other minorities; we understand their pain. Therefore, we don't hold them back; we try to give them the same opportunities that we

give ourselves. We don't get selfish with it. We understand that they go through the same things that we go through. It will open up things for all minorities, not just Blacks. (#1-GS15)

Some comments suggested that having more African Americans at higher levels within the civil service would benefit the majority who are at those levels. As one manager pointed out,

We need to demonstrate to people who have never worked with African Americans from the Historically Black Colleges and Universities [HBCUs] at a senior level, who will then have an opportunity to grow themselves, come to understand that you can have outstanding students that come from different places. Every outstanding student will not be a by-product of West Point or Harvard or Yale. There are other institutions and then there are those people who come through the school of hard knocks; who work their way up; who go to school at night and get their degrees and they deserve consideration as well. (#15-GS15)

Additional responses expressed benefits to individual organizations and the federal civil service as a whole. The value of a variety of ideas and opinions in decision making has been recognized by many scholars. Including African Americans at higher levels is a means of adding to that variety of ideas. As indicated by the following comment, "African Americans are just like those other minorities. We open it up and we get better diversity of ideas and opinions and experiences at the table." (#10-GS15) Federal agencies are competing with private industry for exceptional talent to deal with increasingly complex jobs and work in a global economy and society. It is important to have effective marketing strategies and means to attract a diversity of individuals to federal organizations. Potential new African American hires would see future opportunities in working for an organization with African Americans at higher levels. As another senior manager suggested in referring to his organization,

We would benefit with more African Americans at higher levels because, one, you would make our picture look like the picture of America. We would benefit because when we go out and people see that this looks like America, I want to work for them. So it would make us more marketable to minorities; that's the big thing. (#12-GS15)

Historically, African Americans have held small percentages of positions at higher levels in the federal government and private industry. Previous research has suggested that receiving awards and promotions are important issues to African Americans (Taylor, 1979; Grandjean, 1981; Borjas, 1982; DiPrete, 1989; Slay, 2003). Unfortunately, African Americans submit the most EEO complaints pertaining to promotions, on an annual basis, of any minority group (EEOC, 2006). Filing complaints is an indication that workers perceive they are not being treated fairly, which could impact their work performance and overall production. Increasing African American representation at higher levels may help to diminish this perception—and in the long term improve production for the organization. As one other senior manager commented,

One of the issues that my organization deals with is the appearance that we are not looking out for our people. And I think a lot of times in the African American community and work they feel they are under-represented and not getting their fair share of promotions. And so that obviously affects their work, their output, and their production at work. It also affects their attitude at work. Certainly, having the opportunity for our African Americans staff to get promoted to GS13 through GS15 would benefit the agency from the standpoint that they would be a happier staff and more productive staff. And that goes a long ways toward ensuring a better work product. (#3-GS15)

Another senior manager commented, “I think if they had greater diversity in leadership and engaged more people in the decision making process, then the number of EEO complaints being filed will go down.” (#15-GS15)

Percentages

Senior managers were asked to provide their opinions on the current percentages of African Americans within the federal civil service and those in higher level positions. All of the senior managers interviewed commented on this theme and 54 expressions were coded. Comments coded included the relevance, adequacy, significance, and knowledge of the percentages in the federal civil service and individual agencies. Despite the fact that for many respondents the particular areas under their direct authority were over-represented, most respondents expressed a need for greater representation of African Americans at higher levels within the federal civil service as a whole. There was a particular emphasis on the need for African American males in these positions.

When informed of the current percentages of African Americans by grade for the total civil service, most managers agreed that the percentages at the higher levels were too low and needed to be improved. As one manager commented,

In looking at those percentages, I will say that is a pretty good representation of African Americans that's currently in the government. My personal thoughts to it is that it is too low on the higher end, that meaning the GS13 on up to SES. I believe we need an increase in those numbers. (#12-GS15)

Another manager in a different agency indicated that "If we are 17% of the population we should be 17% every place else." (#1-GS15) One other manager from another agency commented that,

If minorities—particularly African Americans—constitute about 17% or 18% nationally, then if the federal civil service has that kind of demographic then that would be okay. What is kind of disheartening is that when you look within the government where these individuals are situated they are actually situated at the lower levels of the organizations without a lot of power to institute new changes that help to mold the organization...six percent at the senior part is really kind of inadequate. (#4-GS15)

Although most of the managers agreed that the percentages of African Americans at higher levels in the civil service was low and should be increased, many were not aware of the overall percentage of African Americans or the percentage of African Americans in grades GS13 through SES in their own organization. Yet, most senior managers indicated that the percentages of African Americans in higher level positions in their organization was low or needed improvement. As one senior manager stated, “I don’t have the overall percentage of African Americans in my organization right off the top of my head.” (#11-GS15) That same manager commented that “the percentages for African Americans at grades GS13 and above are definitely low. They are low everywhere government wide and they are also low in this organization.” (#11-GS15) Another manager from a different organization stated that,

There is a significant change at the GS14 and GS15 levels; it drops off and there are very few Black men at the GS14 and GS15 grade levels; and that is something that the department is now looking at. (#15-GS15)

Additionally, there was an indication that the low percentage for African Americans at the higher levels is worse for African American males as suggested in the last comment. This was evident from comments made by four other senior managers from different organizations:

There are no Black male GS15 in that band. Now obviously what that means is that most of the Black GS15 are females, but, we do have Black males in grades GS13 and GS14 in that band. In the SES category there are no Black males, so, the Black representatives are females. (#10-GS15)

I don’t know the percentage of African Americans at the higher grades... In financial operations we actually have maybe six that are GS15 and over maybe 70 that are in financial operations total. So, that is not bad when you think about 70 and at least there are six African Americans and actually they all are women...the other ones are

Caucasians. Overall the percentage is low but in my particular area it's a little higher. (#5-GS15)

For 2009 the percentages of African Americans in the higher grades are, for the first time, for African American males, have gone down and is actually below the civilian labor force for African American males at the grade GS15 and GS14. (#6-GS15)

I know the SES level is very small. As a matter of fact it is barely a percentage point. At the GS15 level we are probably running around six percent if that high, and there are probably more women than there are men. I would say at the GS13 and GS14 levels we are more abundant; I would put it somewhere in the vicinity of maybe 11% or 12%. (#7-GS15)

Although many senior managers believed that their overall organization should have a higher representation of African Americans at higher levels, a few of those same senior managers noted an over-representation of African Americans within their specific areas of authority. One senior manager stated that, "My division is known as the Black section. Unfortunately that is true. I have a bigger percentage. I know that sounds bad but it is true, approximately 80%." (#2-GS15) A second senior manager commented that "As a matter of fact my staff is probably not considered as being diverse. Out of 15 staff members only one is White." (#3-GS15) Another senior manager indicated that the overall percentage of African Americans in his area of responsibility was 60%. (#8-GS15) Another senior manager attributed the high over-representation of African Americans to the specific mission of his office: "This office, because of its mission, is an office that is not representative of what you traditionally find in the federal government. We have eight employees; all of our employees are African American." (#15-GS15) His office serves a high proportion of African American clients.

One senior manager that was interviewed felt that underrepresentation of African Americans at higher levels was not an issue for his agency as a whole, because of its mission. One responsibility of his agency is to enforce federal laws that prohibit employment discrimination. He commented that employees from social groups who have had a history of being discriminated against are attracted to his agency. Historically, his agency has been and continues to be well represented with African Americans and other minorities at higher levels as he stated:

Within the SES level we are probably at 45%, so it is a little bit higher than the actual population, at the senior pay level. The senior pay level as we define it is about 45%. But there is a dip in the GS14 and GS15 for the last couple of years so it is about 25%. We have very high numbers. Our mission drives certain folks to us. We have the highest number of folks with severe disabilities. Also, our mission drives folks here. We have a pretty high Hispanic population when you compare it to the rest of the federal government. You know, women outnumber men in my organization two to one. So those issues that are relative to these groups draw them to the organization so it really helps us in terms of our diversity. Sometimes I don't like to use us as a benchmark because our mission drives folks here. (#13-SES)

That senior manager believed that the historical and current demographics of his organization presents a different type of atmosphere and drives a different type of attitude for the employees.

He indicated the following:

We have a long history of African American SES at the highest level in our organization. I guess sometimes you are with an organization and you don't see anyone from your particular race or your national origin or your gender. It makes you leery. In this organization since you see it, I guess, you know, it frees you to just compete and do your best. I've only been at the organization for 12 years but from the moment I've been here there have been many senior level folks, African Americans, so that hasn't been an issue. (#13-SES)

The following three major themes were generated from questions pertaining to how African Americans in senior level positions influenced greater increases of African Americans in higher level positions:

1. *Decision Involvement:* African Americans in senior level positions are involved directly or in-directly with decisions to fill vacancies for higher level positions within their organizations. This type of involvement provides opportunities for African American senior managers to make decisions or influence decisions to advance other African Americans into higher level positions.
2. *Contributions:* African Americans in senior level positions have directly hired or promoted other African Americans into higher level positions or influenced the decision of others to hire or promote African Americans into higher level positions.
3. *Advocate Responsibility:* African Americans in senior level positions have advocated and admit to a responsibility to advocate for increasing the representation of African Americans at higher levels. The following sections analyze comments from senior managers for each of these three themes.

Decision Involvement

Senior managers were asked to respond to questions pertaining to their involvement with decisions to fill vacancies for higher level positions within their organizations. Responses from 13 of the 15 managers were captured and 16 expressions were coded for this theme. Most respondents were in positions where they were able to make active representative decisions, while others were in positions where they could influence others to make decisions that were beneficial for their social group.

Nine managers identified themselves as being directly authorized to hire or promote within their specific area of responsibility. These managers served as the selecting official or reviewing official for all hiring or promotions to higher grades within their area of responsibility. As one of the highest level senior managers interviewed indicated,

In my organization my program has about 40 individuals and we have four individuals for positions at the 15 level; probably eight at the 14 level and our career path for generalists go to a GS13...so probably 70% of our positions have the potential to be at the 13 or higher...our supervisors generally began at the 14 level and so at that level in my program I am usually involved in all of the selections either as the selecting official or the reviewing official. (#13-SES)

Another senior manager stated, “I am a hiring manager. Actually, I am at a point now where I am filling a GS13 target GS14 position. I do data analysis and try to implement programs and develop policy that would make it more inclusive and diverse.” (#6-GS15) The remaining four managers identified themselves as being indirectly involved with decisions to fill positions for higher level vacancies. Their involvement included advising and making recommendations to hiring officials and heads of the agencies. One manager commented that “My involvement is as an advisor to management and to look out at other institutions to create diversity in the applicant pool.” (#10-GS15) Another senior manager stressed that “My position is to inform the head of the agency the lack of participation of any particular group and what I recommend to her in order to increase that participation, that’s where I come in.” (#12-GS15)

Contributions

Senior managers were asked to respond to questions pertaining to their contributions to hiring or promoting African Americans into higher level positions within their organizations. Responses were captured from 13 of the 15 managers and 25 expressions were coded for this

theme. The majority of respondents indicated that they had performed an active representative role by directly or indirectly contributing to the passive representation of African Americans at higher levels within their organizations. While most of the managers had hired or promoted African Americans directly, many had established or led programs aimed at increasing representation. Moreover, others had influenced non-African American officials to hire or promote African Americans into higher level positions.

Ten managers indicated that they had directly hired or promoted African Americans to a higher level or they had established policies or programs or had some other direct influence that resulted in African Americans being advanced to higher levels. One of the senior managers provided an example of a special program established under his authority:

About five or six years ago, a group of managers at my organization started creating a developmental program to help the folks in our administrative cadre develop skills necessary for them to bridge to some of our professional positions and we've piloted it. We actually made selections of folks and gave them two years of development to get them at that level. So now we are seeing some of the folks who were career locked at GS7 actually have moved into some of our professional series, and some of them have already made it up to the GS12 level and getting close to the GS13 level. The reason why this affects African Americans is because in the Washington DC area most of your clerical folks, at least in our office, were African Americans. So it gave a real opportunity for quite a few of them although they were not exclusively the benefit of the program.
(#13-SES)

Another manager provided an example of a direct influence that resulted in a senior level promotion,

I had a GS15 vacancy that was downgraded to a GS14...There was an African American male that I put into that GS14 position. He was in that 14 position but it was a GS15 slot

running a branch as a GS14. I finally got that position upgraded and he was the most qualified on the register and knew the job and he just got a GS15. (#2-GS15)

Other managers expressed comments on their direct hiring or promotions such as the following statement:

I just recently hired a GS13 in my office; and even though I was looking for technical skills in the job applicant. I just happen to end up hiring an African American female and that was because she had more of the technical skills of what I was looking for. (#10-GS15)

Seven senior managers indicated that they had indirectly contributed to African Americans being hired or promoted into higher level positions. They had influenced the decision of the selecting official, influenced the candidate, or influenced policies or programs to ensure African Americans were available to be considered. One senior manager explained his influence on the head of the agency, as follows:

I am going to give you one example of my contribution through influencing my agency head. We really had a critical shortage at the GS15 level for females, Black females, and what she did in that aspect is transmit that in a way to the higher echelon that we have a problem...when your presidential appointee tells your senior execs that we have a problem here they look at the process a little bit different...the influence goes from her, we have a problem here and I am dissatisfied with this percentage and we have all of these folks available...my influence there is to talk to the head of the agency so that influence would transfer downward and then they know what to do from that point. (#12-GS15)

Another senior manager provided the following example:

When the SES that I work for was hiring for his special assistant, which is a GS14, I was on the board for that and I voted for the GS14 that he selected. I had influence on the SES

for who he selected and he selected the guy that I wanted him to select which was a Black male. (#1-GS15)

Another senior manager provided the following example of assisting candidates: “My most successful efforts have been helping to groom folks, giving them tips on resume writing, presentations, network building which has translated into several people that I know getting promotions, getting new jobs.” (#6-GS15) When referring to the recruitment program one senior manager commented,

My advice is on the recruitment end. We have to build strong comprehensive recruitment programs. So, we ensure that we are going to the right places, so that the right people are in the applicant pool. For instance for our recruitment we recruit at Hispanic community institutions, African American institutions, Native American institutions...The intent is to ensure we are going to the right places so that we can draw a good mix of applicants that we will be able to choose from. (#10-GS15)

Advocate Responsibility

Senior managers were asked to provide their opinions on the responsibility of African Americans in senior level positions to advocate for more African American representation at higher levels within the federal civil service. Fourteen of 15 senior managers commented on this theme and 30 expressions were coded. Expressions were coded on senior managers’ admission of responsibility to advocate, disagreement with responsibility to advocate, degree of responsibility to advocate, reasons to advocate, and types of advocacy. Senior managers also mentioned advantages and disadvantages of advocating. While most of the respondents felt a responsibility to take on an advocacy role, the roles varied in type and were not always exclusive to African Americans.

Eight senior managers made comments that specifically admitted to a responsibility to advocate on behalf of African Americans. As one senior manager suggested,

I think we need to recognize that we need to support our people; be advocates for their career at all times. We can't expect for White Americans—and I hope this is a fair statement—we can't expect for White Americans to be the advocate on behalf of Black Americans. We need to be our own advocates and certainly we should not be afraid to make decisions that put us in positions to at least have access to equal opportunities. (#3-GS15)

One senior manager expressed disagreement with a responsibility to advocate for increased representation at higher levels specifically for African Americans. She commented that,

My role and my responsibility since I am an African American person to advocate is, I don't advocate increasing roles based on people's race and gender. What I do is advocate that we ensure that all groups of people are given fair and equal opportunity in our recruitment process and our training processes; in our job assignments and processes. (#10-GS15)

She further stated that,

Nobody advocates increasing anybody's representation just because they are Black or whether you are a woman or a man. If we really want to affect change in the organization we've got to look at the why haven't we, not the fact that we don't have these. We've got to develop some type of analyses. (#10-GS15)

One senior manager described a specific type of advocacy that he felt was extremely important to his success at helping other African Americans advance. As he explained,

We as African Americans do not sponsor our people, and I clarify when I say sponsor. Sponsor to me, by definition, is you take them under your wing and you introduce them to the right people, and you put them on visible projects...Sponsorship is not, I sit down with you and come up with a plan; that's mentorship. Sponsorship is I put you under my

wing and when I go on business trips I take you with me; you get exposure; I think we owe that. (#2-GS15)

The same senior manager went on to describe the importance and success of advocating through sponsorship efforts,

If I was not there to be an advocate, and that is key; when I say sponsorship you have to be an advocate. As an advocate I would say no, he is just quiet because that is his personality. If I had not done that he would have never gotten the GS15...I would say sponsorship efforts are being used more effectively than any policies or processes that have been put in place. (#2-GS15)

There were six themes (categories) that were identified from the responses to the interview questions that were considered to be important for senior managers contributing to increases in African American representation at higher levels. The senior managers identified barriers to advancement in the form of roadblocks that prevent or impede African Americans from obtaining higher level positions. These roadblocks come in the form of organizational barriers, individual barriers, and policy barriers. The senior managers commented on policies or procedures that did or did not exist to manage diversity in higher level positions within their organizations. The comments specifically pertained to policies or procedures that monitored higher level positions for diversity, as well as policies or procedures for selecting candidates to higher level positions. The senior managers provided their opinions on their organization's efforts to improve African American representation at higher levels. Their comments included the type of effort, level of effort, and lack of effort.

The senior managers were asked about their interactions with other African Americans—those at senior levels and those below the senior level. The senior managers discussed their internal and external interactions with other African Americans at and below the senior level.

The senior managers provided their opinions on the qualifications of African Americans and the

importance of qualifications for African Americans in the candidate pools that lead into the higher level positions. Qualifications were defined as skills, training, education, professional development, and work experience. Although there was not a specific interview question asked on this subject, mentoring was expressed as another important factor and theme. The majority of the senior managers commented on mentoring in response to various questions during the interviews. The following sections discuss the six themes in more detail.

Barriers

Twelve of the 15 senior managers commented on this theme and 28 expressions were coded. While the majority of the respondents believed that there were barriers that impeded advancement into higher level positions for African Americans, they added that the barriers were varied in nature and origin. For example, they felt that many of the barriers resulted from the established organizational culture, but some, they believed, resulted from an individual's own lack of motivation or effort.

A few senior managers expressed comments that implied that there were general barriers that impeded the advancement for African Americans to higher level positions. As one senior manager indicated, "Whether they want to believe it or not, there is a glass ceiling and they only let a select few through. There should be opportunity for us to get through." (#1-GS15) Another senior manager expressed, "Historically, African Americans are well qualified for a lot of positions but, there are roadblocks and those roadblocks need to be removed." (#13-SES) Although these comments appear to associate organizational, agency or government impediments to hindering African Americans from advancing to higher level positions, senior managers indicated that there were individual barriers as well. Two of the most mentioned individual roadblocks for advancement to higher level positions for African Americans were

education and relocation. Senior managers suggested that many African Americans came into the federal government right after high school and did not further their education; the lack of a college education, they felt, impacted their opportunities for advancement to higher levels. As one senior manager explained,

I think in the federal government you have candidates who did not go to college...got them a government job and, you know, did not pursue their education after high school and the education that they received from grades one through 12 just was not adequate. (#11-GS15)

Another senior manager commented that “In order to move to the next level where there is more decision making and planning the work; that’s where, a lot of times, we have African Americans who have not pursued a degree.” (#15-GS15)

Other senior managers suggested that African Americans must be willing to relocate and get outside of their comfort zone in order to take advantage of opportunities to advance. As one senior manager commented,

I had to leave my agency, my old job, to get a GS15...the job position was basically what I was already doing as a GS14 but my old job wouldn’t give me a GS15. I had to leave a job to get an opportunity to get to the GS15 level and unfortunately that may be the case for a lot of people. (#5-GS15)

Another senior manager made the following observation,

We don’t look at growth in our professions like the majority race does. I mean for example, we may live in Richmond which is only maybe 125 miles from Washington, DC where most of the high grades are. But, we will not move from Richmond to go to DC to get the high grade. We think the people in Richmond need to give us the high grades. That’s a failed philosophy in that organizations’ structures are what they are. They can’t create more than what they are designed to have, so you may have to move to

get what you want, and you can always come back when those openings are available.
(#4-GS15)

Senior managers commented on many organizational barriers which may include policies of the organization. The organizational barriers mentioned that were not policies were more of an organizational culture or norm. As one senior manager explained,

What we have to do is change the mindset of the people who are there now. They should not look at the African American, the color. They should not look at the sex; they should not look at the ethnicity. They have to change their thought patterns to say, yes, look at the value of that person. Let's look at the ability of that person. So all of that is important to, you know, promote more African Americans; but, that is not going to happen if you don't change the mindset of the majority already in leadership. (#11-GS15)

Another manager made the following observation,

A lot of times I heard managers consciously do this. They do not pick people of color, of the same color. They are very scared or very conscious of the fact that someone may look at them and say, you are hiring them because of their race. (#2-GS15)

There were some organizational policies mentioned that would likely impact more than just African Americans' opportunities for advancement. Because of the disproportionate number of African Americans in certain grades, however, the impact may be more noticeable and harmful for them. For instance, one senior manager mentioned the difference in training opportunities based on grades.

The most people that get to go to the schools and training are the GS12 and up; for the junior grades GS1 through GS6 and I am going to include GS7, GS8, GS9 and GS10; they do not get the same opportunities as the upper grades in getting some of that education that is needed and that's important. (#12-GS15)

Another senior manager mentioned the difference in the requirements to qualify for higher level positions in some local organizations.

Within my past experience in the field, I think we had a population of people who were less educated and when they offered free tuition and reimbursement programs, they offered 100% reimbursement. I saw where more African Americans got their degrees, but I also saw that when they did that, the registers that I saw coming out of management started taking education points away. And, in fact you will find if you do research that a lot of times, especially in the field activities, the higher you went, the less education points you had to have. The excuse was because they wanted somebody with experience. I found that the people who were being selected had no education, not even a bachelor's or associate's degree. (#2-GS15)

Diversity Management

Thirteen of the 15 senior managers commented on this theme and 34 expressions were coded. While there is an annual requirement for federal agencies to report their diversity profiles to the Equal Employment Opportunity Commission, there are no federal or organizational policies, programs, or procedures that require agencies to develop plans or make improvements for grades that are under-represented at higher levels. A few managers mentioned a current federal initiative to develop future policy that would require diversity to be taken into consideration when managers make certain organizational decisions.

Twenty-Nine percent of the senior managers indicated that higher level positions were not monitored for diversity ...or they were not sure if the positions were monitored for diversity. As one senior manager indicated,

I don't know if GS13 and GS14 or higher positions are monitored. I don't know if the EEO office or the Office of Civil Rights is looking at it or not. I know they do a report at the end of each year on the percentage at each grade but I don't know if they are doing anything to make sure those numbers move up. (#1-GS15)

Most managers mentioned that diversity was monitored using the Management Directive 715 Report. This is an annual report that is submitted from each agency to the Equal Employment Opportunity Commission providing a diversity profile. None of the managers who mentioned the report suggested that there were any requirements to take actions based on the report. The report seems to be used more as a guide by organizations to plan diversity strategies as indicated by one manager:

In my organization to monitor diversity at the higher grades we use Management Directive 715, which is a report we monitor biannually to see what the numbers look like. Then we record it and then we look and see what shortfalls there are or lack of participation we may have and then come up with strategies on how we can repair them. (#12-GS15)

Another manager shared the following:

You know, I am actually working what we call the Management Directive 715 report right now that actually tells us what the breakout is. It tells us what our organization looks like. Every department of every federal agency is required to create or produce the document annually to the EEOC. The document gives a good breakout of what the organization actually looks like top to bottom. (#4-GS15)

Based on these comments, however, there did not appear to be much that was being done within organizations to monitor diversity at higher levels beyond the Management Directive 715 Report. Two other managers mentioned certain federal policies in development that could change the way agencies manage diversity. As one of those senior managers who is a part of a federal diversity taskforce shared,

I think within the next few years you will see some major, major, changes because we are coming up with some strict policies; strict guidelines that are going to require agencies,

senior level and below, to almost make it mandatory that they make some diversity decisions when they do promotions. (#11-GS15)

The other senior manager mentioned,

The government is going to put into place the senior executive diversity act, which will create the monitoring agent over agencies and how they diversify their workforce... Sometimes you need a watchdog over people in order for them to say okay we are being watched, we need to do better at this process. (#12-GS15)

The majority of the senior managers indicated that there were no set policies or procedures for monitoring diversity in the selection process. The primary determinant for selecting individuals to be promoted was the qualification of the candidate, regardless of the current representation or participation rate at that grade level. One senior manager stated the following: “Qualifications is only taken into consideration when selecting candidates to fill vacant positions at higher levels.” (#10-GS15) Additionally, there does exist a formal system for candidates to submit their resumes and be referred to a selecting official for consideration. In some cases a referred candidate may get an interview, but the selecting official has the discretion to make a selection without conducting an interview. In essence, the selecting official is free to choose whoever he or she is comfortable with. As one senior manager explained,

The way things are, managers have the authority, because I have it. I can look at my certificate of eligibles and I can do whatever I want with it. I don’t have to have applications reviewed. I could pick somebody who is not qualified. There is no oversight into decisions that people are making. (#11-GS15)

Efforts of the Organization

Fourteen of the 15 senior managers commented on this theme and 20 expressions were coded. Senior managers commented on their organization’s level of effort, types of efforts and

lack of effort. The respondents had mixed opinions on the efforts that organizations were making to increase African American representation at higher levels. While many of the respondents felt that their organization's efforts were somewhat positive; the level of satisfaction varied. Many other managers expressed dissatisfaction with their organizations' level of effort.

A little more than half of the senior managers who commented on this topic indicated that they felt good about their organization's efforts or they felt that their organization was making the effort to improve African American representation at higher grade levels. As a few of the managers explained:

I feel good about my organization's efforts to improve African American representation at higher grade levels because they are working hard to ensure that we are enjoying some of those things that I was telling you about. I think we do a good job and I think we do get a mix of good candidates for consideration. (#10-GS15)

My organization, they are implementing policies, so I do think they are making the effort. How successful it is going to be, how aggressive, how assertive it is going to be, I don't know yet. (#11-GS15)

I think my organization's efforts to improve African American representation at higher grades are good, but, it should be great. It's good in that we do have a number of African Americans in our organization, no doubt about it. But we need to improve in our senior executive service; need to improve in our GS15 grades...In GS14 we are doing pretty good there, but the GS15 and SES we definitely need to improve...but the rest of the grades we are doing good. (#12-GS15)

Other managers expressed dissatisfaction with their organizations' efforts to improve African American representation at higher levels. As one manager explained,

I think my overall agency has done a lousy job of trying to increase African American representation at grades GS13 or higher. I think it is woefully inadequate. There are no structured programs; I see no letters of encouragement from the Human Resource office

or Civil Rights office or from senior management saying, this is what we want to do.
(#15-GS15)

Another senior manager expressed similar thoughts,

Improving African American representation at higher levels is a part of conversation, so it is not silent; it is talked about. But, I don't see much effort from the organization. A lot is spoken about it, but there is not any direct effort to do that, to ensure that there is upward mobility and increased numbers in particular grades. (#6-GS15)

Senior managers had mixed opinions on the effort that their organizations were making toward improving African American representation at higher levels. Some senior managers believed their organizations were doing well, some believed their organizations were improving, and some believed their organizations needed to improve. One senior manager summed it up this way,

In my organization, I can say that there are some people that are very committed towards improving African American representation at higher levels and then there are some that are not. I'd like to think, unfortunately, that is the standard across the government. You have pockets of people that think of it as being important; then you have those pockets that, you know. . . they don't care. (#4-GS-15)

Interactions

All of the senior managers interviewed commented on this theme and 39 expressions were recorded. Comments included senior level managers' interactions with other African Americans within the organization at various grade levels and interactions with African Americans outside of the organization. Although all of the respondents expressed value in African Americans interacting among each other at all levels in various settings; the most

beneficial interaction is when African Americans in lower grades have access to those at higher levels.

Very few of the senior managers interviewed indicated that they had interactions with other African American senior managers within their organizations other than professional or formal meetings. Most attributed the lack of interaction to so few African Americans at the senior level within their organizations, as explained by the following comments from two different managers:

There is really no interaction at the senior level. There is none, none at all. We have two Black males that just recently started out and they got to get their feet wet. We have talked about needing to go out to lunch and share ideas, but before they came, none at all. (#1-GS15)

There is no one in senior level leadership positions. There are no interactions organized or anything because of the quantity and level, and there is no one to talk to. Three of us are in one division. We talk unofficially, but nothing official and we all know each other. Unofficially what's your opinion; how should I handle this situation. (#2-GS15)

Interestingly, there was not too much of a difference expressed in the amount of interactions at the senior level from the senior manager whose agency has the highest percentage of African Americans in higher level positions. Although this individual described a variety of normal, informal interactions simply because of the high number of African Americans within the organization, he could not identify formal or organized interactions as a social group. As he explained,

We as African Americans at the senior level interact informally. I guess you can say that, informally. We don't have a separate association of African Americans senior executives since we are at, you know, 45%. It's not like it is a minority. It is actually, you know a majority. There is the same number of African Americans as White SES. I think we are at

the exact equal number. So, we don't have a separate association. Sometimes in terms of colleagues, if you are looking for different approaches you reach out informally to talk to individuals, but we don't have a formal network system. (#13-SES)

Another senior manager shared that there were no interactions at the senior level in her organization, although there were other African Americans in senior level positions to take part in such interactions. In expressing her opinion, she suggested that maybe they should be interacting as a social group.

There are no senior level interactions and the ones that are there, I have no interaction with them because they are in totally different departments. I have no interactions with them, and you know now that you mention it, I never thought about that. We probably, as African Americans here as GS15 and SES, we probably need to get together and talk. (#11-GS15)

All of the senior managers interviewed expressed various means of interaction with African Americans below the senior levels. Most of the interaction consisted of professional counseling, advising and mentoring. As one senior manager expressed,

My staff is primarily Black and so I try to be the role model for them. I try to look out for their best interest. I try to make sure that they get sound advice in career decisions and make sure that they go to appropriate training to put themselves in positions for promotion opportunities. So, my interaction is on a professional level while still recognizing that I am speaking to African Americans; and I want to show them my experiences and ideas. (#3-GS15)

Another manager provided the following example,

I interact with African Americans below the senior level through my formal and informal mentoring. I interact with them because I am quite visible throughout the department. I go to several agencies and speak at several programs, so I am present there at their agencies. (#6-GS15)

Some managers also expressed interactions with groups external to the agency that create opportunities for greater interaction at all levels and networking, as the following comments explain:

I am a part of several networking groups that are former Army officers that look out into the commercial private sector as well as the contracting world and are looking for people. So we are Army and I am always talking to people looking for people. It's a behind the scenes type of thing. (#7-GS15)

Fraternity conventions, there are a lot of qualified African Americans at those conventions and that is a good way of getting good applicants into the jobs. So, my fraternity, we have an inside type of association of ourselves and we talk about business and how we can improve. (#12-GS15)

As it comes to African Americans, I think that they have a pretty good network, if you will, within this department and other departments of the federal government. Organizations like Blacks in Government (BIG) or the African American Federal Executive Group of Managers (AAFEGM). There are opportunities for them to network with other folks who are at higher levels and they can begin to learn from them. (#6-GS15)

Networking emerged as a strong benefit from the interactions between African Americans at all levels within the federal government, whether the interaction was formal or informal, as the following additional comments suggested:

There are some unofficial interactions outside of the workplace. We have a network of people, who know people, who know people, who know people, and tell people to call other people. (#2-GS15)

I think African Americans have one of the strongest networks within the government. The Asian community has one as well but not like African Americans. They have such a social fabric that isn't necessarily based upon core competencies, but it is based on some

of the things like emotional intelligence and a sense of community and family. Those types of things really help African Americans, I think, thrive throughout the federal government. (#6-GS15)

Qualifications

All of the senior managers interviewed commented on this topic and 37 expressions were coded. The managers commented on the qualifications that candidates have who are in the feeder groups for advancement to higher level positions. In addition, the managers commented on the type of qualifications that they considered to be important for candidates to have in order to advance into higher level positions. Qualifications included a wide range of attributes such as education, skills, leadership training, job experiences, development courses, etc. Although many respondents agreed that there were multiple qualifications that were important for candidates to be selected into higher level positions; a large majority of the respondents agreed that African American candidates were generally well qualified but faced other obstacles to advancement.

Senior managers viewed qualifications as the most important determinant in selecting African Americans for higher level positions—in fact, more important than race, gender or ethnicity. Senior managers believed that African Americans must first have the right qualifications before they can be advanced to higher level positions. That point was made by comments from several senior managers:

Our focus must always be on selecting the best qualified candidate for a job, period...after we have looked at hiring the best qualified person, if we continue to get qualified list that Black males are on and Black men are not getting selected, it is time for us to start peeling back the onion and look to see...what are the weaknesses in those particular areas that Black men are falling out of; what is it that Black men are missing? (#10-GS15)

I never want to give the indication that we would want a quota; like we need African Americans at this level just because they are African American. We need folks who are competent and qualified, and we need folks from diverse backgrounds. (#13-SES)

It is not so much of an obligation for African Americans to hire a person if they are not qualified. I still think qualifications have to go along with hiring a person of color. (#2-GS15)

The percentages go up when we start talking about African Americans and minorities that have gained some experience in the work place and they have gotten a degree and they have put themselves in a position that they can market their skills and abilities. (#3-GS15)

I recently filled a position, GS13 Target GS14. I made the announcement broad enough for anybody to apply. I ended up hiring a Black person. I didn't hire him just because he was Black, but because he was the best qualified candidate. I preferred to hire another Black person, but don't get me wrong—I also felt that he was the best candidate. (#3-GS15)

Senior managers described a variety of qualifications that they considered to be important for African Americans, as well as others, to have or gain in order to be prepared for moving into higher level positions. One such qualification was leadership training, as emphasized by this senior manager:

Internally organizations need more leadership training. We need to focus on leadership training for all groups of people...the military focus a lot on leadership training for their people. That means that the military can pick up an officer and drop him down in any installation. It is not so much focused on whether my people are technically competent. You can get technically competent...but by the GS15 level we really should be focusing on leadership ability and leadership skills. That is the driver on an individual making it to the GS15 level. (#10-GS15)

Another senior manager made the following comments on the importance of leadership ability as his organization progresses and becomes more diverse,

We are really looking for folks who can lead individuals. Most of the folks in our office have technical proficiency. They know their area and things of that nature, but being able to lead a diverse multigenerational workforce is a challenge. So, I think as we progress as an organization those leadership qualifications are becoming as important, if not more important, as the actual technical competencies. (#13-SES)

Education was emphasized as a very important qualification also. Candidates should not expect to be selected or considered for higher level positions without having at least a bachelor's degree. One senior manager argued that having a degree is a "must have," as she asserted in the following statement" "In 2010 you have to have a degree. It is not a nice thing to have; it is a necessity." (#4-GS15) Another manager emphasized that same point in the following statement:

You are just never going to get there unless you have at least a minimum of a bachelor's degree. You just got to have that. You just got to do the hard thing and get that bachelor's degree, and from that bachelor's, if you are really serious, you have got to get that Master's; you have got to get that Master's degree. (#10-GS15)

Along with advanced degrees, senior managers emphasized the need for developmental training and attending developmental courses and programs when seeking higher level positions. As one senior manager explained,

We don't get the training to get there, which of course is why we are so under-represented at the GS15 and SES level... We don't have people sending us to candidate development courses or the Federal Executive Institute... we are not getting the leadership courses that we need to promote us to the higher levels. (#11-GS15)

Another senior manager shared the same sentiment with respect to the importance of having developmental training, as well as taking on detailed assignments in core business areas. As he explained,

If we are not seeking detailed assignments, hard detail assignments in core business areas of the organization, or if we are not trying to go to these developmental assignments, professional development assignments like the War College, or USDA's professional development classes for senior leaders; if we aren't doing those things we are not prepared to actually move up. (#4-GS15)

Overall, the senior managers suggested that the qualifications for African Americans in the candidate pools for advancement into higher level positions were good. Twelve of the 15 senior managers commented that the qualifications for African Americans in the candidate pools for advancement to higher level positions in their organizations were good, very good, great or excellent. African American candidates were said to do relatively well with qualifying overall for advancement, that they had the basic requirements to be promoted, or were on par or equally qualified with other candidates. Although interviewees believed that African Americans had good qualifications for advancement, some senior managers expressed that African Americans must become better at the interview process. Two senior managers provided the following comments about candidates in their respective organizations:

I don't think it's a matter of qualifications, the qualifications are there...I've been on enough panels and job interviews to listen to people as they articulate their skills and when I listen to a lot of people they really cannot tell me all the great things they've done. They hold back or feel like they are not supposed to just boast about themselves in an interview. That's quite the contrary; that is the time there to show in detail, at the interview. (#12-GS15)

I think we check the block pretty well from an education basis...another thing we don't do well is interview and you get hung up in an interview and they use that as an excuse not to promote you. So, we need to build up our briefing skills, interviewing skills and ability to communicate. (#8-GS15)

Despite their good qualifications, in some organizations African Americans in the candidate pools may not be getting equal opportunities for promotion, as implied by one senior manager, "I think in this agency we have some good candidates; they just need to be given the opportunity." (#1-GS15) Another senior manager commented that "Historically, African Americans are well qualified for a lot of positions, but there are roadblocks and those roadblocks need to be removed." (#13-SES) African Americans in the candidate pools who are qualified may have better opportunities for advancement if there were more African Americans in higher level positions to promote them. As one senior manager suggests,

I think those individuals in the candidate pool meet the basic requirements to be promoted, but I don't think we have a lot of African Americans in the GS13, GS14, GS15 and SES that are in position to hire other African Americans. Sometimes the reality is that our African Americans may not get, or it appears that they don't receive, the same, or a fair shake in terms of opportunities for promotion. (#3-GS15)

Another senior manager suggested that it may be a matter of not having enough slots to fit all of those African Americans that are qualified for those higher level positions. As he stated, "I think the qualifications of African Americans in the candidate pool are very good, it's just a matter of do you have enough slots to fit everyone." (#7-GS15)

Mentoring

There was not a specific question developed pertaining to mentoring as part of the qualitative interviews. Mentoring was established as a theme after thirteen of the 15 senior

managers commented on the topic and 25 expressions were recorded. Overall, mentoring was considered to be an important factor in developing African Americans for advancement to higher level positions. All of the senior managers who commented highlighted the importance of mentoring. As they described, the main purpose of mentoring is for higher level managers to counsel and guide lower level employees in their career choices in hopes of helping them to advance as far as possible in their federal careers. While respondents agreed with the importance of mentoring employees throughout their careers and starting the mentoring process as early as possible in an employee's career, the importance of having African Americans mentor *other* African Americans was emphasized.

Many of the senior managers were actively involved with formal or informal mentoring programs. As one manager shared, "Mentoring, that's the big piece. I go out and speak to people and I am part of a formal mentoring program and I have several informal mentoring relationships." (#6-GS15) There was a strong correlation made between mentoring and the need for more African Americans in higher level positions from the interview comments. Senior managers asserted that more African Americans were needed in higher level positions so that African Americans at lower levels would have mentors and someone looking out for them. The following comments support this point:

I think more people are needed at those higher levels. Let me just say, I think one of the biggest problems is that we don't have—and I am speaking from experience—we don't have people who will mentor us and guide us in the right direction to get to those levels. (#11-GS15)

People in the higher levels tend to send people who are like them, tend to lift them up and mentor them and give them the leadership skills to go beyond their level. If there are not enough African Americans in the higher levels to mentor African Americans in the lower levels, it's a vicious circle. (#11-GS15)

We have to make a more conscious effort of mentoring African Americans; African Americans mentoring African Americans. There are too many people who don't have mentors and if you don't have a mentor, you don't have anyone to throw off on; you don't have someone to monitor your progress. That mentor would come back and say, what are you doing; are you still going to school; are you taking this class...If you don't have that, a lot of people are going on their own accord. (#12-GS15)

Mentoring and having people from the same similar kind of background is very important, so that these young people, who have immense talent, have an opportunity to talk to someone who has already gone down that road...here is someone who can tell you where the faults are; the kinds of things you need to do in order to go to the very top. (#15-GS15)

The point was stressed that mentoring was important early in an individual's career in order to achieve a higher level position. Mentoring should start when employees first enter into government service.

We need to start building them when they walk into the door, at the junior grades, GS9, GS11 and GS12; start mentoring those folks at that point and time and put them in position to be GS13 and GS14. You need to harvest the crop going forward. If you shut the door on an intern, you've done an injustice, so you start early. (#8-GS15)

My questions becomes whether or not these individuals are being mentored from the mid level, and it really begins generally before the mid level. It is whether or not minorities in general are getting some of the opportunities at the lower grades guiding them up to the mid level; even up to the senior level. Because grooming for positions, such as SES positions, [should] start before the mid level. It starts as people are being tapped to get the right training and the right opportunities, even at the lower grade levels to get to move into the mid level and to move into the senior level. (#10-GS15)

Table 33 provides sample quotes pertaining to the 12 themes discussed above and is listed in Appendix F.

CHAPTER 5: SUMMARY, CONCLUSIONS AND RECOMMENDATIONS

Introduction

The purpose of this final chapter is to integrate the quantitative and the qualitative research and relate the findings to the whole body of the dissertation. This study met its objective of exploring the primary interests of this research and answered four major questions. The first key question was answered using the quantitative research and had three sub-questions and five hypotheses as identified in Chapters 2 and 3. The remaining two key questions were answered using the qualitative research.

Summary

The following is a summary of the main findings in relation to the quantitative and qualitative research questions.

Do African Americans in senior-level positions of the federal civil service influence increases of other African Americans into higher-level positions?

There were three sub-questions generated with associated hypotheses as identified in Chapters 2 and 3 to explore this overarching quantitative question. The evidence found from testing the hypotheses indicated that after a four-year period, African Americans in senior-level positions were the most significant contributors to a positive change for African Americans in other higher-level positions; specifically the mid level (Grades GS13 and GS14). The evidence suggests that this influence was significant when the percentage of African Americans in mid-level positions was below the mean for total African Americans within the civil service—but not when it was equal to or above. This finding implies that African Americans in senior-level positions take on an active representative role for increasing African American representation at

higher levels when it is needed. However, when African Americans at the mid level reach the mean for African Americans within the civil service, the influence of senior managers diminishes.

This study revealed a number of other variables that had a significant influence on the change in the percentage of African Americans in mid-level positions. These included the percentage of African Americans in the candidate pools that advance into mid-level positions, the average age of candidates, being a veteran, and the presence of a Democratic presidential administration. However, the presence of African Americans in the candidate pools was the most significant contributor to the change in the percentage of African Americans at the mid level. As indicated from the qualitative interviews, recruiting efforts are aimed at increasing African American representation in candidate pools. Comments from the qualitative interviews suggested that senior managers overall felt that African Americans in the candidate pools for higher-level positions had good qualifications. Having good qualifications increases the opportunities for African Americans in the candidate pools to be selected for mid level vacancies by African American senior managers.

This research indicated that the average age of employees was inversely related to the change in the percentage of African Americans at the mid level after a four-year period. In other words, agencies with the highest percentage of younger employees had the highest percentage of African Americans moving into the mid level. Younger African American employees tend to be better educated with college degrees, and scholars have concluded that education is linked to advancement and promotions, as indicated in Chapter 2 and noted by a number of the interviewees. Education, along with flexibility and willingness to relocate, were identified as important requirements for advancing into higher-level positions during the qualitative

interviews. The latter requirement—willingness to relocate—also favors younger employees, since as one senior manager observed, younger employees are likely to be more willing to relocate than older employees. Thus, advanced educational credentials coupled with flexibility and willingness to relocate may provide younger employees certain advantages that contribute to the following study finding: as the average age for African Americans decrease in agencies there is a positive change in the percentage of African Americans at the mid level.

Based on the quantitative research, being a veteran was also found to influence the percentage of African Americans moving into mid-level positions. Interestingly, however, the influence increased as the percentage of veterans in an organization decreased. One explanation for this inverse relationship may be that because of their leadership training and experience, there is less competition for veterans in agencies with high percentages of non-veterans. This suggestion is consistent with research indicating that veterans come to the workplace with experiences that gives them advantages when they compete with non-veterans for promotions—even though the federal government is not required to give veteran's preference in promotion (Hale & Kelly, 1989; Guy, 1992; Newton, 1993; Keeton, 1994). The value of leadership skills and veteran leadership training was emphasized by one of the senior managers during the qualitative interviews. Moreover, being a veteran was the only variable that was significant to increases in African Americans into mid-level positions, even when African Americans in mid-level positions were equal to or above the mean for total African Americans within the federal civil service.

As expected and as supported by previous research (Lewis, 1988; Shull, 1993; Naff & Crum, 2000; Kim, 2003) a Democratic presidential administration was more significant than a Republican administration to the change in the percentage of African Americans at the mid level

after a four-year period. However, a Democratic presidential administration was not found to have moderated the significant positive influence that senior managers had on the change in the percentage of African Americans at the mid level over time. The finding associated with a Democratic presidential administration further suggests the importance of African Americans in senior-level positions to increasing African American representation at mid levels. Although a democratic presidential administration had a greater influence on the percentage of African Americans at the mid level than a Republican administration, African Americans in senior-level positions had a significant influence on the percentage of African Americans at the mid level regardless of the presidential administration in office. It should be noted that there were no questions asked and no comments made that pertained to the presidential administration during the qualitative interviews.

Another hypothesis that this study investigated was whether the quantitative research would reveal that an agency's diversity management program would influence a positive change in the percentage of African Americans at the mid level over time, as well as moderate the significant positive influence of the senior managers. The results showed that agency diversity management programs were found to be not significant as an independent variable or moderating variable. The qualitative research supported these findings. Moreover, responses from the senior managers during the qualitative interviews suggested that there was very little monitoring of diversity at higher levels within organizations. Neither were there requirements for organizations to consider diversity when hiring, promoting, or selecting candidates to fill higher-level positions. There was no mention of any diversity management tools (programs, policies, procedures, directives, etc.) used by organizations other than the annual Management Directive 715 Report, which is required to be submitted to the EEOC on an annual basis. The respondents

described how the report is used by organizations as a guide for revealing and understanding their demographic and diversity posture—but that there were no mandatory requirements to make changes or improvements in under-represented grades. The quantitative and qualitative findings suggested that agency diversity management programs were not a factor for increasing African Americans' representation in higher-level positions.

That particular finding was unexpected considering all of the literature that has been written on the importance of agencies establishing diversity management programs (Thomas, 1990, 1991; Norton & Fox, 1997; Slack, 1997; Wilson, 1997; Fernandez, 1999; Selden & Selden, 2001; Kellough & Naff, 2004). Kellough and Naff, in fact, claimed that most of the federal agencies they surveyed claimed to have a diversity initiative in operation, although there was considerable variation in the level of effort between agencies. A small but not insignificant proportion of the agencies that reported having diversity programs indicated that they did not address some of the most basic and traditional dimensions of diversity including race, ethnicity, religion, and disability. The researchers concluded that a primary determinant for the level of development for agency and sub-agency diversity programs was support from the leadership of each organization. Those agencies with greater support from the leadership had better developed diversity programs. The results from the current study suggest that it may take more than African American leadership in organizations to establish programs that address some of the most basic and traditional dimensions of diversity, such as under-representation at higher levels. The stated policy intent of the Management Directive 715 is to ensure that all employees and applicants for employment enjoy equal opportunity in the federal workplace regardless of race, sex, national origin, color, religion, disability or reprisal for engaging in prior protected activity (EEO MD-715, 2003). The directive requires agency heads and other senior management officials to

demonstrate a firm commitment to equality of opportunity for all employees and applicants for employment. Some agency leaders may believe they are meeting the intent of the directive by providing equal opportunity to everyone, but still may not be improving under-representation at higher grade levels. This discrepancy may lead senior-level African Americans not to have confidence in their organization's efforts to improve under-representation at higher levels; and as a result they take on more of an active representative role in their particular areas of control.

Why do African Americans in senior-level positions within the federal civil service influence the percentage of African Americans at higher levels (mid level)?

Based on the theory of representative bureaucracy, administrators are expected to press for the interest of their social group when an issue is considered to be important. Results from the qualitative interviews revealed that African Americans in senior-level positions of the federal civil service believed that greater representation of African Americans at higher levels in the civil service is an important issue. The senior managers expressed many benefits to having more African Americans at higher levels. Those benefits were not only of value for African Americans as a social group, but were believed to be beneficial to other minorities, the majority, federal organizations and the federal civil service overall. The senior managers agreed that the current percentages of African Americans at higher levels should be greater in proportion to the overall number of African Americans within the federal civil service. The next section summarizes how African Americans in senior-level positions influence increases in African Americans at mid levels.

How do African Americans in senior-level positions within the federal civil service influence the percentage of African Americans at higher levels (mid level)?

Higher level officials in organizations establish agency missions, set agency policies and determine agency goals (Green, Selden, & Brewer, 2001). African Americans at senior levels are in positions to influence increases in African American representation in mid-level positions. Based on responses to the qualitative interview questions, African American senior managers served as hiring and promotion approval authorities, and established and managed policies, programs and procedures that benefited African Americans as well as others advancing into higher-level positions.

Senior managers acknowledged that they had specifically hired or promoted African Americans into higher-level positions or influenced the decisions of other hiring officials to select African Americans into higher-level positions for the primary reason that they believed those individuals were the best qualified candidates. Although African American senior managers acknowledged advancing other African Americans to higher levels, their efforts were not solely focused on just increasing representation for African Americans at higher levels. Senior managers recognized the need for diversity at higher levels and not just representation for African Americans.

In terms of African American representation, many senior managers discussed how their specific areas of responsibility were disproportionately over-represented by African Americans, which they did not always consider advantageous. Although their specific areas or sections were over-represented, their overall organizations or agencies were under-represented. Many senior managers expressed a need to not have more African Americans at higher levels within their area of responsibility when their areas were over-represented—but did see the need to have greater

overall representation throughout the organization or agency. This means that senior managers would be more likely not to advocate for more African American representation at higher levels within their areas, but would press for more representation throughout their overall organizations or agencies if they felt it was under-represented. These observations may help explain the quantitative finding that African Americans in senior-level positions had a significant influence on a positive change in the percentage of African Americans in mid-level positions only when the percentage of African Americans in those mid-level positions was below the percentage for African Americans within the federal civil service overall. This study did not identify a reason why a large portion of the senior managers interviewed claimed to have over-representation of African Americans in their areas of authority, while their overall organizations were under-represented at higher levels.

Most African American senior managers agreed that they had a responsibility to be advocates for other African Americans. One senior manager suggested that advocating is a benefit of having African Americans in senior-level positions. Senior managers described various means for advocating. Some managers expressed advocating for improvements in the recruiting process; others expressed advocating for change in organization policies and procedures. One senior manager shared his experience of using sponsorship as a form of advocating, which resulted in an African American being promoted to GS15. The senior manager suggested that sponsorship as a form of advocating was more effective than policies or processes. Taking on an advocacy role helps to further explain how African Americans in senior-level positions influenced the percentage of African Americans at the mid level. A number of other important factors were identified that impacted how African Americans in senior-level

positions influenced the percentage of African Americans in mid-level positions. These factors are summarized in the next section.

What things are important for African Americans in senior-level positions within the federal civil service to influence the percentage of African Americans at higher levels (mid level)?

The qualitative interviews revealed six categories of information (factors) that were found to be important with respect to how African Americans in senior-level positions worked to increase representation of African Americans at higher levels.

Qualifications were considered to be the most important requirement for African Americans to be selected into higher-level positions. The two most important qualifications for advancement into higher-level positions emphasized by senior managers were education (college degrees) and leadership training. Lack of higher education was also identified as one of the primary barriers to advancement. Senior managers viewed leadership capability as more important than technical competencies for performing in higher-level positions, since it is becoming increasingly important for managing increasingly diverse and multigenerational organizations. In general, senior managers agreed that African Americans in the candidate pools for advancement into the higher levels tended to be well qualified—although they did discuss some notable barriers.

Barriers represent another of the six factors that were identified as important for African Americans in senior-level positions taking on an active representative role. Barriers may interfere with the active role of the senior managers or may become an object of active representation. Senior managers can take on an active representative role or advocacy role to

remove barriers that hinder African American's opportunities for advancement. Barriers are categorized as both organizational and individual.

The lack of organizational *diversity management* was considered a barrier and represents another important factor for senior level African Americans taking on an active representative role. As this study identified, there was very little monitoring for diversity in higher-level positions within organizations—nor were there requirements to consider diversity when making selections for higher level vacancies. All senior level managers believed they had the freedom to select whomever they desired to fill higher level vacancies, regardless of the current representation. One senior manager stated that there was no oversight for selecting individuals into higher-level positions. Thus, lack of diversity management could be one reason for over-representation of African Americans in areas under the authority of African Americans in senior-level positions, as well as under-representation of African Americans at higher levels in other organizational areas.

The lack of specific organizational policies for improving diversity at higher levels in agencies where African Americans are under-represented could lead African Americans in senior-level positions to take on an active representative role. Senior managers within those organizations may feel that their organizations are not putting forth efforts to improve African Americans representation at higher levels and that they have to take on that responsibility.

Effort of the organization was identified as another important factor. African Americans interviewed as part of this study had mixed opinions on their organization's efforts to increase African American representation at higher levels. Nearly all of the senior managers who expressed dissatisfaction with their organization's efforts agreed that there should be more

African Americans at higher levels in their organization overall—even though the particular areas under their authority were over-represented.

The lack of diversity oversight did not appear to be an issue for one African American senior manager whose agency was not under-represented with African Americans at higher levels. His overall agency was well represented with African Americans at all levels, which he attributed to the mission of the agency. One of his agency's primary focus was on addressing minority concerns within the federal civil service. As expected, that manager was proud of his agency's efforts and expressed no need to advocate for more African Americans at higher levels within his organization. He did, however, recognize the need to advocate for more African Americans at higher levels within the overall federal civil service.

The comments from this category suggest that African American senior managers are more satisfied with their organization's efforts when African Americans are well represented at higher levels throughout the agencies. Conversely, they are less satisfied with their organization's efforts when when African Americans are under-represented throughout the agency—even if they are over-represented within their own areas of authority.

Individual barriers such as lack of education, unwillingness to relocate and lack of motivation to seek higher-level positions were all shown to be important to how African American senior managers influence increases in African American representation at mid levels. In other words, it tends to be difficult for senior managers to influence increases in higher levels for African Americans when these types of barriers exist. *Mentoring* was discussed as a means to help remove many of the individual barriers and was found to be another important factor for how senior managers influence increases in African American representation at higher levels. In fact, mentoring was cited as one of the primary benefits of having more African Americans in

higher-level positions. Providing mentorship early in employees' careers could guide and channel their efforts in the right direction. Employees could be guided to achieve the highest level of the most beneficial education, counseled on the right leadership courses and programs to complete, and be motivated to seek higher attainment. Mentoring requires interaction between African Americans within organizations at all levels.

Interaction between African Americans was shown to be another important factor to how African Americans in senior-level positions perform active representation. Overall, senior managers expressed more interaction with African Americans below the senior level than with those at their level within their organizations. Senior managers typically have little interaction among themselves because of usually low numbers of African Americans in senior-level positions within organizations. Senior managers advocated interactions with African Americans outside of their organizations and even outside of the federal government that could aid their active representative role. In fact, some were involved with college fraternities, and some were involved in networking groups that included former Army officers. Other senior managers indicated interactions with other African Americans by participating in events with Blacks in Government (BIG) or the African American Executive Group of Managers. The importance of the variety of interactions that African Americans have is that it allows opportunities for mentoring and establishing valuable networks. Previous scholars (Campbell, Marsden, & Hurlbert, 1986; Lin & Dumin, 1986; Green, Tigges, & Browne, 1995; Lin, 2000) have confirmed that networks provide opportunities to access social capital that can lead to higher level attainment. Many of the senior level managers interviewed for this research indicated that their interactions with other African Americans below their level was through networking, mentoring, and providing counseling, advice, guidance and direction.

Supporting Theories

The five theories introduced and discussed in Chapter 1 (Social Capital Theory, Cultural Capital Theory, Similarity-Attraction Theory, Social Identity Theory, Vicarious Self Efficacy and) are generally believed to help explain the concept of representative bureaucracy. However, those theories were not tested in this study. There were, however, some comments captured from the qualitative interviews that suggest support for some of those theories. In particular, most of the qualitative comments seem to be relevant to social capital theory and cultural capital theory.

Social Capital refers primarily to resources accessed in social networks (Lin, 1995; Flap, 1996; Tardos, 1996; Burt, 1997; Portes, 1998). According to Lin (2000), a significant body of research links social capital to status attainment, to include higher positions in organizations. Some comments from senior level managers suggested that African Americans in lower-level positions and those positions that lead into higher levels gain access to senior managers through social networks. Senior managers indicated that through social networks African Americans at lower levels have opportunities to interact with other African Americans who are at higher levels. Those interactions allow opportunities for senior level managers to gain knowledge and awareness of lower level employees' qualifications and aspirations, which represents valuable information when considering candidates for higher-level positions.

Cultural Capital refers to assets that are valued by society as necessary for higher level attainment, and these can take the form of embodied, objectified or institutionalized assets (Bourdieu, 1986). African Americans can obtain those assets through completion of higher education, attending leadership and other developmental courses and programs, or gaining experience through working in critical positions within the organization. Senior managers interviewed as part of this study commented that African Americans in the candidate pools for

advancement into higher-level positions had good qualifications. These comments suggested that African Americans in the candidate pools possessed the necessary cultural capital that would allow them to achieve higher level attainment within the federal civil service. Other comments from senior managers indicated that African Americans in senior-level positions do mentor other African Americans below their levels and provide guidance and direction—which corresponds to cultural capital theory. This also supports Bourdieu’s assertion that cultural capital represents assets that are imparted to others within cultural groups that are of value for higher achievement.

Similarity-Attraction suggests that surface-level similarity tends to predict affiliation and attraction (Brescheid, 1985). According to Chatman (1991), organizational members prefer to select members who are similar to themselves, meaning that the screening process for new organizational members tends to favor the selection of like others. A few senior managers interviewed in this study suggested that hiring officials tended to select individuals that they were similar to and with whom they felt more comfortable.

Social Identity represents the individual’s self-concept, which is derived from perceived membership of social groups (Hogg & Vaughan, 2002). According to numerous scholars, individuals tend to identify and socialize with those whom they have a strong attraction and share things in common (Byrne, 1971; Berscheid, 1985; Lin, 2000). African American senior managers suggested in numerous statements throughout the qualitative interviews that they recognized they identified with a specific ethnic group within the federal civil service.

Conclusions

Scholars have long concluded that executive and legislative actions have not been sufficient to overcome the under-representation of minorities in the upper ranks of the public sector (Rosenbloom, 1973, 1980; Kellough & Kay, 1986; Morrison, 1992; Shull, 19993). This

study concluded that under-representation or low participation rates for African Americans in higher-level positions continues to be an important concern to African Americans in senior-level positions of the federal civil service. The results of this study further suggest that African Americans do not have confidence in executive and legislative actions to overcome under-representation for African Americans at higher levels, and it is African Americans in senior positions who can make the biggest difference. Specifically, African Americans in senior-level positions have a greater influence on African Americans moving into mid-level positions than diversity management programs or the existing presidential administration—regardless of whether it is Republican or Democrat. However, it must be acknowledged that historically, Democratic presidential administrations have been more supportive to the advancement of minorities and women in federal service than Republican administrations. That same finding was true for African Americans advancing into mid-level positions in this study. Although somewhat significant, the influence of a Democratic presidential administration was not greater than the significant influence of African Americans already in senior-level positions of the federal civil service. Neither was the influence of the senior level African Americans dependent upon a Democratic presidential administration being in office. Results from this study suggest that existing political directives and diversity management programs are not adequate to improve African American representation at higher levels. Moreover, agency diversity management programs were not statistically significant in improving African American representation at mid levels. In fact, comments from senior level interviews suggested that current federal directives do not mandate improvements to under-represented grades.

The findings from this research are important because this study was conducted with the participation of 48 of the largest federal civil service agencies. The findings contribute to the

previous research on representative bureaucracy by demonstrating a link between passive and active representation. While the findings support previous research on the importance of leadership to influencing decisions on advancing minorities in organizations, it also demonstrates the importance of race. African Americans in senior-level positions have articulated the importance of increasing African American representation at higher levels—and believe they have a active responsibility to do so. However, their active representative efforts often result in an over-representation of African Americans in areas under their authority. Although African Americans remain under-represented at higher levels within the federal civil service overall, African Americans, themselves, are a major contributor—if not the most important contributor—to their current representation at higher levels.

Recommendations

Policy

Although African Americans are under-represented at higher levels of the federal civil service, this study suggests that African Americans in senior-level positions can and do influence a positive change in the percentage of African Americans at the mid level. Many of the African Americans in senior-level positions have an over-representation of African Americans at higher levels within their immediate area of responsibility and control. A reason for this may be that they attract other African Americans to their areas because of their similarities. Policies should be developed to leverage the influence of African Americans in senior-level positions to create greater representation of African Americans at higher levels throughout federal agencies. Additionally, agencies should rotate African Americans in senior-level positions from

organizations that are well represented with African Americans at higher levels to organizations that are under-represented with African Americans at higher levels.

Recruitment efforts should focus on targeting African Americans for those areas and occupation categories where under-representation exists. Moreover, agencies should have strategies for training and developing those African Americans to obtain higher-level positions.

Federal training strategies for performing in higher-level positions should focus more on leadership and general management skills. Senior managers interviewed as part of this study recognized and expressed the importance of leadership skills more so than technical skills at senior levels. This type of training would make it easier to rotate senior managers among organizations, as well as take advantage of the influence that African Americans have to increase representation throughout federal agencies.

Kellough and Naff among others have concluded that the head of the agency is a major influence on increasing diversity within organizations. Federal policies should be established that require the heads of federal agencies to create more equitable ethnic diversity at higher levels across federal agencies. Requirements for change should be linked to incentives or rewards or be a part of performance evaluations for pay. Currently, agencies are required to submit their annual Management Directive 715 Report to the EEOC—but there are no requirements to make any improvements based on that report. In short, currently there are no requirements and incentives for agencies to improve ethnic diversity at higher levels. As a result, minorities, and African Americans in particular, continue to be under-represented at higher levels overall. The impact is that African Americans with hiring and promotion authority take on an active representative role, which creates imbalances within organizations. African Americans are clustered in specific areas

of the organization (mainly those with African American leadership), but remain under-represented overall.

More flexible policies are needed to attract and hire qualified candidates into federal government service. Some managers expressed how difficult it is to get good private sector candidates hired into federal government when identified, especially at the higher levels. Some reasons expressed were the many documents to be completed for the Senior Executive Service and the amount of time it takes from application to selection. However, a number of managers expressed potential candidates' reluctance to relocate—especially to Washington DC. This represents an important barrier to attracting and hiring qualified candidates. Thus, federal leaders should explore various incentives that may be attractive for potential high performing candidates to relocate. Also, consider instituting more flexible and alternative working arrangements for attracting highly qualified candidates for jobs in the metropolitan Washington DC area. Where appropriate, workers may be able to remain in their current geographical location and provide the services or products needed without permanently relocating.

An additional policy recommendation is that agencies should establish diversity management programs that focus on monitoring higher-level positions and considering ethnic representation when making selections for higher-level positions. Since many senior managers revealed that ethnic diversity is focused on as part of the recruitment process, programs and processes should be established to recruit more minorities for eventual consideration for higher-level positions. However, senior managers revealed that the lack of ethnic representation is not taken into consideration when selections are made for higher-level positions, which seems contrary to diversity recruitment efforts. Agencies should ensure that their selections for higher level positions are taking their recruitment efforts into consideration.

Agencies should analyze and evaluate the specific representation of African American males at higher levels to determine if strategies are needed to increase their numbers and retain those already in senior positions. Many managers commented on the lack of African American males at the higher levels, and some hinted at drops in their representation in recent years.

To be more effective and efficient, federal agencies should continue to invest in opportunities for all employees to obtain higher education and leadership training. To maximize those development efforts, agencies should establish plans to better utilize individuals with advanced degrees and/or leadership training or skills. While all the managers interviewed for this study recognized the importance of a college degree and leadership skills to performing at higher levels, one manager hinted at the lack of importance given to college degrees in selections at some field level activities.

Future Research

Future research should explore whether current diversity management programs are designed and/or intended to address representation at higher levels of the federal civil service. Kellough and Naff (2001) identified steps that organizations should take to create better climates for diversity, which included monitoring the representation of groups in various levels and occupations within the organization. Further, they argued that selection, promotion, and performance appraisal criteria, as well as career development programs, should be examined for potential bias, and where necessary, be revamped. Many senior managers interviewed as part of the current study noted that there was no diversity management of higher-level positions within their organization. Those that noted this shortcoming also lamented that the majority in power tended to believe that diversity management programs in place were fine as they were.

The opinions of the majority in senior-level positions with respect increasing the representation of African Americans at higher levels may be different from the opinions of the African American senior managers interviewed in this study. Future research should be conducted with White senior managers to determine if their opinions on the representation of African Americans at higher levels are different from those of African American senior managers.

It should also be noted that this study was unable to determine—nor was it designed to determine—if other minority administrators in senior-level positions were able to influence a positive change for members of their social group moving into higher-level positions. Future research should be conducted to determine if the race of the administrator in senior-level positions for other minority groups influence higher level advancement for those groups. Such information would help support whether the theory of representative bureaucracy, and the link between passive and active, is applicable to all minority groups.

Many of the senior managers interviewed in this study suggested that African Americans in higher-level positions benefit other minorities because African Americans identify with the struggles that other minorities have experienced. Future research should be conducted to determine if African Americans in senior-level positions have a significant positive influence on other minorities advancing into higher-level positions. Indeed, it would be beneficial to know if African Americans in senior-level positions not only influence positive change for their own social group, but for other minorities as well.

In addition, future research should be conducted to determine if there is a positive relationship between minority recruitment efforts and minority candidates being selected into higher-level positions. Many managers described how recruitment programs and processes are a major part of getting diverse candidates into the applicant pools for higher-level positions. Some

individuals further commented that diversity was not necessarily taken into consideration when selections were made to fill higher-level positions. A number of managers emphasized how difficult it was to hire good candidates who were outside of the federal government system. Despite all good intentions, there simply may be some issues that undermine the recruitment of minorities into higher-level positions.

Senior managers argued that leadership training and skills are among the most important qualifications for moving into and performing well in higher-level positions. They also stressed that those skills would become increasingly important in the future. It is important, therefore, that all employees—majority and minority—are given fair access to leadership training to maintain equity at higher levels. Future research should be conducted to determine if equal opportunity is being provided for all employees to attend leadership courses and programs.

While many senior managers commented that the representation of African Americans in higher-level positions should be greater, they admitted to the over-representation of African Americans within their areas of control. A few of the senior managers described how administrators tend to hire and promote those that they are comfortable with and can relate to. A final recommendation for future research is that studies should be conducted to determine if there is a link between similarity-attraction and over-representation of African Americans in areas under African American senior management control.

APPENDIX ITEMS

Appendix A. Table 4. Sample Data Set

AGENCY	GRADE	RACE	GENDER	TOTAL EMPLS	AVG AGE	AVG LOS	VETS	B.A. DEGREE	GRAD DEGREE	SUPERVISORS	NEW HIRES	SEPARATIONS	PROMOTIONS
AF-DEPARTMENT OF THE AIR FORCE	12	AMERICAN INDIAN	FEMALE	127	49.4	20.7	5	19	13	9		5	17
AF-DEPARTMENT OF THE AIR FORCE	12	AMERICAN INDIAN	MALE	166	49.3	19.5	55	45	24	15	2	11	10
AF-DEPARTMENT OF THE AIR FORCE	12	ASIAN/PAC ISL	FEMALE	312	44.3	16.1	12	104	42	21	3	17	41
AF-DEPARTMENT OF THE AIR FORCE	12	ASIAN/PAC ISL	MALE	912	43.7	13.5	93	375	137	43	18	49	62
AF-DEPARTMENT OF THE AIR FORCE	12	BLACK	FEMALE	1,252	44.7	19.4	54	306	236	78	5	36	134
AF-DEPARTMENT OF THE AIR FORCE	12	BLACK	MALE	1,295	48.6	17.5	435	365	180	152	21	57	111
AF-DEPARTMENT OF THE AIR FORCE	12	HISPANIC	FEMALE	759	47	21.4	21	148	62	56		27	102
AF-DEPARTMENT OF THE AIR FORCE	12	HISPANIC	MALE	1,289	48.2	20.1	304	322	102	98	12	97	96
AF-DEPARTMENT OF THE AIR FORCE	12	WHITE	FEMALE	7,644	47.6	20.4	410	1,606	861	684	62	284	874
AF-DEPARTMENT OF THE AIR FORCE	12	WHITE	MALE	16059	48.2	18.5	5,041	4,774	2,250	1,825	380	803	1,137
AF-DEPARTMENT OF THE AIR FORCE	12	UNKNOWN	UNKNOWN	4								1	
AF-DEPARTMENT OF THE AIR FORCE	12	UNKNOWN	FEMALE	1	36.3	13.1			1				
AF-DEPARTMENT OF THE AIR FORCE	12	UNKNOWN	MALE	1	53.7	12.4	1	1					
AF-DEPARTMENT OF THE AIR FORCE	13	AMERICAN INDIAN	FEMALE	38	45.8	19.7	2	11	8	8			11
AF-DEPARTMENT OF THE AIR FORCE	13	AMERICAN INDIAN	MALE	103	48.7	20	33	30	26	16	3	7	8
AF-DEPARTMENT OF THE AIR FORCE	13	ASIAN/PAC ISL	FEMALE	133	46.8	17.6	1	34	38	21		2	18
AF-DEPARTMENT OF THE AIR FORCE	13	ASIAN/PAC ISL	MALE	469	46.9	15.9	52	140	128	41	5	25	39
AF-DEPARTMENT OF THE AIR FORCE	13	BLACK	FEMALE	447	45.4	20.9	11	89	114	87	1	13	73
AF-DEPARTMENT OF THE AIR FORCE	13	BLACK	MALE	547	48.3	19.4	163	151	126	110	6	21	62
AF-DEPARTMENT OF THE AIR FORCE	13	HISPANIC	FEMALE	200	45.9	20.7		42	46	45		2	37
AF-DEPARTMENT OF THE AIR FORCE	13	HISPANIC	MALE	643	46.6	19.3	133	169	125	95	8	32	61
AF-DEPARTMENT OF THE AIR FORCE	13	WHITE	FEMALE	3,367	47.1	21.1	147	713	766	764	17	100	494
AF-DEPARTMENT OF THE AIR FORCE	13	WHITE	MALE	12145	48	19.9	3,289	3,338	3,087	2,238	207	639	897
AF-DEPARTMENT OF THE AIR FORCE	13	UNKNOWN	FEMALE	3	43.2	18.6		1	1	1			
AF-DEPARTMENT OF THE AIR FORCE	13	UNKNOWN	MALE	2	52.9	21	1	1	1	1			
AF-DEPARTMENT OF THE AIR FORCE	14	AMERICAN INDIAN	FEMALE	15	45.5	26			4	5			4
AF-DEPARTMENT OF THE AIR FORCE	14	AMERICAN INDIAN	MALE	35	50.8	22.8	9	4	11	9		2	7
AF-DEPARTMENT OF THE AIR FORCE	14	ASIAN/PAC ISL	FEMALE	19	46.1	19		3	7	6	1		2
AF-DEPARTMENT OF THE AIR FORCE	14	ASIAN/PAC ISL	MALE	109	51.5	18.3	10	15	51	30	1	6	13
AF-DEPARTMENT OF THE AIR FORCE	14	BLACK	FEMALE	110	47.1	21.5	3	13	42	31		3	21
AF-DEPARTMENT OF THE AIR FORCE	14	BLACK	MALE	112	51.4	21.9	37	24	38	41		3	18
AF-DEPARTMENT OF THE AIR FORCE	14	HISPANIC	FEMALE	38	44.1	19.4	1	6	14	15		1	5
AF-DEPARTMENT OF THE AIR FORCE	14	HISPANIC	MALE	164	49.7	24.3	32	29	51	47	1	13	18
AF-DEPARTMENT OF THE AIR FORCE	14	WHITE	FEMALE	927	48.1	22.4	41	130	327	332	2	33	175
AF-DEPARTMENT OF THE AIR FORCE	14	WHITE	MALE	4,228	50.7	23.2	1,085	895	1,573	1,550	26	190	463
AF-DEPARTMENT OF THE AIR FORCE	15	AMERICAN INDIAN	FEMALE	8	51.8	29.1			3	2			
AF-DEPARTMENT OF THE AIR FORCE	15	AMERICAN INDIAN	MALE	11	54.6	26.2	4	3	2	3		2	
AF-DEPARTMENT OF THE AIR FORCE	15	ASIAN/PAC ISL	FEMALE	5	49.8	23.9			1	2		1	
AF-DEPARTMENT OF THE AIR FORCE	15	ASIAN/PAC ISL	MALE	23	58.5	22.8	1	1	18	6			
AF-DEPARTMENT OF THE AIR FORCE	15	BLACK	FEMALE	21	50.4	24	1	3	5	8			6
AF-DEPARTMENT OF THE AIR FORCE	15	BLACK	MALE	32	52.9	22.9	7	3	11	10		5	3
AF-DEPARTMENT OF THE AIR FORCE	15	HISPANIC	FEMALE	6	45.3	19.7		1	2	3		1	1
AF-DEPARTMENT OF THE AIR FORCE	15	HISPANIC	MALE	62	52.4	25.7	15	6	28	24		3	6
AF-DEPARTMENT OF THE AIR FORCE	15	WHITE	FEMALE	242	50	24.1	8	22	108	100		8	48
AF-DEPARTMENT OF THE AIR FORCE	15	WHITE	MALE	1,797	53.2	25.9	469	277	830	801	10	108	157
AF-DEPARTMENT OF THE AIR FORCE	SES	AMERICAN INDIAN	MALE	1	52.6	34.2			1	1			
AF-DEPARTMENT OF THE AIR FORCE	SES	BLACK	FEMALE	3	49.9	23.7			2	2	1		
AF-DEPARTMENT OF THE AIR FORCE	SES	BLACK	MALE	3	51.9	31.1	1		1	2	1		
AF-DEPARTMENT OF THE AIR FORCE	SES	WHITE	FEMALE	30	50.3	23.2	1	4	17	22		1	
AF-DEPARTMENT OF THE AIR FORCE	SES	WHITE	MALE	193	54.3	24.9	27	16	116	136	4	7	

Source: Office of Personnel Management

Appendix B: Table 5. Agency Scores on Diversity Program Indices

Agency Scores on Diversity Program Indices						
	Training	Communication	Accountability	Resources	Demographic Scope	Summary
U.S. Coast Guard	3.00	5.00	6.00	9.00	17.00	7.58
National Institute of Standards and Technology	3.00	5.00	6.00	9.00	14.00	7.03
Department of Veterans Affairs, Headquarters	3.00	5.00	6.00	7.00	17.00	6.68
Veterans Benefits Administration	3.00	5.00	6.00	7.00	17.00	6.68
Federal Bureau of Prisons	3.00	5.00	5.00	7.00	17.00	6.18
U.S. Postal Service	3.00	5.00	6.00	7.00	14.00	6.13
National Oceanic and Atmospheric Administration	3.00	4.00	6.00	7.00	17.00	6.10
Veterans Health Administration	3.00	5.00	6.00	5.00	17.00	5.78
Food and Drug Administration	3.00	5.00	5.00	6.00	17.00	5.73
Office of the Secretary of the Army	3.00	4.00	6.00	6.00	17.00	5.65
Federal Aviation Administration	3.00	4.00	6.00	6.00	17.00	5.65
National Institutes of Health	3.00	5.00	6.00	5.00	16.00	5.60
Patent and Trademark Office	3.00	4.00	4.00	8.00	17.00	5.55
Fish and Wildlife Service	3.00	5.00	6.00	5.00	15.00	5.42
Department of Housing and Urban Development	3.00	4.00	5.00	7.00	16.00	5.41
Social Security Administration	3.00	5.00	6.00	6.00	9.00	4.77
Bureau of Land Management	3.00	5.00	5.00	7.00	8.00	4.54
Federal Transit Administration	3.00	5.00	4.00	4.00	17.00	4.34
Department of the Interior, Headquarters	3.00	5.00	6.00	4.00	11.00	4.24
Transportation, Research and Special Programs Administration	3.00	4.00	6.00	3.00	16.00	4.11
Animal and Plant Health Inspection Service	3.00	3.00	5.00	7.00	11.00	3.91
Naval Sea Systems Command	3.00	3.00	5.00	6.00	12.00	3.65
Bureau of Reclamation	3.00	4.00	6.00	5.00	8.00	3.55
Cooperative Research, Education, and Extension Service	3.00	4.00	5.00	5.00	10.00	3.42
Defense Logistics Agency	3.00	5.00	3.00	3.00	17.00	3.39
Environmental Protection Agency	3.00	3.00	3.00	5.00	17.00	3.11
Federal Highway Administration	2.00	4.00	6.00	5.00	8.00	2.70
Air Force, Pacific Air Forces	3.00	3.00	4.00	5.00	12.00	2.70
Air Force, Air Education and Training Command	3.00	2.00	6.00	6.00	7.00	2.64
NASA, Stennis Space Center	3.00	3.00	5.00	5.00	7.00	2.28
NASA, Marshall Space Flight Center	3.00	2.00	6.00	4.00	9.00	2.11
U.S. Secret Service	3.00	4.00	2.00	4.00	13.00	2.02
Labor, Office of the Inspector General	3.00	5.00	3.00	4.00	7.00	2.01
Economic Research Service	3.00	2.00	5.00	3.00	12.00	1.71
Federal Bureau of Investigation	3.00	2.00	3.00	3.00	17.00	1.63
Department of Education	3.00	3.00	2.00	6.00	9.00	1.60
Minerals Management Service	3.00	3.00	5.00	3.00	7.00	1.38
Federal Railroad Administration	2.00	2.00	5.00	4.00	12.00	1.31
Agriculture, Risk Management Agency	3.00	2.00	4.00	4.00	10.00	1.30
General Services Administration	3.00	2.00	3.00	5.00	10.00	1.25
Office of Thrift Supervision	3.00	2.00	4.00	3.00	12.00	1.21
Rural Utilities Service	3.00	2.00	4.00	3.00	12.00	1.21
Health Care Financing Administration	3.00	2.00	3.00	4.00	12.00	1.16
U.S. Mint	3.00	2.00	3.00	2.00	16.00	1.00

Source: Kellough, J.E., & Naff, K. C. (2004). Responding to a wake-up call: An examination of federal agency diversity management programs. *Administration and Society*, 36, 62-90.

Table 5: (Continued)

Agency Scores on Diversity Program Indices (Continued)						
	Training	Communication	Accountability	Resources	Demographic Scope	Summary
Farm Service Agency	3.00	2.00	6.00	2.00	7.00	0.85
Mine Safety and Health Administration	3.00	4.00	2.00	3.00	9.00	0.84
U.S. Customs Service	3.00	2.00	3.00	3.00	12.00	0.71
Defense Information Systems Agency	3.00	2.00	2.00	6.00	7.00	0.65
Naval Undersea Warfare Center Division, Newport	3.00	3.00	3.00	4.00	6.00	0.65
Occupational Safety and Health Administration	3.00	1.00	4.00	2.00	14.00	0.54
NASA, Ames Research Center	3.00	2.00	1.00	4.00	14.00	0.53
NASA, John F. Kennedy Space Center	3.00	2.00	4.00	2.00	10.00	0.40
Defense Intelligence Agency	3.00	3.00	2.00	4.00	7.00	0.34
U.S. Geological Survey	3.00	2.00	4.00	3.00	7.00	0.30
Commerce, Office of the Inspector General	3.00	2.00	4.00	2.00	9.00	0.21
Department of State, Headquarters	3.00	1.00	3.00	4.00	10.00	0.21
Air Force, Air Mobility Command	3.00	1.00	5.00	2.00	9.00	0.13
Food and Nutrition Service	3.00	2.00	4.00	3.00	6.00	0.12
Defense, Washington Headquarters Services	3.00	0.00	3.00	3.00	15.00	0.09
Bureau of Indian Affairs	3.00	2.00	4.00	4.00	3.00	0.02
Naval Undersea Warfare Center Division, Keyport	3.00	3.00	4.00	2.00	4.00	-0.11
Transportation, Office of Inspector General	3.00	1.00	2.00	1.00	17.00	-0.35
Air Force, Specific Operations Command	2.00	1.00	5.00	4.00	6.00	-0.37
Equal Employment Opportunity Commission	1.00	3.00	2.00	3.00	14.00	-0.52
NASA, Langley Research Center	3.00	1.00	2.00	3.00	10.00	-0.74
U.S. Air Force Academy	3.00	1.00	0.00	3.00	14.00	-1.00
International Trade Administration	3.00	2.00	3.00	3.00	1.00	-1.30
U.S. Army, Pacific	3.00	1.00	1.00	2.00	12.00	-1.32
Food Safety and Inspection Service	3.00	0.00	2.00	2.00	12.00	-1.41
Defense Contract Audit Agency	3.00	0.00	0.00	2.00	17.00	-1.49
U.S. Office of Personnel Administration	1.00	2.00	4.00	2.00	5.00	-2.21
National Telecommunications and Information Administration	1.00	3.00	2.00	2.00	7.00	-2.25
Naval Security Command	3.00	2.00	2.00	1.00	3.00	-2.33
Treasury, Financial Management Service	2.00	1.00	0.00	3.00	10.00	-2.58
Small Business Administration	2.00	0.00	3.00	2.00	7.00	-2.67
Minority Business Development Agency	1.00	1.00	3.00	2.00	6.00	-3.11
Health and Human Service, Program Support Center	2.00	0.00	2.00	0.00	7.00	-4.07
Commerce, Office of General Counsel	0.00	2.00	1.00	1.00	9.00	-4.27
Commerce, Economics and Statistics Administration	0.00	0.00	2.00	4.00	5.00	-4.33
Internal Revenue Service	0.00	1.00	1.00	3.00	6.00	-4.51
Drug Enforcement Administration	1.00	0.00	2.00	2.00	3.00	-4.75
U.S. Marshall's Service	3.00	0.00	1.00	0.00	0.00	-5.00
Office of the Secretary of the Navy	0.00	1.00	1.00	2.00	1.00	-5.87
Bureau of Public Debt	0.00	0.00	0.00	2.00	4.00	-6.41
Army, Space and Missile Command	0.00	0.00	0.00	0.00	0.00	-8.04
Air Force Reserve Command	0.00	0.00	0.00	0.00	0.00	-8.04
Air Force, U.S. Air Forces — Europe	0.00	0.00	0.00	0.00	0.00	-8.04
National Agricultural Statistics Service	0.00	0.00	0.00	0.00	0.00	-8.04
U.S. Army Forces Command	0.00	0.00	0.00	0.00	0.00	-8.04
Army, Military Traffic Management Command	0.00	0.00	0.00	0.00	0.00	-8.04
U.S. Army Military District of Washington	0.00	0.00	0.00	0.00	0.00	-8.04
Commerce, Economic Development Administration	0.00	0.00	0.00	0.00	0.00	-8.04
Immigration and Naturalization Service	0.00	0.00	0.00	0.00	0.00	-8.04
Indian Health Service	0.00	0.00	0.00	0.00	0.00	-8.04
U.S. Marine Corps	0.00	0.00	0.00	0.00	0.00	-8.04
Naval Space and Warfare Systems Command	0.00	0.00	0.00	0.00	0.00	-8.04
Treasury, Office of the Inspector General	0.00	0.00	0.00	0.00	0.00	-8.04

Source: Kellough, J.E., & Naff, K. C. (2004). Responding to a wake-up call: An examination of federal agency diversity management programs. *Administration and Society*, 36, 62-90.

Table 5: (Continued)

Agency Scores on Diversity Program Indices (Continued)						
	Training	Communication	Accountability	Resources	Demographic Scope	Summary
Agricultural Marketing Service	3.00	4.00	5.00		10.00	
NASA, Johnson Space Center	3.00	5.00		7.00	17.00	
NASA, Dryden Flight Research Center		5.00	5.00	8.00	11.00	
Office of Surface Mining, Reclamation, and Enforcement	2.00	5.00			16.00	
National Highway Traffic Safety Administration		4.00	6.00	5.00	11.00	
NASA, Lewis Research Center	3.00	5.00	4.00		12.00	
Air Force, Space Command	3.00	3.00	6.00		8.00	
Substance Abuse and Mental Health Services Administration		3.00		5.00	7.00	
Bureau of Census		3.00	3.00	4.00	10.00	
Bureau of Labor Statistics		1.00		5.00	12.00	
Department of Energy		2.00		5.00	7.00	
Bureau of Alcohol, Tobacco, and Firearms		3.00	3.00	6.00	9.00	
Department of Labor, Headquarters		2.00		4.00	10.00	
National Park Service	3.00	3.00			17.00	
Comptroller of the Currency		3.00	3.00	6.00	15.00	
Grain Inspection, Packers, and Stockyards Administration		3.00	3.00		13.00	
NASA, Goddard Space Flight Center		2.00	4.00	5.00	8.00	
Department of Justice, Headquarters		0.00	4.00	2.00	9.00	
Agriculture, Rural Business Cooperative Service		4.00		2.00	3.00	
Federal Emergency Management Agency		1.00	2.00	2.00	10.00	
NASA, Headquarters	3.00	3.00	2.00		10.00	
Department of the Treasury, Headquarters		0.00	2.00	3.00	8.00	
Agricultural Research Service	3.00	0.00	1.00		8.00	
Centers for Disease Control and Prevention		1.00	3.00	3.00	7.00	
Department of Health and Human Services, Headquarters	0.00	1.00		2.00	8.00	
Pension and Welfare Benefits Administration		3.00	4.00	0.00	3.00	
Bureau of Engraving and Printing	1.00	0.00	3.00		14.00	
Air Force, Air Combat Command		2.00		1.00	3.00	
Health Resources and Services Administration		0.00	2.00	3.00	6.00	
Army, Total Army Personnel Command		4.00			0.00	
Federal Law Enforcement Training Center		2.00	2.00	3.00	3.00	
U.S. Army Corps of Engineers		3.00		2.00	0.00	
Employment Standards Administration		3.00	3.00	1.00	4.00	
Maritime Commission		3.00	2.00	1.00	2.00	
Transportation, Administrative Service Center		0.00	0.00	2.00	0.00	
National Cemetery System		0.00	0.00	2.00	1.00	
n	107.00	133.00	121.00	123.00	133.00	97.00
Minimum	0.00	0.00	0.00	0.00	0.00	-8.04
Maximum	3.00	5.00	6.00	9.00	17.00	7.58
Mean	2.29	2.30	3.17	3.41	8.95	0.47
Standard deviation	1.18	1.71	2.01	2.23	5.47	4.43

Source: Kellough, J.E., & Naff, K. C. (2004). Responding to a wake-up call: An examination of federal agency diversity management programs. *Administration and Society*, 36, 62-90.

Appendix C. IRB Approval

VCU Memo

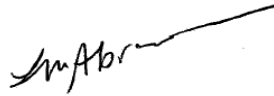
V i r g i n i a C o m m o n w e a l t h U n i v e r s i t y

Office of Research Subjects Protection
BioTechnology Research Park
BioTech One, 800 E. Leigh Street, #114
P.O. Box 980568
Richmond, Virginia 23298-0568
(804) 828-3992
(804) 827-1448 (fax)

DATE: February 4, 2010

TO: Mark C. Williams, PhD
Wilder School
Box 842028

FROM: Lisa M. Abrams, PhD
Chairperson, VCU IRB Panel B
Box 980568



RE: **VCU IRB #: HM12682**
Title: Federal Senior Manager Interviews regarding Representative Bureaucracy

On February 3, 2010, the following research study was approved by expedited review according to 45 CFR 46.110 Category 7. The approval reflects the revisions received in the Office of Research Subjects Protection on January 27, 2010. This approval includes the following items reviewed by this Panel:

RESEARCH APPLICATION/PROPOSAL: None

PROTOCOL (Research Plan): Federal Senior Manager Interviews regarding Representative Bureaucracy, received 1/27/10, version date 12/17/09
▪ Interview Guide, received 1/27/10

CONSENT/ASSENT (attached):
▪ Research Subject Information and Consent Form, received 12/18/09, version date 12/17/09, 4 pages

ADDITIONAL DOCUMENTS: None

This approval expires on January 31, 2011. Federal Regulations/VCU Policy and Procedures require continuing review prior to continuation of approval past that date. Continuing Review report forms will be mailed to you prior to the scheduled review.

The Primary Reviewer assigned to your research study is Ann Allen, PhD. If you have any questions, please contact Dr. Allen at aallen@richmond.k12.va.us; or you may contact Jennifer Rice, IRB Coordinator, VCU Office of Research Subjects Protection, at jlrice@vcu.edu and 828-3992.

[Attachment – Conditions of Approval]

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Conditions of Approval:

In order to comply with federal regulations, industry standards, and the terms of this approval, the investigator must *(as applicable)*:

1. Conduct the research as described in and required by the Protocol.
2. Obtain informed consent from all subjects without coercion or undue influence, and provide the potential subject sufficient opportunity to consider whether or not to participate (unless Waiver of Consent is specifically approved or research is exempt).
3. Document informed consent using only the most recently dated consent form bearing the VCU IRB "APPROVED" stamp (unless Waiver of Consent is specifically approved).
4. Provide non-English speaking patients with a translation of the approved Consent Form in the research participant's first language. The Panel must approve the translated version.
5. Obtain prior approval from VCU IRB before implementing any changes whatsoever in the approved protocol or consent form, unless such changes are necessary to protect the safety of human research participants (e.g., permanent/temporary change of PI, addition of performance/collaborative sites, request to include newly incarcerated participants or participants that are wards of the state, addition/deletion of participant groups, etc.). Any departure from these approved documents must be reported to the VCU IRB immediately as an Unanticipated Problem (see #7).
6. Monitor all problems (anticipated and unanticipated) associated with risk to research participants or others.
7. Report Unanticipated Problems (UPs), including protocol deviations, following the VCU IRB requirements and timelines detailed in VCU IRB WPP VIII-7:
8. Obtain prior approval from the VCU IRB before use of any advertisement or other material for recruitment of research participants.
9. Promptly report and/or respond to all inquiries by the VCU IRB concerning the conduct of the approved research when so requested.
10. All protocols that administer acute medical treatment to human research participants must have an emergency preparedness plan. Please refer to VCU guidance on <http://www.research.vcu.edu/irb/guidance.htm>.
11. The VCU IRBs operate under the regulatory authorities as described within:
 - a) U.S. Department of Health and Human Services Title 45 CFR 46, Subparts A, B, C, and D (for all research, regardless of source of funding) and related guidance documents.
 - b) U.S. Food and Drug Administration Chapter I of Title 21 CFR 50 and 56 (for FDA regulated research only) and related guidance documents.
 - c) Commonwealth of Virginia Code of Virginia 32.1 Chapter 5.1 Human Research (for all research).

[010507]

Appendix D. Research Subject Information and Consent Form



RESEARCH SUBJECT INFORMATION AND CONSENT FORM

TITLE: Federal Senior Manager Interviews Regarding Representative Bureaucracy

VCU IRB NO.: Hm12682

Please let me know if there is anything in this consent form that you do not understand or do not agree with.

PURPOSE OF THE STUDY

The purpose of this research study is to determine how African Americans at senior levels (GS15 and SES) within the federal civil service influence representation of African Americans at mid levels (GS13 and GS14) within the federal civil service.

You are being interviewed because you are a senior manager in one of the agencies included in my study.

DESCRIPTION OF THE STUDY

Your participation in this study will require you to sign this consent form after all of your questions have been answered.

You will be asked to answer approximately 20 questions as part of this interview. The questions are a combination of knowledge, opinion and behavior questions. The interview is expected to last no longer than one hour. The interview will be recorded to ensure I capture your responses precisely as they are provided but no names will be recorded. The recording can be stopped at anytime during the interview at your request. Once the recorded information is transposed and incorporated into my dissertation, the taped information will be destroyed.

RISKS AND DISCOMFORTS

Let me know if there is any question that you prefer not to answer or if there is any answer that you would prefer not be recorded or used as part of the dissertation.

BENEFITS TO YOU AND OTHERS

The information gathered from these interviews will help me complete the requirements for my dissertation research. Further, the information gathered from senior managers in this study may help federal agencies design better programs to increase diversity at higher levels in the civil service. There is no monetary benefit for the conduct of this study.

December 17, 2009

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COSTS

There are no costs for participating in this study other than the time you will spend responding to the interview questions.

PAYMENT

You will not be receiving any compensation for participating in this study.

ALTERNATIVES

You have the option not to participate in this study.

CONFIDENTIALITY

Data is being collected for research purposes only. Potentially identifiable information about you will consist of interview notes and recordings. The interview notes and recordings will remain in the possession of the student interviewer until incorporated into the written research study dissertation. After that time, all notes and recordings will be destroyed. No information incorporated into the written research study dissertation will identify individuals by name. Access to all data will be limited to the student interviewer and dissertation committee if necessary. A data and safety monitoring plan is established.

Information from the study and the consent form signed by you may be looked at or copied for research or legal purposes by Virginia Commonwealth University. What we find from this study will be published in a research dissertation and may be presented at meetings or published in other papers, but your name will not be used in any of these presentations.

The interview session will be audio taped, but your name and agency will not be recorded. You will be asked to identify your position within your organization. Your name and agency will be identified using a number coded system accessible to the student interviewer only. The tapes, notes and codes will be securely stored at the student interviewer's residence. After the information from the tapes is integrated into the written research findings, the tapes will be destroyed.

IF AN INJURY HAPPENS

There is no risk of injury during the interview process.

VOLUNTARY PARTICIPATION AND WITHDRAWAL

You do not have to participate in this study. If you choose to participate, you may stop at any time. You may also choose not to answer particular questions that are asked in the study.

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QUESTIONS

In the future, you may have questions about your participation in this study. If you have any questions, complaints, or concerns about the research, contact:

Dr. Mark C. Williams
Adjunct Professor, Principal Investigator
804-517-6703

If you have any questions about your rights as a participant in this study, you may contact:

Office for Research
Virginia Commonwealth University
800 East Leigh Street, Suite 113
P.O. Box 980568
Richmond, VA 23298
Telephone: 804-827-2157

You may also contact this number for general questions, concerns or complaints about the research. Please call this number if you cannot reach the research team or wish to talk to someone else. Additional information about participation in research studies can be found at <http://www.research.vcu.edu/irb/volunteers.htm>.

CONSENT

I have been given the chance to read this consent form. I understand the information about this study. Questions that I wanted to ask about the study have been answered. My signature says that I am willing to participate in this study. I will receive a copy of the consent form once I have agreed to participate.

Participant name printed	Participant signature	Date
--------------------------	-----------------------	------

Name of Person Conducting Informed Consent
Discussion / Witness³
(Printed)

December 17, 2009

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Signature of Person Conducting Informed Consent Date
Discussion / Witness

Principal Investigator Signature (if different from above) Date ⁴

³ [A witness to the signature of a research participant is required by VA Code. If the witness is to be someone other than the person conducting the informed consent discussion, include a line for the witness to print his/her name and lines for signature⁴ and date.]

⁴ [The purpose of this signature is to ensure that the principal investigator is aware of who has been enrolled in studies. The principal investigator's signature date need not correspond to that of subject or witness, but should be provided after both the subject and witness have signed.]

December 17, 2009

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Appendix E. Interview Guide

Hello Ma'am (Sir), thank you for agreeing to take time out of your busy schedule to allow me to ask you a few questions during this interview. I assure you that your responses will be used strictly to support my research project and there is no need to disclose your identity in my written report. Unless you object I will be recording our interview to ensure I capture your responses precisely as they are provided. At anytime during the interview recording can be stopped at your request. Once the recorded information is transposed and incorporated into my dissertation, the taped information will be destroyed. Do you have any additional questions or concerns about the interview or the manner in which the information will be handled or utilized?

Let me give you a little background on myself and my research project. I am a GS13 federal government employee located at the Defense Supply Center in Richmond Virginia. The Defense Supply Center is a field activity of the Defense Logistics Agency under the Department of Defense. Additionally, I am a student at Virginia Commonwealth University in Richmond Virginia pursuing a PhD in Public Policy and Administration. I am conducting my dissertation on the influence that African Americans at senior levels within the federal civil service have on the change in the percentage of African Americans at the mid levels within the civil service. For my study African Americans at the senior levels are those in grades GS15 and the SES. African Americans at the mid level are those in grades GS13 and GS14.

If you have no questions, I would now like to get a little bit of information about your organization and your position within your organization. Please tell me briefly about your organization's mission.

Please tell me about your responsibilities within your organization.

Probes: What is your current grade?

What is your area of responsibility?

How long have you been in this agency?

How long have you been in your current position?

How long have you been in your current grade?

We will now begin with some general questions about the federal civil service. According to the U.S. Equal Employment Opportunity Commission, individuals in grades GS13 and GS14 make up the mid level of the federal civil service and individuals in grades GS15 and the SES make up the senior level. These individuals establish agency missions, set agency policies and determine agency goals. What are your thoughts on the importance of having ethnic diversity at the GS13, GS14, GS15 and SES levels of the federal civil service?

Current statistics from the Office of Personnel Management indicates that African Americans comprise about 17 percent of the federal civil service, but make up 25 percent of grades GS1 through GS6 and 12 percent of grades GS13 and GS14, and 6.75 percent of grades GS15 and the SES. What is your opinion of these current percentages of African Americans in the federal civil service?

What do you believe are the values of having more African Americans at higher levels within the federal civil service?

What responsibility if any do you believe that African Americans at the highest levels of the federal civil service have to advocate for increased representation of African Americans at grades GS13 and GS14 or higher?

I would now like for you to tell me about African American representation in your own organization. What is the overall percentage of African Americans in your organization?

What are the current percentages of African Americans in grades GS13, GS14, GS15 and SES in your organization?

What is your opinion of the current percentages of African Americans at these grade levels in your organization?

How do you believe your organization would benefit from more African Americans at grades GS13 and GS14 or higher?

What is your opinion of the qualifications of African Americans in the candidate pool for GS13 and GS14 or higher in your organization?

How are GS13 and GS14 or higher positions monitored for diversity in your organization?

What is taken into consideration when selecting candidates to fill vacant positions at the GS13 and GS14 level or higher in your organization?

What is your involvement with decisions to fill vacant positions at the GS13 and GS14 levels or higher in your organization?

How do you feel about your organization's efforts to improve African American representation at grades GS13 and GS14 or higher?

I would now like to get some information on your personal contributions to the representation of African Americans at the higher levels in your organization. What have you done specifically to contribute to the percentage of African Americans at grades GS13 and GS14 or higher in your organization?

What have been your most successful efforts at increasing the percentage of African Americans at grades GS13 and GS14 or higher in your organization?

How do you interact with other African Americans at the senior level in your organization?

Probes: What types of internal socialization exist?

What types of external socialization exists?

How do you interact with other African Americans below the senior level in your organization?

Probes: What types of internal socialization exist?

What types of external socialization exist?

Now to wrap up, what else do you believe that African Americans in senior-level positions should do to influence greater representation of African Americans at grades GS13 and GS14 or higher?

Do you have anything else that you would like to add?

This ends the interview and I will now stop recording.

Appendix F: Table 33. Themes and Sample Quotes

Theme	Comment	Respondent
Advocate Responsibility	"I don't advocate increasing roles based on people's race and gender. What I do is advocate that we ensure that all groups of people are given fair and equal opportunity in our recruitment process; in our training processes; in our job assignments and processes."	#10-GS15
	"Nobody advocates increasing anybody's representation just because they are Black or whether you are a woman or a man. If we really want to affect change in the organization we've got to look at the why haven't we, not the fact that we don't have these. We've got to develop some type of analyses."	
	"I think they have a strong responsibility to advocate for increased representation of African Americans at higher grades. But, you know at the cost of reverse discrimination and whatever, they have to be careful how they go about it. But, I think they have a huge responsibility to bring along other African Americans."	#11-GS15
	"You have a responsibility when you get to a certain place or certain level to give back. That's the only way you can nurture your culture."	#12-GS15
	"We are trying to advocate for other agencies not just for African Americans. You understand that it's broader than that; but a part of the equation is African Americans should receive the same fair and equitable treatment that leads to greater progression."	#13-SES
	"As African Americans I don't think it is any different from anybody else; other than the fact that we should advocate for processes practices precedents; all of these that provide the opportunity to everyone that is eligible for employment."	#14-GS15
	"Senior folks have to get out of their comfort level and understand that, just like somebody provided assistance to you, there is a role and a responsibility to reach back and help others."	#15-GS15
	"We as African Americans do not sponsor our people and I clarify when I say sponsor. Sponsor to me, by definition, is you take them under your wing and you introduce them to the right people, and you put them on visible projects...Sponsorship is not, I sit down with you and come up with a plan; that's mentorship. Sponsorship is I put you under my wing and when I go on business trips I take you with me; you get exposure; I think we owe that."	#2-GS15
	"If I was not there to be an advocate, and that is key; when I say sponsorship you have to be an advocate. As an advocate I would say no, he is just quiet because that is his personality. If I had not done that he would have never	

	gotten the GS15...I would say sponsorship efforts are being used more effectively than any policies or processes that have been put in place."	
	"We can all look back over our careers and say that there was somebody that led the way and opened doors for us. The value of us being in the position right now is that we can advocate on behalf of other minorities; give them the opportunity to succeed and just be in the position to qualify for promotion opportunities."	#3-GS15
	"I think we need to recognize that we need to support our people; be advocates for their career at all times. We can't expect for White Americans- and I hope this is a fair statement-we can't expect for White Americans to be the advocate on behalf of Black Americans. We need to be our own advocates and certainly we should not be afraid to make decisions that put us in positions to at least have access to equal opportunities."	
	"I think African Americans at higher levels have a big role in ensuring that minorities are employed. However, a part of me says that the role of any senior manager should be that they provide an opportunity, equal opportunity, for all individuals, regardless of their race or gender or age or nationality or religion. But that being said, as a minority senior manager, part of my responsibility is to mentor and coach and train individuals so that they can be ready for the opportunities that may present themselves."	#4-GS15
	"Yes, I do think we have a responsibility to advocate for increased representation of African Americans at higher levels."	#5-GS15
	"I think that the responsibility to advocate has a profound effect on African Americans in the feeder groups. What I mean by that is, the GS13 aspiring to be GS14 and the GS14 aspiring to be GS15 and the GS15 aspiring to be SES; it certainly helps them to see others like them in those positions. And, it certainly gives a sense of responsibility, I think, to African Americans in the higher grades to, as I mentioned before, serve as mentors formally and informally."	#6-GS15
	"The responsibility of the executive is to reach out and ensure, especially when you are a minority or you are a woman or you are Hispanic or any other ethnic group, you look to strengthen your own core ethnic group values in order to make sure that you are not going to be the first and last."	#7-GS15
	"My role and responsibility is awareness. I don't mind stepping up to the plate and telling it like it is. When our Black female left, our wall of leadership in the command building went to White and I didn't mind telling leadership that."	#8-GS15

	"What responsibility do they have to advocate; and I would say that's fine, and they can advocate; that is not an issue. But, I believe the bigger question and the larger responsibility is that they have a responsibility to prepare African Americans at the lower levels to compete at that level."	#9-SES
Barriers	"Maybe we are not paying enough attention to some groups of people as they began to start being groomed at the lower grade level for moving into the mid level and senior level. I do not see the lack or the low participation rates of minorities in the SES levels as discrimination. I don't think that is the issue or anything like that. I think it is a bigger issue as to who is getting in there. It is not a discriminatory factor in my view as much as it is a grooming factor at the lower grade levels through the mid level all the way up to the SES level."	#10-GS15
	"Even if I as an African American GS15 decide that I am going to promote the people in my organization, African Americans or Hispanics or whomever, to positions of GS14 and GS13; if the agency does not give me the funds to send these people to leadership courses they are not going anywhere after that."	#11-GS15
	"What we have to do is change the mindset of the people who are there now. They should not look at the African American the color. they should not look at the sex; they should not look at the ethnicity. They have to change their thought patterns to say, yes, look at the value of that person; let's look at the ability of that person. So all of that is importantto, you know, promote more African Americans; but, that is not going to happen if you don't change the mindset of the majority already in leadership."	
	"I think in the federal government ou have candidates who did not go to college... got them a government job and, you know, did not pursue their education after high school and the education that they received from grades one through 12 just was not adequate. And, sometimes it is hurting some of our African American employees."	
	"The most people that get to go to the schools and training are the GS12 and up; for the Junior grades GS1 through GS6, and I am going to include GS7, GS8, GS9 and GS10; they do not get the same opportunities as the upper grades in getting some of that education that is needed and that's important."	#12-GS15
	"A lot of people didn't make it because they could not get through the process. So that's a problem; that becomes a barrier. So, let's have a class on how to manipulate the system so that we can get their resumes through."	
	"Historically African Americans are well qualified for a lot of positions but, there are roadblocks and those roadblocks need to be removed."	#13-SES

	<p>"In order to move to the next level where there is more decision making and planning the work; that's where, a lot of times, we have African Americans who have not pursued a degree. And, those who have are stuck at the supervisory level GS13 and some of them never make it to the GS14 or GS15 level."</p> <p>"Some of the HR practices have to change. Just like having selections centrally managed as opposed to one individual making all of the hires in a particular area. Because what they tend to do is, they hire like minded people. If you went to Virginia Tech you are in; any place else you are out."</p> <p>"Whether they want to believe it or not there is a glass ceiling and they only let a select few through. There should be opportunity for us to get through."</p> <p>"A lot of times I heard managers consciously do this; They do not pick people of color, of the same color. They are very scared or very conscious of the fact that someone may look at them and say, you are hiring them because of their race."</p> <p>"Within my past experience in the field I think we had a population of people who were less educated. When they offered free tuition and reimbursement programs they offered 100 percent reimbursement. I saw where more African Americans got their degrees. But, I also saw that when they did that the registers that I saw coming out of management started taking education points away. And, in fact you will find if you do research that a lot of time, especially in the field activities, the higher you went the less education points you had; and the excuse was because they wanted somebody with experience. And, I found that the people who were being selected had no education not even a bachelors or associate degree."</p> <p>"We are getting jobs straight out of high school; we are looking for that good government job. We limit ourselves by not furthering our education and that kind of puts us behind the curve. We are not in position to qualify for that mid management position."</p> <p>"I don't think we have a lot of African Americans in the GS13, GS14, GS15 and SES that are in position to hire other African Americans. And so, sometime the reality is that our African Americans may not get, or it appears that they don't receive, the same or fair shake in terms of opportunities for promotion."</p> <p>"We don't look at growth in our professions like the majority race does. We may live in Richmond, which is only maybe 125 miles from DC, where most of the high grades are. But, we will not move from Richmond to go to DC to get the high grade. We think the people in Richmond need to give us the high grades. That's a failed philosophy in organizations' structures are what they are. The can't create more than what they are designed to have, so you may have to move to get what you want, and you can always come back</p>	<p>#15-GS15</p> <p>#1-GS15</p> <p>#2-GS15</p> <p>#3-GS15</p> <p>#4-GS15</p>
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	<p>when those openings are available."</p> <p>"I had to leave my agency, my old job, to get a GS15...the job position was basically what I was already doing as a GS14 but my old job wouldn't give me a GS15. I had to leave a job to get an opportunity to get to the 15 level and unfortunately that may be the case for a lot of people."</p> <p>"We tend to forget how we got to where we got to and we sometime become jealous if someone looks like they are going to move ahead of us. Even within our own culture we got to get over that; we got to get past that."</p> <p>"I find it sometimes troubling; if I see somebody I think has promise, to go after them; then to find out that they don't really want to do anything. That makes the senior leader a little bit hesitant to do it again."</p> <p>"We have a lot of different discriminators as to why we don't have people at the upper levels. A lot of it is based on the organization; a lot of it is based on qualifications; some of it is based on politics. There are a lot of variables."</p> <p>"The system isn't just close to Black people; it's close to people who are not already in government. I could find an excellent candidate who is out there but trying to get them in, particularly at senior levels, is difficult."</p>	<p>#5-GS15</p> <p>#7-GS15</p> <p>#9-SES</p>
Benefits	<p>"African Americans are just like those other minorities. We open it up and we get better diversity of ideas and opinions and experiences at the table."</p> <p>"Regardless of what peoples race or gender may be, you get a greater wealth of ideas and experiences and views when it comes to political decisions, problems solving, and decisions about how to move an organization forward."</p> <p>"The value of having more African Americans at higher levels is; the more you have the more you have a tendency to look out for your people; well, people that are like you."</p> <p>"If there were more African Americans at grades GS13 and higher, I think you would have a more harmonious environment to work in. Not only just African Americans; more females; more Hispanics."</p> <p>"It would be very beneficial for the organization to have more African Americans at the senior level. I mean, because the lower level African Americans will see, just like when Barack Obama was elected to president; there is hope you know, we can make it."</p>	<p>#10-GS15</p> <p>#11-GS15</p>

	<p>"We would benefit with more African Americans at higher levels because, one, you would make our picture look like the picture of America. We would benefit because when we go out and people see that this looks like America, I want to work for them. So it would make us more marketable to minorities; that's the big thing."</p>	#12-GS15
	<p>"I don't think it would hurt or hurt us at this point. We are well represented, but I guess if we had too many at the top level it would be just like for other groups; that their voices may not be heard and we need to make sure that in our efforts to be diverse that we are truly diverse."</p>	#13-SES
	<p>"The workplace historically and traditionally in the 20th century let's say was homogeneous. The diversity and different types of people not just African Americans bring to the workplace, again, different perspectives. While we can all get to the same place we might be able to get there even quicker if we have differing ways of getting at the result."</p>	#14-GS15
	<p>"We need to demonstrate to people who have never worked with African Americans from the Historically Black Colleges and Universities (HBCUs) at a senior level, who will then have an opportunity to grow themselves, come to understand that you can have outstanding students that come from different places. Every outstanding student will not be a by-product of West Point or Harvard or Yale. There are other institutions and then there are those people who come through the school of hard knocks; who work their way up; who go to school at night and get their degrees and they deserve consideration as well."</p>	#15-GS15
	<p>"I think if they had greater diversity in leadership and engaged more people in the decision making process, then the number of EEO complaints being filed will go down."</p>	
	<p>"There is something to be said for having a federal government that employs people at all levels; who come from varying walks of life. Those who are educated at major universities, elite universities Catholic schools, HBCUs, or wherever. All of these people bring a particular vantage point. And, when all of those people are around the table or involved in the agency then you get the very best this nation has to offer."</p>	
	<p>"I don't feel totally alone now. I didn't have anybody that I could go to and say, hey, this is what I am going through; someone to talk to about issues; because as a Black man everything you do is Black; whether you want it to be or not. People look at you and they see a color first; sometimes they pre-judge you."</p>	#1-GS15
	<p>"If we don't have Blacks at higher levels then we don't have people up there pulling us up. Because, they are pulling up people they feel more comfortable with, which leaves us behind."</p>	

"If we had more African Americans at higher levels it would make opportunities for other minorities, not just Blacks but minorities, period."

"We are a little bit different in dealing with other minorities; we understand their pain. Therefore, we don't hold them back; We try to give them the same opportunities that we give ourselves. We don't get selfish with it. We understand that they go thru the same things that we go through. It will open up things for all minorities, not just Blacks."

"When it comes to policy and having oversight over field activities, I think it is key. Because, it gives you that diverse perspective. It also allows people at lower grades to see that they can get to that level."

"Not that I would like to see more African Americans in my division; we have more than any other division. I would like to see them spread out more in the field. It would be good to have them at the GS14 level because they would be managers."

"One of the issues that my organization deals with is the appearance that we are not looking out for our people. And, I think a lot of times in the African American community and work they feel they are under-represented and not getting their fair share of promotions. And so that obviously affects their work, their output, and their production at work. It also affects their attitude at work. Certainly, having the opportunity for our African Americans staff to get promoted to GS13 through GS15 would benefit the agency from the standpoint that they would be a happier staff and more productive staff. And that goes a long ways toward ensuring a better work product."

"With more African Americans at higher levels, certainly there is value to other minorities that are seeking mentors or looking to follow the career path of somebody that they admire."

"Having minority GS15s we can in some ways shape and provide jobs to those individuals that are seeking to obtain higher positions; higher aspirations within the federal government."

"More African Americans at higher levels would allow everyone to understand those things that are pertinent to African Americans; it would provide a diversity of thought."

"The value of having more African Americans at higher levels, it may sound kind of selfish; but one of the reasons is that we can help each other. I think everybody else on the other side have been doing it for years... so by having more African Americans at those levels inevitably will allow them to be able to pull others up with them."

"I think more African Americans at higher levels have a value, in that it helps with mentoring and it helps with some of the perception; it helps with

#2-GS15

#3-GS15

#4-GS15

#5-GS15

#6-GS15

	<p>developing a network for others."</p> <p>"If you have more of a diverse group within the organization and speaking of those African Americans, if you have more of them, they bring to the table some experiences some ideas some perception that certainly helps the organization overall."</p> <p>"It is important to have the representation because what you bring to the table is a sense of achievement; from the standpoint that there is a way to get to the top. It shows the lower grades that you know you can get there if you work at it. But, by the same token what else do African Americans bring to the organization? What everybody else would bring to the table as long as they are qualified; they bring the same energy and force intelligence; we are no less intelligent than anybody else."</p> <p>"There would be a great benefit to having more African Americans at higher levels because African American do bring something to the table. Not just a diverse background but a different opinion and view because we grew up in a different area."</p> <p>"I think with more African Americans at higher levels your decisions are more informed. I think that different people out of their own experience bring different things to the table. I am not one to believe that you cannot represent another ethnic group because you haven't walked where they walked...but I do believe that there is a richness that comes with having that diversity of ideas and experiences at the table; and it's not something that we should miss out on."</p>	<p>#7-GS15</p> <p>#8-GS15</p> <p>#9-SES</p>
Contributions	<p>"I just recently hired a GS13 in my office; and even though I was looking for technical skills in the job applicant I just happen to end up hiring an African American female and that was because she had more of the technical skills of what I was looking for."</p> <p>"My advice is on the recruitment end. We have to build strong comprehensive recruitment programs. So, we ensure that we are going to the right places, so that the right people are in the applicant pool. For instance for our recruitment we recruit at Hispanic community institutions, African American institutions, Native American institutions...The intent is to ensure we are going to the right places so that we can draw a good mix of applicants that we will be able to choose from."</p> <p>"At my last job I hired an African American. They just happened to be in the applicant pool and I just ended up hiring them. So, I have had an opportunity to hire African Americans at the GS13 level."</p>	#10-GS15

	<p>"I hired one African American GS14 and two African American GS12s. I currently have two vacant positions and I can't say who I am going to hire. And, I am currently in the process of trying to get my two GS14s into executive leadership courses."</p>	#11-GS15
	<p>"I am going to give you one example of my contribution through influencing my agency head. We really had a critical shortage at the GS15 level for females, Black females, and what she did in that aspect is transmit that in a way to the higher echelon that we have a problem...when your presidential appointee tell your senior execs that we have a problem here they look at the process a little bit different...the influence go from her, we have a problem here and I am dissatisfied with this percentage and we have all of these folks available...my influence there is to talk to the head of the agency so that influence would transfer downward and then they know what to do from that point."</p>	#12-GS15
	<p>"My most successful efforts have been the influences on the head of the agency to make things better. In that effort we had an African American selected for a big position in California. We had another African American brought in from the field to come to headquarters to be the deputy chief inspector. We have a minority Hispanic female selected to be a senior SES at a field office in Washington DC. We had a New York associate move to New Orleans; the head of a field division."</p>	
	<p>"About five or six years ago, a group of managers at my organization started creating a developmental program to help the folks in our administrative cadre develop skills necessary for them to bridge to some of our professional positions and we've piloted it. We actually made selections of folks and gave them two years of development to get them at that level. So now we are seeing some of the folks who were career locked at GS7 actually have moved into some of our professional series, and some of them have already made it up to the GS12 level and getting close to the GS13 level. The reason why this affects African Americans is because in the Washington DC area most of your clerical folks, at least in our office, were African Americans. So it gave a real opportunity for quite a few of them although they were not exclusively the benefit of the program."</p>	#13-SES
	<p>"Personally I established the minority college relations program. It deals with outreach and partnering with historically Black colleges and universities. I have been involved with consortium organizations and affinity groups, all focused on employing, developing and enhancing the representation for African Americans"</p>	#14-GS15
	<p>"I was on a board once where I had to interview a GS15 and that's one of the GS15s that we recently hired not too long ago in my division."</p>	#1-GS15

"I made sure that I recommended to my boss, who is an SES, that he hired the contracting director who is a Black male. So, he hired him...When the SES that I work for was hiring for his special assistant which is a GS14, I was on the board for that and I voted for the GS14 that he selected. I had influence on the SES for who he selected and he selected the guy that I wanted him to select which was a Black male. As far as my own division, I hired a Black woman as a GS14. Actually, I promoted her; She was a GS13. I promoted another male to GS13, a woman to GS13, then; I hired three women GS13s. That's what I've done down here."

"I had a GS12 who was an African American female of Nigerian descent. I put her on a project that was outside of her functional area; I gave her project visibility and; I put her on a GAO audit to get her visibility and training. She just got her GS13 target GS14 promotion."

#2-GS15

"I had a GS15 vacancy that was downgraded to a GS14. I asked my staff who wanted to volunteer to be the team lead. There was an African American male that I put into that GS14 position. He was in that GS14 position but it was a GS15 slot running a branch as a GS14. I finally got that position upgraded and he was the most qualified on the register and knew the job and he just got a GS15."

"I just recently hired an African American to GS13 target GS14."

#3-GS15

"I had two GS14s. One of those GS14s was a recent GS14. He was a GS13 for a long time and I was pushing because he is an IT specialist. And, the value of his work is important to me. He was already doing GS14 level work but they didn't want to give him the GS14. So, they wanted to post a vacancy and announce it... I really wanted to push for a desk audit for them to see; just look at the work he is doing and then make a decision based on that...they finally agreed to do the desk audit...they finally approved to just go ahead and give him the GS14...he is African American."

#5-GS15

"My most successful efforts have been helping to groom folks; giving them tips on resume writing, presentations, and network building which has translated to several people that I know getting promotions, getting new jobs; that's about it."

#6-GS15

"I believe my most successful effort has been continuous drumbeating. Initially, our senior leadership was not representative of the workforce in this organization. I think challenging EEO; challenging command to a point; asking them to look around the table and what do you see."

#8-GS15

"When I was the director and my organization did a major reorganization it was very important to me to make sure that we had representation. When I brought in my new team of SESers, we had Hispanics, African Americans, we had women, and it was a very diverse group."

#9-SES

	"In working with the chief human capital officers I made it a priority with them to increase the percentages of African Americans at higher levels; it was on our agenda and I pushed it."	
Decision Involvement	<p>"My involvement is as an advisor to management and to look out at other institutions to create diversity in the applicant pool."</p> <p>"I have the authority to promote within my own department; I don't have decision making authority for anyone else decisions as far as who they promote."</p> <p>"My position is to inform the head of the agency the lack of participation of any particular group and what I recommend to her in order to increase that participation; that's where I come in."</p> <p>"In my organization my program has about 40 individuals and we have four individuals for positions at the 15 level; probably eight at the 14 level and our career path for generalists go to a GS13...so probably 70% of our positions have the potential to be at the 13 or higher...our supervisors generally began at the 14 level and so at that level in my program I am usually involved in all of the selections either as the selecting official or the reviewing official."</p> <p>"I have been called several times to sit on selection panels; in part because they want to have a minority or maybe two and, or someone outside of the office where the position was located; kind of a neutral person who doesn't have the same history as everyone else."</p> <p>"I have been on a couple of selection boards for GS14s."</p> <p>"In my division I hire. I am the hiring official for the GS14s and the GS13s."</p> <p>"I let my GS15 branch chief determine the methodology to use. They will verify with me prior to making the selection. I will give my opinion if I know the people or I might look at the resume if they want a second opinion; but I don't try to direct or force them. I have intervened in a selection where I knew both applicants and had worked with them. I did give my opinion of who I thought was the harder worker."</p> <p>"I have a staff and I am responsible for filling the positions in my division. My involvement is limited to my own division unless I am serving on an interview panel for another area."</p> <p>"Directly within my career field as the career program manager. I do speak to commanders when it comes to the hiring of what we call critical positions within the EEO career field; those being the manager positions that are</p>	<p>#10-GS15</p> <p>#11-GS15</p> <p>#12-GS15</p> <p>#13-SES</p> <p>#15-GS15</p> <p>#1-GS15</p> <p>#2-GS15</p> <p>#3-GS15</p> <p>#4-GS15</p>

	<p>usually at the GS12, GS13, and GS14 position."</p> <p>"Normally the deputies are on the panels. So since I've been moved into this position as the deputy, whenever a vacancy opens up its kind of a given that I am going to have to sit on the panel, and be one of the evaluators. I would say I have a large role."</p> <p>"I am a hiring manager. Actually, I am at a point now where I am filling a GS13 target GS14 position. I do data analysis and try to implement programs and develop policy that would make it more inclusive and diverse."</p> <p>"Only if I am sitting as the selecting official; that's the only time I have involvement. If I am not satisfied with the response I would bring them in to explain it; and that is just not for an African American that is for anybody. If the decision looks wrong I have to challenge it."</p>	<p>#5-GS15</p> <p>#6-GS15</p> <p>#8-GS15</p>
Diversity Management	<p>"Higher grade positions are monitored in comparison with the civilian labor force statistics."</p> <p>"Qualifications is only taken into consideration when selecting candidates to fill vacant positions at higher levels."</p> <p>"I don't think positions at GS13 or higher are monitored for diversity; they really aren't."</p> <p>"The way things are, managers have the authority because I have it. I can look at my certificate of eligibles and I can do whatever I want with it. I don't have to have applications reviewed. I could pick somebody who is not qualified. There is no oversight into decisions that people are making."</p> <p>"I think within the next few years you will see some major, major, changes; because we are coming up with some strict policies; strict guidelines that are going to require agencies, senior level and below, to almost make it mandatory that they make some diversity decisions when they do promotions."</p> <p>"In my organization, to monitor diversity at the higher grades we use management directive 715 which is a report we monitor biannually to see what the numbers look like. Then we record it and then we look and see what shortfalls there are or lack of participation we may have and then come up with strategies on how we can repair them."</p> <p>"The government is going to put into place the senior executive diversity act which will create the monitoring agent over agencies and how they diversify their work force...Sometimes you need a watchdog over people in order for them to say okay we are being watched, we need to do better at this</p>	<p>#10-GS15</p> <p>#11-GS15</p> <p>#12-GS15</p>

	process."	
	"We have an internal EEO office that actually monitors our hiring of applicants; from the beginning bringing folks on board looking at our key occupational categories that leads senior leadership at this agency...to make sure that we are recruiting broadly, that our selection criteria is fair, and everyone is getting an opportunity. Then once folks get on board, folks are getting consistent uniform training."	#13-SES
	"We follow, just like any federal government agency, and we prepare management directive 715. We conduct a state of the agency brief. We monitor and do trend analysis on a routine basis."	#14-GS15
	"Consideration for selecting candidates to higher levels is that they are strictly merit. They are competitive in that they follow an express procedure and plan for selection."	
	"In this agency we have an EEO civil rights office. Like all federal agencies that office has historically been extremely removed, from everything that I have been told. I have been here three years and I can't tell you about EEO training. I went to one course early on."	#15-GS15
	"I don't know if GS13 and GS14 or higher positions are monitored. I don't know if the EEO office or the office of civil rights is looking at it or not. I know they do a report at the end of each year on the percentage of people at each grade but I don't know if they are doing anything to make sure those numbers move up."	#1-GS15
	"We hire the best qualified. I don't think race is considered at all. When someone walks into an interview you are going to hire who you like; who you feel most comfortable with. The resume already says they are technically suited for the position."	
	"Higher grade positions are not monitored. Headquarters does not use the same paperwork used in the field. When it comes to hiring high level employees there is no applicant review summary that goes through EEO to ensure you are looking at under-representation. There is no agency here that I have to go through to say that I am hiring you and I am doing it fairly."	#2-GS15
	"They do use the word diversity quite a bit; but we have to hire based on abilities. We have to target disables and give them the opportunity for promotions and higher grade levels. I think we do have a program in place that do target diversity and says that a certain percentage of our staff have to be diverse. But, whether we target African Americans I can't speak too much to that, because I don't know what the actual policy is."	#3-GS15

"I would hope that the first thing that is taken into consideration when selecting for vacant positions is the qualification. If we are looking at an applicant we are not looking at Black, White or any other color. We are looking for the best qualified person to do the job."	
"You know, I am actually working what we call the management directive 715 report right now that actually tells us what the breakout is. It tells us what our organization looks like. Every department of every federal agency is required to create or produce this document annually to the EEOC. The document gives a good breakout of what the organization actually looks like top to bottom."	#4-GS15
"The senior people in the organization; those people who do the strategic planning and all of that stuff at the highest levels; they are responsible for wanting to make the direction. They create the strategic plan. They create the human capital plan and those documents that say this is what I want my organization to be and look like. So they are the ones that need to make that decision."	#5-GS15
"I am not sure that higher-level positions are monitored for diversity to be honest."	
"Higher-level positions are monitored basically through the federal reports. They are monitored every year. They do a state of the agency for all of the groups and so there is a reporting mechanism that allows some transparency; to see what is going on; and they look at trends and there is an assessment done. What we call the human capital survey does measure the responses of groups in certain grades and also race and gender."	#6-GS15
"The things taken into consideration when selecting candidates to fill high level vacancies are the level of competency, the referral, and the ability to do the job."	
"Higher-level positions are monitored for diversity through the EEO process and through the HR process; it is looked at. Now, what they do about it is something else. But I know we file our report every year and the grades are looked at."	#7-GS15
"What is considered when selecting candidates for higher-level positions are primarily the qualification of the individual to do the job."	
"In this organization higher-level positions are monitored for diversity two ways; the EEO way and my way and it may not be the same. As a matter of fact it is not the same and I take personal responsibility to looking at those stats."	#8-GS15

	"When selecting candidates to fill vacant positions at higher levels the bottom line is and this is what everybody will tell you; if all things are equal you pick the under-represented class, considering all things are being equal."	
Efforts of Organization	"I feel good about my organization's efforts to improve African American representation at higher grade levels because they are working hard to ensure that we are enjoying some of those things that I was telling you about. I think we do a good job and I think we do get a mix of good candidates for consideration."	#10-GS15
	"My organization they are implementing policies, so I do think they are making the effort. How successful it is going to be, how aggressive, how assertive it is going to be I don't know yet."	#11-GS15
	"I think my organization's efforts to improve African American representation at higher grades are good but they should be great. It's good in that we do have a number of African Americans in our organization no doubt about it. But we need to improve in our senior executive service; need to improve in our GS 15 grades...In GS14 we are doing pretty good there, but the GS15 and SES we definitely need to improve...but the rest of the grades we are doing good."	#12-GS15
	"I feel great about my organization's efforts to increase African American representation at higher levels. That's a part of our primary mission"	#13-SES
	"How do I feel about our efforts to improve? It's not a matter of improving for us as it is maintaining, sustaining, and developing the workforce that we have."	#14-GS15
	"I think my overall agency has done a lousy job of trying to increase African American representation at grades GS13 or higher. I think it is woefully inadequate. There are no structured programs; I see no letters of encouragement from the HR office or civil rights office or from senior management saying this is what we want to do."	#15-GS15
	"I can honestly say I feel a lot better about it in the last six months; because I've seen a couple of Black male GS15s get hired in the agency. There is a new administration so maybe there is something happening that I can't see. But that's good for me; I don't feel totally alone now."	#1-GS15
	"I feel my organizations efforts to improve African Americans at higher levels is a failure. There is no conscious effort, subconscious or conscious effort, to get diversity here at headquarters. And, there is no conscious effort to rebalance that."	#2-GS15
	"I feel that in my organization we can increase our efforts. Certainly I think we need to give opportunities for African Americans to be promoted."	#3-GS15

Ethnic Diversity	"In my organization, I can say that there are some people that are very committed towards improving African American representation at higher levels and then there are some that are not. I'd like to think, unfortunately, that is the standard across the government. You have pockets of people that think of it as being important; then you have those pockets that, you know, they don't care. "	#4-GS15
	"The organization efforts have been positive; but I think they have to be pushed a little bit more. It's moving in the right direction though."	#5-GS15
	"Improving African American representation at higher levels is a part of conversation, so it is not silent; it is talked about. But, I don't see much effort from the organization. A lot is spoken about it, but there is not any direct effort to do that; to ensure that there is upward mobility and increased numbers in particular grades."	#6-GS15
	"I would have to say this federal organization of all organizations probably works harder at ensuring some kind of diversity. Even though you still see the predominately White male still at the top, they work very hard at trying to achieve equality in employment opportunity."	#7-GS15
	"I think the mindset is as long as it is not a White male all the time they are doing okay; that seems to be the mindset."	
	"If you look at the history of this organization we have not represented the folks that work here well; I guess in senior leadership; and that is changing."	#8-GS15
	"We want to ensure all people are given opportunity to compete and get hired and have jobs; regardless of their race or their gender; because we have a society that is made up of different groups of people."	#10-GS15
	"I think that ethnic diversity at higher levels is something that we do need."	#11-GS15
	"If everyone who is in the lower levels are females, African Americans, Hispanics, and Asians, and if everybody at the top are Caucasian males and Caucasian females; the working relationship between the upper echelon and the lower echelon; there is just going to be some disconnect there."	
	"I feel it is very important that we reflect the diversity of our country and make sure that everyone has equal opportunity and access to such grades. When you have diversity the viewpoints and decisions and the ideas are inclusive of everyone. Thoughts and opinions, and things that are important to that particular group can be brought to the table."	#12-GS15

"I guess the over arching importance is to have opportunity so that everyone will have the same information so that they can compete fairly. In and of itself diversity of individuals provides an organization, especially federal agencies who are service related, a better perspective as to the needs of the varying communities which they serve."	#13-SES
"It is extremely important; if we don't represent what our country or what our nation looks like how could we possibly have successful mission accomplishment?"	#14-GS15
"I think it is critically important that we have a diversity of individuals at the GS14 and GS15 level. We need to have a diversity of intellectual thought as well at that level."	#15-GS15
"I think when we talk in terms of diversity today, people talk but the enforcement mechanism are missing. I think it is very important that we have African American and Hispanics and others at the senior levels."	
"It is very important to have ethnic diversity. Diversity brings a better mix of ideas from various backgrounds."	#1-GS15
"I think it's integral to have ethnic diversity at GS13 and GS14; because representation in that population overall, I find it very limited when you get out to the field. When I go out to the field there are not a lot of people of color overall in those key policy jobs. They are more so in the lower graded execution."	#2-GS15
"I think diversity is important in any organization. I think having ethnic diversity or background, it provides you different experiences, different opinions in terms of service we provide. You view those services from your background."	#3-GS15
"It's extremely important to have ethnic diversity at higher levels. Basically what should happen is the individuals in senior management positions should reflect the diversity and cultures of the workforce that it has underneath of them. Plus, as it relates to being a federal civil servant we are here to provide services for the country; so that also would mean that it is a melting pot country that has a myriad of different individuals in it; so the organization should reflect that piece at all levels of the structure."	#4-GS15
"I think it is very important to have ethnic diversity; It means that you are getting feedback from everybody; It's not like you are using tunnel vision."	#5-GS15
"I think ethnic diversity is important and having representation throughout the feeder groups and also at the higher level and the SES is important; because that's where most of the decisions are made that affect, not just the employment piece, but also the mission of the organization."	#6-GS15

	<p>"I think it is very important to have ethnic diversity; diversity makes your organization a lot stronger from the standpoint, under the concept, that everybody brings something to the table."</p> <p>"I think it is very important to have a diversified environment at the higher level, not just African Americans."</p> <p>"I believe that the overall issue of diversity is very important."</p> <p>"Not just African American but diversity brings, I guess, a broader aspect and different views and opinions in solving issues; whether it is Hispanics or females you have to have a mix, a proper mix, if you are going to move forward."</p> <p>"I would say that ethnic diversity is absolutely critical and essential; only because your workforce is enriched by diversity that is there."</p>	<p>#7-GS15</p> <p>#8-GS15</p> <p>#9-SES</p>
Interactions	<p>"I serve as an advisor for all groups of people Blacks or any others. People call me when they are getting ready to make a conflicting decision that may impact employment."</p> <p>"There are no senior level interactions and the ones that are there, I have no interaction with them because they are in totally different departments. I have no interactions with them, and you know now that you mention it, I never thought about that. We probably, as African Americans here as GS15 and SES, we probably need to get together and talk."</p> <p>"I interact with African Americans below the senior level very well; I talk to them; you know I am a real down to earth person so I have good relationships."</p> <p>"Fraternity wise yes; one of our targets has been to get to the fraternity conventions. There are a lot of qualified African Americans at those conventions and that is a good way of getting good applicants into the jobs. So, my fraternity, we have an inside type of association of ourselves and we talk about business and how we can improve."</p> <p>"We as African Americans at the senior level interact informally. I guess you can say that, informally. We don't have a separate association of African Americans senior executives since we are at, you know, 45 %. It's not like it is a minority. It is actually, you know a majority. There is the same number of African Americans as White SES. I think we are at the exact equal number. So, we don't have a separate association. Sometimes in terms of colleagues, if you are looking for different approaches you reach out informally to talk to individuals, but we don't have a formal network system."</p>	<p>#10-GS15</p> <p>#11-GS15</p> <p>#12-GS15</p> <p>#13-SES</p>

"I interact with African Americans below the senior level, I mean pretty well on a professional level. Like I said, I mentor quite a few individuals making sure that any obstacles that I have seen as I have come up through the ranks are addressed."	
"At the SES level a couple of times a year the minority SESs will get together."	#15-GS15
"There is really no interaction at the senior level. There is none, none at all. We have two Black males that just recently started out and they got to get their feet wet. We have talked about needing to go out to lunch and share ideas, but before they came, none at all; everybody is so busy working."	#1-GS15
"I interact with African Americans below the senior level great. I let them know that I got an open door. If they need to come see me about something or need some advice they can come on and see me. I was an E9 in the marine corps; my door is always open to mentor and help anybody that I possibly can."	
"There is no one in senior level leadership positions. There are no interactions organized or anything because of the quantity and level, and there is no one to talk to. Three of us are in one division. We talk unofficially, but nothing official and we all know each other. Unofficially what's your opinion; how should I handle this situation."	#2-GS15
"I took in another agency employee that was part of a leadership program. I put her here for 60 days for part of her mentoring. Unofficially I talk to people here below the senior level and there are a lot of people who come to me and we just talk about situations and what they should do in certain situations. We do have a circle of people who have come to trust certain GS15s. There are some unofficial interactions outside of the workplace. We have a network of people who know people, who know people, who know people and tell people to call other people."	
"I maintain a professional relationship and technically I try to share ideas and vice versa with other African American supervisors at the GS15 level. We go to each other to take advantage of the different experiences. That's one of the benefits of being Black and sharing those experiences with other Blacks. We try to look out for each other and help each other. There are no formal interactions."	#3-GS15
"My staff is primarily Black and so I try to be the role model for them. I try to look out for their best interest. I try to make sure that they get sound advice in career decisions and make sure that they go to appropriate training to put themselves in positions for promotion opportunities. So, my interaction is on a professional level while still recognizing that I am speaking to African Americans; and I want to show them my experiences and ideas."	

	<p>"At the senior level like any nationality or race they communicate with one another because there is a commonality with us. Unfortunately unlike the military there are no external interactions that exist."</p> <p>"You got BIG as an organization that I can't belong to because of my position; but I do attend some of their events which allows me to talk to a large variety of people. A great deal of the EEO community is minorities and I am always talking to them. That gives me a good avenue to get out and speak to people."</p>	#4-GS15
	<p>"I interact with other African Americans at the senior level very well. We know when it's time to be serious in a meeting or on our job. And outside we kind of talk and get feedback from each other or maybe on some employee issues."</p> <p>"Everybody on my own staff is African American except for one. He is Hispanic. Most of my contractors are the ones that are Caucasian. Within my own staff we do things internal and external and when I say external it may be a holiday or someone's birthday something to that nature. We may go out to eat or something like that. We have regular staff meetings where we interact; I do one on one visits. Sometimes I may stop by and ask how things are going; especially the ones that are in school; how things are going? What classes are they taking? And, where do they see themselves going? That's within my own group."</p>	#5-GS15
	<p>"As it comes to African Americans I think that they have a pretty good network if you will, within this department and other departments of the federal government. Organizations like Blacks in Government (BIG) or the African American Federal Executive Group of Managers (AAFEGM). There are opportunities for them to network with other folks who are at higher levels and they can begin to learn from them."</p> <p>"I am part of a formal group of managers who serve as a support group; it is a cadre of managers at the GS14, GS15 level. It's an internal formal support group. My external formal support group would be BIG."</p> <p>"I interact with African Americans below the senior level through my formal and informal mentoring. I interact with them because I am quite visible throughout the department. I go to several agencies and speak at several programs, so I am present there at their agencies."</p> <p>"I think African Americans have one of the strongest networks within the government. The Asian community has one as well but not like African Americans. They have such a social fabric that isn't necessarily based upon core competencies, but it is based on some of the things like emotional intelligence and a sense of community and family. Those types of things really help African Americans, I think, thrive throughout the federal</p>	#6-GS15

	<p>government."</p> <p>"I am a part of several networking groups that are former army officers that look out into the commercial, private sector as well as the contract world and are looking for people. So, we are army and I am always talking to people looking for people; it's a behind the scenes type of thing."</p> <p>"I interact with other African Americans at the senior level basically through networking or social gatherings; things of that nature."</p> <p>"In the past three months we've added three more African American GS 15. But, when I see senior leadership that is at the GS13 and GS14 levels as well... I have people that I can talk to; they send me people and I interview them, ask them what they want in the future; supervision? Do they want to do a rotation? How can I build you up for the future?"</p> <p>"I interacted with the President, the Cabinet, Congress, all of them and my agency heads."</p> <p>"Very often when you are at that level you don't have very much interaction with folks below the senior levels as you would like. But, by getting out and speaking around the country to civil servants and getting out of your office and traveling you could have interactions."</p>	<p>#7-GS15</p> <p>#8-GS15</p> <p>#9-SES</p>
Mentoring	<p>"We probably need to serve as more mentors. But, I even hate to use the word mentor; because I don't think a formal mentorship program is the answer. I mean it in terms of partnering with more than anything else; partnering with people who are in grades who are not even at the mid level yet. Talking with them about things that will become pitfalls for them in their career, like making sure you complete your education requirements; that is number one."</p> <p>"My questions becomes whether or not these individuals are being mentored from the mid level, and it really begins generally before the mid level. It is whether or not minorities in general are getting some of the opportunities at the lower grades guiding them up to the mid level; even up to the senior level. Because, grooming for positions, such as SES positions, start before the mid level. It starts as people are being tapped to get the right training and the right opportunities, even at the lower grade levels to get to move into the mid level and to move into the senior level."</p>	#10-GS15

	<p>"I think more people are needed at those higher levels. Let me just say; I think one of the biggest problems is that we don't have-and I am speaking from experience- we don't have people who will mentor us and guide us in the right direction to get to those levels."</p> <p>"People in the higher levels tend to send people who are like them, tend to lift them up and mentor them and give them the leadership skills to go beyond their level. If there are not enough African Americans in the higher levels to mentor African Americans in the lower levels, it's a vicious circle."</p>	#11-GS15
	<p>"We have to make a more conscious effort of mentoring African Americans; African Americans mentoring African Americans. There are too many people who don't have mentors and if you don't have a mentor, you don't have anyone to throw off on; you don't have someone to monitor your progress. That mentor would come back and say, what are you doing; are you still going to school; are you taking this class...If you don't have that, a lot of people are going on their own accord."</p>	#12-GS15
	<p>"I try to mentor individuals; but because of our organization and because of my position I try to be as inclusive as possible. I don't just mentor African Americans. I mentor anyone who is interested in learning about the things which will help lead them to the higher grade. We have a high concentration of African Americans at the organization so I mentor a lot of them."</p>	#13-SES
	<p>"Mentoring and having people from the same similar kind of background is very important, so that these young people, who have immense talent, have an opportunity to talk to someone who has already gone down that road...here is someone who can tell you where the faults are; the kinds of things you need to do in order to go to the very top."</p> <p>"Mentoring is very important and that is one of the primary reasons that we need to have people at the top."</p>	#15-GS15
	<p>"I've got a couple of young men in my division that I've mentored and went all the way up to the grade of GS13 and I am hoping by the time I retire and walk out the door they are GS15s or SESs."</p>	#1-GS15
	<p>"We don't need more mentors we don't need more mentoring programs. It doesn't help us. Sponsorship helps us; yes that's a big difference that I have learned working within the federal government; sponsorship is more important than mentorship."</p>	#2-GS15
	<p>"I volunteered to be a mentor. I am constantly speaking to people; whether I am mentoring you or not in the benefits of moving up or out."</p>	#4-GS15
	<p>"I think it is important to help people; sharing with them what you did to get to your level; whether it be mentoring or giving them other outside opportunities or getting with different groups or internships or details and</p>	#5-GS15

	<p>things like that."</p> <p>"Mentoring, that's the big piece. I go out and speak to people and I am part of a formal mentoring program and I have several informal mentoring relationships."</p> <p>"I have actually mentored quite a few people to sure up their resumes; looked at resumes; looked at people who I know of could do a good job in the area and mentored them to consider certain things."</p> <p>"We need to start building them when they walk into the door, at the junior grades, the GS9, GS11 and GS12; start mentoring those folks at that point and time and put them in position to be GS13 and GS14. You need to harvest the crop going forward. If you shut the door on an intern, you've done an injustice, so you start early. "</p> <p>"I did mentoring. I felt like I could not demand out of my team what I was not doing myself. So, while I was the director I was constantly mentoring young people; African Americans; particularly women who would want to shadow, who want to come in and learn about leadership. There was a steady stream of them into and out of my office while I was the director."</p>	<p>#6-GS15</p> <p>#7-GS15</p> <p>#8-GS15</p> <p>#9-SES</p>
Percentages	<p>"The bulk of the individuals that hold most of the senior-level positions happen to be of the White race. So, I began to look at some of the systemic factors that may be contributing to that. There are a number of things that goes into it when you are talking about the senior level grades. My concern is if our recruitment is being effective; are we getting the right mix of people in the applicant pool."</p> <p>"Black men represent 7.7 percent of the workforce and Black females represent 12.9 percent of the workforce; and that is above the civilian labor force representation. So, there is no under representation of African Americans in the overall workforce."</p> <p>"Band three has all of the information on GS13, GS14 and GS15 in it. In band three African Americans made up 7.8 percent of that group of people here in this agency. That means in that band we have 294 people and of that group African Americans make up 7.8 percent. In our SES category we have 20 individuals total and Blacks made up 10.5 percent of that category."</p> <p>"There are no Black male GS15 in that band. Now obviously what that means is that most of the Black GS15 are females, but, we do have Black males in grades GS13 and GS14 in that band. In the SES category there are no Black males, so the Black representatives are females."</p>	#10-GS15

	<p>"I don't have the overall percentage of African Americans in my organization right off the top of my head."</p>	#11-GS15
	<p>"The percentages for African Americans at grades GS13 and above are definitely low. They are low everywhere government wide and they are also low in this organization."</p>	
	<p>In looking at those percentages, I will say that is a pretty good representation of African Americans that's currently in the government. My personal thoughts to it is that it is too low on the higher end, that meaning the GS13 on up to SES. I believe we need an increase in those numbers."</p>	#12-GS15
	<p>"I don't have the entire agency with me at the time; but if you look at our grades GS15 they are around 4.79 percent for males and about 2.0 percent for females. That gives you about 6.80 percent as far as representation. Under GS15 well that of course needs to be increased by several percentages to come up with some type of parity. For the SES we are definitely under represented when we look at that. We have about 1.20 percent in representation of African Americans and that certainly needs to be increased."</p>	
	<p>"We are different than most agencies; you couldn't benchmark us. Because African Americans, we represent probably 13 percent in the national population but in this organization it's about 43 percent; so it is pretty high."</p>	#13-SES
	<p>"Within the SES level we are probably at 45%, so it is a little bit higher than the actual population, at the senior pay level. The senior pay level as we define it is about 45%. But there is a dip in the GS14 and GS15 for the last couple of years so it is about 25%. We have very high numbers. Our mission drives certain folks to us. We have the highest number of folks with severe disabilities. Also, our mission drives folks here. We have a pretty high Hispanic population when you compare it to the rest of the federal government. You know, women outnumber men in my organization two to one. So those issues that are relative to these groups draw them to the organization so it really helps us in terms of our diversity. Sometimes I don't like to use us as a benchmark because our mission drives folks here."</p>	
	<p>"We have a long history of African American SES at the highest level in our organization. I guess sometimes you are with an organization and you don't see anyone from your particular race or your national origin or your gender. It makes you leery. In this organization since you see it, I guess, you know, it frees you to just compete and do your best. I've only been at the organization for 12 years but from the moment I've been here there have been many senior level folks, African Americans, so that hasn't been an issue."</p>	

	<p>"The current percentages of African Americans in the federal civil service is abysmal... how we capture that data is very interesting but those percentages if in fact we just accept them for what they are doesn't represent the country very well does it."</p> <p>"The SESers you can count on two hands. We have very good percentages compared to the national civilian labor force for GS13 and GS14. I would have to look at the GS15 but SESers we have, let me see, three and seven. We have about 10 SESers . Out of those 10 we have no African Americans in this organization."</p>	#14-GS15
	<p>"Those percentages I am not shocked. I would venture to say that when I left the civil rights program 15 years ago the numbers were somewhat in a similar manner. We had great progress and then we walked away from the programs that brought us to great progress in diversity of people; specialized programs that brought minorities into the GS12 and GS13 grade range."</p> <p>"This office, because of its mission, is an office that is not representative of what you traditionally find in the federal government. We have eight employees; all of our employees are African American."</p> <p>"In our office of eight we are top heavy. We have two GS14s and one GS15."</p> <p>"There is a significant change at the GS14 and GS15 levels; it drops off and there are very few Black men at the GS14 and GS15 grade levels; and that is something that the department is now looking at."</p>	#15-GS15
	<p>"If we are 17% of the population we should be 17% every place else."</p> <p>This agency will say we got diversity; our numbers show diversity. Yeah, your numbers show diversity but if you really look at the numbers and see what the percentages are at each grade you'll see it is not diversity. You will see when you start moving towards the top."</p>	#1-GS15
	<p>"I don't know the overall percentage of African Americans. I will give you my SES section. My division is known as the Black section. Unfortunately that is true. I have a bigger percentage. I know that sounds bad but it is true, approximately 80%."</p> <p>"I don't have the percentages for GS13 and above; but there are no Black SES at headquarters out of thousands of employees; five GS15 at headquarters; about nine agency wide; many more GS14 and GS13."</p>	#2-GS15
	<p>"The overall percentage of African Americans in my organization is approximately between 20-30 percent."</p> <p>"I would guess that the percentages for African Americans in higher grades are somewhat similar to the percentages that you have already laid out from</p>	#3-GS15

	<p>OPM."</p> <p>"I have a staff and I am responsible for filling the positions in my division. My involvement is limited to my own division unless I am serving on an interview panel for another area. The way I go about that is simply just trying to find the best qualified individual. As a matter of fact my staff is probably not considered as being diverse. Out of 15 staff members only one is White."</p> <p>"If minorities—particularly African Americans—constitute about 17% or 18% nationally, then if the federal civil service has that kind of demographic then that would be okay. What is kind of disheartening is that when you look within the government where these individuals are situated they are actually situated at the lower levels of the organizations without a lot of power to institute new changes that help to mold the organization...six percent at the senior part is really kind of inadequate."</p> <p>"For the organization our permanent workforce for Black men we are at about 5.02 percent; for Black women we are at about 5.30 percent."</p> <p>"Out of approximately 39 SES the organization wide, we have approximately three African Americans; two African American males and one African American female. For GS15s I can't give you the total number like that, but I suspect that we are probably in the neighborhood of maybe about two percent or three percent of the organization."</p>	
	<p>"What is the overall percentage of African Americans in my organization? It's a high percentage. I am going to estimate and say probably about 60 percent - 70 percent."</p> <p>"I don't know the percentage of African Americans at the higher grades...In financial operations we actually have maybe six that are GS15s and over maybe 70 that are in financial operations total. So, that's not bad when you think about 70 and at least there are six African Americans and actually they all are women...the other ones are Caucasians. Overall the percentage is low but in my particular area it's a little higher."</p>	#4-GS15
	<p>"It has improved say over the past decade where you do find more African Americans being in the higher grades."</p> <p>"Overall the percentage of African Americans in my organization is over the civilian labor force which percentage I don't know; but the exact percentage in the organization is about 18 percent I believe."</p> <p>"For 2009 the percentages of African Americans in the higher grades are for the first time, for African American males, have gone down and is actually below the civilian labor force for African American males at the grade GS15 and GS14."</p>	#5-GS15
		#6-GS15

	<p>"If you look at the percentage of Blacks or African Americans who are in the federal government, if OPM is saying it is 17 percent overall and 25 percent at the lower grades that's not necessarily equitable...the higher you go in an organization, diversity becomes almost a little more political than it does qualified required. So, that's where we struggle because you are getting towards the top of an organization. Depending on whose running it there is a bit of a political bent or more choice bent on who get those positions."</p> <p>"I know the SES level is very small. As a matter of fact it is barely a percentage point. At the GS15 level we are probably running around six percent if that high, and there are probably more women then there are men. I would say at the GS13 and GS14 level we are more abundant; I would put it somewhere in the vicinity of maybe 11% or 12%."</p> <p>"The percentages of African Americans at the mid and senior levels are not representative of the workforce. Until we get more in the pipeline to feed into the senior leadership positions those numbers are going to look just terrible."</p> <p>"The overall percentage of African Americans in my organization is about 60 percent."</p> <p>"The percentage of African Americans at higher levels is improving. In the past five years I have seen drastic changes not just in this organization across the board."</p> <p>"I would imagine when you get into just the SES the African American percentages are even lower. And that says to me that there is something really wrong; and not only that but you could almost excuse that if the federal government had just recently opened up and knocked down barriers to discrimination and we just haven't had the time to get there yet. But, the federal civil service was one of the first workforces that supposedly broke down the barriers; so you would expect to see much more equity then you do at the higher levels in the federal civil service...My opinion is that it is abysmal and it is a serious problem."</p>	<p>#7-GS15</p> <p>#8-GS15</p> <p>#9-SES</p>
Qualifications	<p>"Our focus must always be on selecting the best qualified candidate for a job period... after we have looked at hiring the best qualified person, if we continue to get qualified list that Black males are on and Black men are not getting selected, it is time for us to start peeling back the onion and look to see...what are the weaknesses in those particular areas that Black men are falling out of; what is it that Black men are missing?"</p>	#10-GS15

"Internally organizations need more leadership training. We need to focus on leadership training for all groups of people...the military focus a lot on leadership training for their people. That means that the military can pick up an officer and drop him down in any installation. It is not so much focused on whether my people are technically competent. You can get technically competent...but by the GS15 level we really should be focusing on leadership ability and leadership skills. That is the driver on an individual making it to the GS15 level."

"You are just never going to get there unless you have at least a minimum of a bachelor's degree. You just got to have that. You just got to do the hard thing and get that bachelor's degree, and from that bachelor's, if you are really serious, you have got to get that Masters; you have got to get that Masters degree. When opportunities come up in the organizations to take detail assignments or transfer from time to time, talk to them about not sitting in one job all of their career; you have got to get a diversity of experiences."

"We don't get the training to get there, which of course is why we are so under represented at the GS15 and SES level...We don't have people sending us to candidate development courses or the federal executive Institute...we are not getting the leadership courses that we need to promote us to the higher levels."

#11-GS15

"The qualifications are there; it is how we express them that is important. And they are still, because of the color of their skin, some of them won't make it; regardless of how good they are that's just real."

#12-GS15

"I don't think it's a matter of qualifications, the qualifications are there...I've been on enough panels and job interviews to listen to people as they articulate their skills and when I listen to a lot of people they really cannot tell me all the great things they've done. They hold back or feel like they are not supposed to just boast about themselves in an interview. That's quite the contrary; that is the time there to show in detail, at the interview."

"I don't think it's a matter of qualifications; the qualifications are there; I believe the important part is the mentoring that we need; the grooming to get there."

"I never want to give the indication that we would want a quota; like we need African Americans at this level just because they are African American. We need folks who are competent and qualified and we need folks from diverse backgrounds...the thing is, historically African Americans are well qualified for a lot of positions but there are roadblocks and those roadblocks need to be removed."

#13-SES

"In my organization the pool is excellent. We have an excellent pool of individuals that have come through the training. I mean folks come to our organization and they tend to stay. We have folks with a lot of organizational history that have worked in many different programs."	
"We are really looking for folks who can lead individuals. Most of the folks in our office have technical proficiency. They know their area and things of that nature, but being able to lead a diverse multigenerational workforce is a challenge. So, I think as we progress as an organization those leadership qualifications are becoming as important, if not more important, as the actual technical competencies."	
"The qualifications are solid for African Americans in the candidate pool for the higher grades in this organization."	#14-GS15
"I think the qualifications of the candidates are probably on par with other individuals on the list."	#15-GS15
"I think in this agency we have some good candidates; they just need to be given the opportunity."	#1-GS15
"It is not so much of an obligation for African Americans to hire a person if they are not qualified. I still think qualifications have to go along with hiring a person of color."	#2-GS15
"The African Americans who are putting in for the jobs in DC I think they are equally qualified; no more qualified than any others. I think that's because those people who do want to move just want the money. The qualifications are pretty much the same; I don't think it is so much the quality as the quantity of African Americans in the pool of people who want to put in for these jobs and come up here to DC. So, we have a tendency to get applicants who are putting in just for the money."	
"The percentages go up when we start talking about African Americans and minorities that have gained some experience in the work place and they have gotten a degree and they have put themselves in a position that they can market their skills and abilities."	#3-GS15
"I think those individuals in the candidate pool meet the basic requirements to be promoted, but I don't think we have a lot of African Americans in the GS13, GS14, GS15 and SES that are in position to hire other African Americans. Sometimes the reality is that our African Americans may not get, or it appears that they don't receive, the same, or a fair shake in terms of opportunities for promotion."	

	<p>"I recently filled a position GS13 target GS14. I made the announcement broad enough for anybody to apply. I ended up hiring a Black person. I didn't hire him just because he was Black but because he was the best qualified candidate. I preferred to hire another Black person in that position but don't get me wrong I also felt that he was the best candidate."</p> <p>"What I've come to see is for the most part we are grossly inadequate; we as African Americans in our qualifications."</p> <p>"In 2010 you have to have a degree. It is not a nice thing to have; it is a necessity."</p> <p>"If we are not seeking detailed assignments, hard detail assignments in corps business areas of the organization, or if we are not trying to go to these developmental assignments, professional development assignments like the War College, or USDA's professional development classes for senior leaders; if we aren't doing those things we are not prepared to actually move up."</p> <p>"I believe that the qualifications are great. But, I want to say sometimes or what I've seen here is that people become complacent...they have been stepped over for so long that they have come to where they have been kind of beaten up. They just don't have that same drive; but the qualifications are definitely there."</p> <p>"When you want to get to the higher GS15 level you have to really get training that goes more into knowing how to do policy."</p> <p>"There are organizational units that are much better at the development of all of its workforce than others. So, with those organizations where there is a considered effort to develop everyone, African Americans fair very well in being prepared for the next level."</p> <p>"From some of the informal mentoring, those in my organization do relatively well with qualifying overall. They do well; I will say great."</p> <p>"People have to be qualified to be at those levels. If we go back into the 1960s where we were talking about affirmative employment and trying to make sure we had representation at all levels, the mistake or the lessons we learned from that time period was that you just don't put anybody in a position just to get the visibility of representation. People have to be trained; people have to be educated; and in order to bring something to the table you have to have something."</p> <p>"We have quite a few people who are qualified that don't get the opportunity. That's where I think that the break down is when you see the differences in numbers...there's a bit of politics played on top of the qualifications; so you may be qualified but you ain't got the right politics."</p>	<p>#4-GS15</p> <p>#5-GS15</p> <p>#6-GS15</p> <p>#7-GS15</p>
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	<p>"I think the qualifications of African Americans in the candidate pool are very good, it's just a matter of do you have enough slots to fit everyone."</p> <p>"I think we check the block pretty well from an education basis...another thing we don't do well is interview and you get hung up in an interview and they use that as an excuse not to promote you. So, we need to build up our briefing skills, interviewing skills, and ability to communicate."</p> <p>"In today's economy what people are looking for are knowledge workers; and quite frankly the nation is under attack; and what you really need are people who can speak foreign languages. They don't really care if they are White, Black, purple, or green if they can get the job done... the icing on the cake was the diversity. We could get along with that because that enriched the decision; it enriched the policy making process when you have people coming from those various backgrounds. But when a guy is in a trench somewhere in a foreign nation and depending on maps to guide him out of there; he doesn't care, he wants somebody sitting in that job sending him great information that will guide him out. So, skills matter and all of those things matter and diversity is the icing on the cake; the richness that we enjoy as Americans."</p>	<p>#8-GS15</p> <p>#9-SES</p>
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