

UNITED STATES OFFICE OF PERSONNEL MANAGEMENT



Guidance for Agency-Specific Diversity and Inclusion Strategic Plans

November 2011

a New Day for Federal Service

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Introduction

This Guidance on implementation of the Government-Wide Diversity and Inclusion Strategic Plan (the Guidance) provides agencies with direction to enable them to fulfill the goals identified in Executive Order 13583 and coordinate their diversity and inclusion efforts within the agency in a collaborative and integrated manner. Currently, in many agencies, human resource (HR) programs collect workforce data, advise management in making personnel decisions, and submit reports to the Office of Personnel Management (OPM). Equal employment opportunity (EEO) programs manage the discrimination complaint process, track data, identify potential barriers, and submit reports to the Equal Employment Opportunity Commission (EEOC). To deliver excellent service to the public through a skilled, engaged, and diverse workforce, HR, EEO, and diversity and inclusion (D&I) must work collaboratively and share data and information. Further, agencies that draw on the unique knowledge and expertise possessed by all three programs are better able to achieve the goal of becoming a model workplace. This guidance provides a path forward, drawing from leading practices identified by Federal, state, and private sector models of collaboration.

The Guidance is separated into two sections. Section 1 provides operational guidance and sets forth the roles, responsibilities, and requirements applicable to Federal agencies that will facilitate their successful execution of actions outlined in Executive Order 13583. Section 2 provides specific guidance to Federal agencies that will enable them to bring themselves into alignment with the priorities and actions outlined in the Government-Wide Diversity and Inclusion Strategic Plan (the Plan). In this section, each goal is listed along with its associated priorities and action items. Section 2 also provides guidance on possible measurements for the actions. The Office of Personnel Management, in coordination with the Office of Management and Budget (OMB) and the Equal Employment Opportunity Commission (EEOC), will continue to refine these measurements and provide additional guidance for agencies in subsequent issuances. Finally, in the conclusion of this Guidance, Federal departments and agencies are provided a pathway to connecting diversity and inclusion with innovation.

Below are the definitions, vision and mission statements, and goals from the Government-Wide Diversity and Inclusion Strategic Plan (the Plan).

Definitions of “Diversity” and “Inclusion”

Throughout this document, we define workforce diversity as a collection of individual attributes that together help agencies pursue organizational objectives efficiently and effectively. These include, but are not limited to, characteristics such as national origin, language, race, color, disability, ethnicity, gender, age, religion, sexual orientation, gender identity, socioeconomic status, veteran status, and family structures. The concept also encompasses differences among

people concerning where they are from and where they have lived and their differences of thought and life experiences.¹

We define inclusion as a culture that connects each employee to the organization; encourages collaboration, flexibility, and fairness; and leverages diversity throughout the organization so that all individuals are able to participate and contribute to their full potential.

Federal Government-Wide Diversity and Inclusion Vision Statement

Be the Nation's model employer by leveraging diversity and fostering inclusion to deliver the best public service.

Federal Government-Wide Diversity and Inclusion Mission Statement

Recruit, retain, and develop a diverse, high-performing Federal workforce that draws from all segments of society and values fairness, diversity and inclusion.

Goals:

1. Workforce Diversity. Recruit from a diverse, qualified group of potential applicants to secure a high-performing workforce drawn from all segments of American society.
2. Workplace Inclusion. Cultivate a culture that encourages collaboration, flexibility, and fairness to enable individuals to contribute to their full potential and further retention.
3. Sustainability. Develop structures and strategies to equip leaders with the ability to manage diversity, be accountable, measure results, refine approaches on the basis of such data, and institutionalize a culture of inclusion.

The three goals listed above are absolutely necessary for the successful growth of diversity and inclusion. Other characteristics of diversity and inclusion best practice plans, such as leadership, accountability, measurement, and training are components of, and integrated in, the three goals.

¹ Data on all the characteristics listed in this definition of diversity is not collected. However, OPM, in coordination with OMB, EEOC, and DOJ, will continue to refine existing measurements and provide additional guidance for agencies in subsequent issuances.

Section 1

Operational Guidance

This operational guidance sets forth the roles, responsibilities, and requirements applicable to Federal agencies in successfully executing actions outlined in Executive Order 13583. Successful implementation of the Government-Wide Diversity and Inclusion Strategic Plan (the Plan) will help each agency achieve its diversity and inclusion objectives for the American people. Notably, the priorities outlined in the Plan will succeed only with the strong support of leaders, managers, and supervisors, as well as a coordinated and collaborative approach within HR, EEO and D&I functions. Further, because of the complexity of the relevant legal landscape, agencies should consult with their General Counsels when crafting and implementing their individual strategic plans, to ensure compliance with law.

Agency Guidance:

A) Pursuant to Executive Order 13583, section 3(a), each Agency will designate the Chief Human Capital Officer (CHCO) as the responsible official for enhancing employment and promotion (employee life cycle processes) goals of the Government-Wide Diversity and Inclusion Strategic Plan, in collaboration with the agency's Director of Equal Employment Opportunity and Director of Diversity (also known as the Chief Diversity Officer (CDO)), if any, including the development and implementation of the agency-specific Diversity and Inclusion Strategic Plan.

1. The agency will ensure that the EEO Director reports to the Head of the Agency, or his or her designee, and is not a direct report to the CHCO.
2. The role of CDO may be a separate or distinct role, or it may be held by the EEO Director or the CHCO.²

² Executive Order 13583 does not require agencies to designate a separate Director of Diversity or a Chief Diversity Officer. Our research has shown, however, that having three separate functions – Human Resources (HR), EEO and Diversity and Inclusion - has worked very well in the private sector and in those Federal agencies that have followed this tri-partite model. Where HR, EEO and Diversity and Inclusion work together as teams rather than competitors, organizations experience the best outcomes, and this is the model we recommend.

3. The agency will assign Human Resources to lead workforce planning.
4. The agency will assign EEO to lead barrier analysis.³
5. The agency's General Counsel or other chief legal officer shall ensure that agency specific plans are in compliance with laws, rules and regulations that make it unlawful for agencies to discriminate for or against an applicant or employee based on race, color, religion, sex (including pregnancy or gender identity), national origin, age, disability, sexual orientation or any other prohibited basis.

B) The CHCO, EEO, and CDO (if any) roles and responsibilities are dependent upon the unique needs, reporting structures, current laws, policies, regulations, and strategies utilized by the respective agency. (See Appendix A for a roles and responsibility matrix that identifies functional responsibilities of the CHCO, EEO, and Diversity and Inclusion functions).

C) 120 days after the issuance of Government-Wide Diversity and Inclusion Strategic Plan, each agency will submit to OPM and OMB an agency-specific Diversity and Inclusion Strategic Plan, which it shall then implement. The plan shall:

1. Outline the actions that will be taken to achieve the specific priorities identified in the Government-Wide Diversity and Inclusion Strategic Plan.
2. Identify a responsible management official for each action.
3. Be consistent with applicable law, the agency's Strategic Human Capital Plan, merit system principles, EEOC Management Directive 715 (MD-715) and other applicable workforce planning strategies, including but not limited to those prescribed in 5 CFR Part 250, Subpart B.

³ As used in this guidance, "barrier analysis" refers to the process described in EEOC Management Directive 715. That Directive provides that "[w]here an agency's self-assessment indicates that a racial, national origin, gender, [or disability] group may have been denied equal access to employment opportunities, the agency must take steps to identify the potential barrier. Workplace barriers can take various forms and sometimes involve a policy or practice that is neutral on its face. Identifying and evaluating potential barriers requires an agency to examine all relevant policies, practices, procedures and conditions in the workplace." EEOC's Management Directive 715 (MD-715). For more information, see <http://www.eeoc.gov/federal/directives/md715.cfm>.

- a. Agencies utilizing existing plans should modify plans to ensure alignment with the Government-Wide Diversity and Inclusion Strategic Plan goals and priorities.
- b. Agencies that do not have Diversity and Inclusion Strategic Plans will develop plans that are in alignment with the Government-Wide Diversity and Inclusion Strategic Plan.
- c. At a minimum:
 - 1. The agency plan should incorporate the three Goals and seven Priorities established by the Government-Wide Diversity and Inclusion Strategic Plan.
 - 2. Agencies are encouraged to employ the actions identified within the Government-wide Diversity and Inclusion Strategic Plan, as these actions will be utilized as part of the Measurement Indices currently under development.

D) OPM will review agency-specific Diversity and Inclusion Strategic Plans for alignment with the Government-Wide Diversity and Inclusion Strategic Plan and provide recommended modifications for agency consideration.

E) Agencies will use the Diversity and Inclusion Dashboard which OPM develops as the reporting mechanism to submit progress reports to OPM.⁴

⁴ OPM, in coordination with OMB, EEOC and the President's Management Council, is currently in the process of developing a diversity and inclusion dashboard that will provide appropriate measures of agencies' progress in implementing their agency-specific strategic plans. OPM will provide reporting requirements under separate cover.

Section 2

Goal 1: Workforce Diversity...Draw from All Segments of American Society

Federal agencies shall recruit from a diverse, qualified group of potential applicants to secure a high performing workforce drawn from all segments of American society.

Workforce diversity is the first goal in the Government-Wide Diversity and Inclusion Strategic Plan and is grounded in the merit principle that: “Recruitment should be from qualified individuals from appropriate sources in an endeavor to achieve a workforce from all segments of society” while avoiding discrimination for or against any employee or applicant on the basis of race, color, religion, sex (including pregnancy or gender identity), national origin, age, disability, sexual orientation or any other prohibited basis. (5 U.S.C. 2301(b)(1), 2302(b)).

Analysis of Future Workforce Needs

Effective and efficient human capital management enables agencies to have a greater alignment of policies and programs with mission objectives. Workforce planning is a systematic approach to understanding the environment and the challenges in the people issues of an agency which impact mission achievement. To develop strategies to attract and retain high performers to accomplish organizational mission, agencies must: 1) understand their current Federal workforce, 2) project the number and competencies required for the future, and 3) understand the current and future composition of the civilian labor force and/or relevant civilian labor force.⁵

⁵ As used in this guidance, the term “Civilian Labor Force” means the subset of Americans who are currently employed or are seeking employment and are eligible to work. The “Relevant Civilian Labor Force” (RCLF) is the CLF data that is directly comparable (or relevant) to the workforce population being studied. For example, if we were analyzing the representation of women as engineers in the Federal workforce, we might compare that representation with the percentage of women who are engineers in the CLF. In this example, the women engineers in the CLF represent the RCLF. For more information, see <http://www.opm.gov/feorp01/DCAD.asp> and http://www.census.gov/hhes/www/eeoindex/page_c.html.

Meeting and projecting future Federal workforce needs in a difficult budget environment presents challenges. However, demands for ever increasing innovation and greater efficiency provide agencies with an opportunity to make a strong case for building a diverse workforce.

For example, from 2008 to 2010, a study of hiring trends across Federal agencies showed that IT and cybersecurity professionals, nurses, contract and acquisition specialists, border patrol agents, and program analysts were among the top 15 most hired positions within government. In each of these fields, research shows that hiring with an emphasis on cultural, experiential, and cognitive diversity will ensure agencies have a workforce that is capable of addressing increasingly complex challenges more efficiently. Beyond traditional measures of diversity, seeking individuals with varying degree types and professional experience will also benefit agencies and offices across government.

Workforce planning data and analysis—including knowledge about the demographics of the current workforce, projections of attrition for the next 3-5 years, skills and competencies needed to perform the job, effectiveness of succession plans, projected demographics and anticipated changes in served populations—enable leaders to make informed decisions to attract, build and retain inclusive teams to serve customers and stakeholders.

Steps for Integration of Diversity and Inclusion into Workforce Planning

1. **Establish the Strategic Direction.** Align the workforce planning process with the agency's strategic plan, annual performance and business plans and work activities.
2. **Analyze the workforce.** Conduct an analysis of the current and future workforce for the mission critical occupations in coordination with HR, EEO and Diversity and Inclusion to then conduct a barrier analysis. For more information on barrier analyses, see EEOC's EEO Management Directive 715, at <http://www.eeoc.gov/Federal/directives/md715.cfm>.
 - a. Project attrition rates for the next 3-5 years.
 - b. Project promotion opportunities to fill gaps for positions requiring experience.
3. **Develop the Competency Action Plan.** Analyze the future skills and competencies needed for mission critical occupations.
4. **Implement Workforce Plan.**
 - a. Conduct a comparative analysis between the current supply and demand (projected need) to determine projected requirements.
 - b. Use analysis to develop actions in outreach, recruiting, hiring, retaining, developing and promotion activities.

- c. Establish internal controls or checks for fairness and advancing inclusion in workforce policies and practices.
5. **Evaluate and Measure.** Assure linkage of workforce planning to accountability system and processes.

For more information about workforce planning, see OPM’s End-to-End Hiring Initiative at <http://www.opm.gov/publications/EndToEnd-HiringInitiative.pdf>, p.p. 11-17.

Priorities, Actions, and Sample Practices for Goal 1

Priority 1.1: Design and implement strategic recruitment and outreach to reach all segments of society.

Actions:

1. Collect and analyze applicant flow data.⁶
2. Coordinate outreach and recruitment strategies to maximize ability to recruit from a diverse, broad spectrum of potential applicants, including a variety of geographic regions, academic sources, and professional disciplines.
3. Ensure that outreach and recruitment strategies designed to draw from all segments of society, including but not limited to those who are underrepresented,⁷ are employed when using staffing flexibilities and alternative hiring authorities.
4. Develop strategic partnerships with a diverse range of colleges and universities, trade schools, apprentice programs, and affinity organizations from across the country.

⁶ Rigorous collection of applicant flow data is a key to crafting effective recruitment strategies. On March 3, 2010, OPM and EEOC issued a joint memorandum (Available at: <http://www.chcoc.gov/Transmittals/TransmittalDetails.aspx?TransmittalID=2920>) supporting the collection of demographic data, “including applicant flow data, because such collection is an integral part of the barrier identification process described in [EEOC’s Management Directive] 715.” OPM also strongly supports the collection of this data because it is a necessary component for effective workforce planning. A form for collecting applicant data has been approved by the Office of Management and Budget (OMB) and is available at: <http://www.eeoc.gov/federal/upload/OMB-3046-0046.pdf>.

⁷ Underrepresentation, as defined in 5 CFR 720.202, “means a situation in which the number of women or members of a minority group within a category of civil service employment constitutes a lower percentage of the total number of employees within the employment category than the percentage that women or the minority group constitutes within the civilian labor force of the United States. . .”

5. Involve managers and supervisors in recruitment activities and take appropriate action to ensure that outreach efforts are effective in addressing barriers.
6. Review and ensure that student internship and fellowship programs have diverse pipelines to draw candidates from all segments of society.

Measurements:

- Review applicant flow data to determine whether outreach and recruitment efforts are effectively reaching all segments of society.
- Measure percentage of qualified applicants from various hiring authorities used by the agency within the past 12 months by demographic group.
- Enter into strategic partnerships and memorialize relationships with the following: colleges and universities, trade schools, apprentice programs, and affinity organizations from all parts of the country.
- Measure applicant flow data to determine whether applicant pools are reflective of the relevant civilian labor force (RCLF).
- Measure percentage of managers and supervisors involved in recruitment activities and outcomes of outreach efforts to all segments of society.
- Review applicant flow data of agency internship program to determine whether applicant pools are reflective of the relevant civilian labor force (RCLF).
- Review applicant flow data of agency Presidential Management Fellows to determine whether applicant pools are reflective of the relevant civilian labor force (RCLF).
- Measure percentage of interns converted and/or hired for permanent employment.

Sample practices for Priority 1.1:

CHCOs, in collaboration with appropriate offices and senior managers, should design and perform strategic outreach to, and recruitment of, communities identified as underrepresented, as well as other communities as appropriate. Below are sample practices for conducting strategic outreach and recruitment:

- Use recruiters who possess the cultural competency necessary to communicate effectively with underrepresented groups.
- Create a diverse integrated recruitment team under which the recruiting function is centralized to plan and coordinate its campaigns. This central group works with agency contacts nationwide to take full advantage of local assets, including staff and managers who can serve as recruiters at local events.
- Generate and disseminate quarterly Workforce Diversity and Inclusion Reports to agency leadership conveying progress/status of organizational workforce diversity, in

order to ensure that outreach and recruitment strategies are effective. Furthermore, interact regularly with hiring managers and supervisors and make them aware of the agency's strategic human capital plan.

- Connect with university disability support service offices to find qualified individuals with disabilities; and conduct campus visits and one-on-one interviews with the university disability support center.
- Utilize Federal Student Service Ambassadors as a peer-to-peer marketing strategy. Use ambassador programs to tap college students who have successfully completed internships to send these former interns back to their campuses as public service emissaries, who host educational visits from agency representatives, promote job and internship opportunities to classmates, share their intern experience and meet with key staff and faculty to bolster the government's effort in recruiting young people.
- Post advertisements and job announcements in locations, and through multiple technologies, that are likely to reach underrepresented groups.
- Hold Outreach Forums and job fairs in conjunction with human resources staff where the agency recruiters interface with organizations and the community.
- Foster early talent detection through the adoption of schools where there is a broad diverse student population.
- Partner with diverse professional organizations and diverse institutions of postsecondary education to identify networking opportunities, student/staff exchange programs and rotational assignments to expand the pipeline to agency employment; Designate Executive Sponsors to build strong, active relationships with these organizations.
- Utilize diversity focused student internship and fellowship programs where underrepresentation exists as identified by barrier analysis conducted in the agency's MD-715 Report.
- Utilize employee resource groups (ERGs) and affinity groups to assist in outreach to diverse organizations.

Priority 1.2: Use strategic hiring initiatives for people with disabilities and for veterans, conduct barrier analyses, and support Special Emphasis Programs, to promote diversity within the workforce.

Actions:

1. Review results of barrier analysis required by MD 715 (if any), develop action plans to eliminate any identified barrier(s), and coordinate implementation of action plans.
2. Use Schedule A hiring authority for people with disabilities and Veteran Hiring Authorities as part of strategy to recruit and retain a diverse workforce.
3. Support Special Emphasis Programs (SEPs) and appoint SEP Managers as advisors on hiring, retaining and promoting a diverse workforce.

Measurements:

- Measure percentage of hires under the Schedule A hiring authority for people with disabilities.
- Measure percentage of hires under Veteran Hiring Authorities within the past 12 months.
- Evaluate outcomes of SEPs and the quality of engagement of SEP Managers in the recruitment outreach, retention, and promotion process in collaboration with human resources staff.

Sample practices for Priority 1.2:

The CHCO, EEO Director, and CDO (if any) should partner in reviewing and modifying the agency's existing HR policies, specifically by performing, at a minimum, the following actions—

- Modifying the agency's outreach and recruitment methods, to ensure that job advertisements are reaching a diverse audience.
- Eliminating job or promotion criteria that are not job related and consistent with business necessity.
- Ensuring to the greatest extent possible that a diverse group of individuals are involved in individual selection, promotion and award decisions.

Below are sample practices for implementing Priority 1.2:

- Utilize automated programs that prepare the agency's MD-715 Report in its totality and provide specific data on diversity in narrative, as well as graphic formats. Such data can be utilized to identify where variances exist between the agency's workforce and the Civilian Labor Force (CLF) or the Relevant Civilian Labor Force (RCLF), and share that information with managers.

- Conduct barrier analyses consistent with MD-715 with respect to various terms and conditions of employment (*e.g.*, hire, promotion, training, leadership development, separation, discipline, awards, *etc.*).
- Use OPM's Shared Register of Candidates with Disabilities. OPM, in collaboration with the Chief Human Capital Officer (CHCO) Council, has established a shared register of individuals with disabilities who have an interest in working for Federal agencies and who satisfy the requirements of positions Federal agencies are frequently required to fill. Agencies that wish to access the register or that have questions should contact their human capital office.
- For more information about hiring under Schedule A for people with disabilities, see Model Strategies for Recruitment and Hiring of People with Disabilities as Required under Executive Order 13548 at:
<http://www.chcoc.gov/Transmittals/TransmittalDetails.aspx?TransmittalID=3228#Attachment1>.
- Use the updated SF 256, Self-Identification of Disability, as a tool to measure progress toward hiring people with disabilities by resurveying the workforce at least every other year to request that people with disabilities self-identify. The form is available at:
http://www.opm.gov/forms/pdf_fill/sf256.pdf.
- For information about hiring Veterans, and Executive Order 13518, which established the Veterans Employment Initiative, see the Feds Hire Vets website at:
<http://www.fedshirevets.gov/hire/hrp/regs/index.aspx>.
- Pursuant to 29 C.F.R. 1614.102(b)(4), appoint full-time Special Emphasis Program Managers (SEPMs) (*e.g.*, People with Disabilities Program, Federal Women's Program and Hispanic Employment Program) to address employment initiatives and programs, grade these positions commensurate with the work performed, adequately fund the programs, and ensure access to leadership. See appendix C for a model SEPM position description.
- Create SEP committees for various diverse groups as needed to address underrepresentation, utilizing agency-wide staff in field components to expand the reach of SEPs; and gather information from employee affinity and resource groups.

Goal 2: Workplace Inclusion...Include All Federal Employees

Federal agencies shall cultivate a culture that encourages collaboration, flexibility, and fairness to enable individuals to contribute to their full potential.

The merit system principles directly advocate that “the Federal workforce should be used efficiently and effectively.” [5 USC 2301(b)(5)]. The workplace inclusion goal focuses on the reality that a diverse workforce alone is no guarantee to organizational productivity or to employees reaching their full potential. Inclusion strategies are the necessary link to harness and leverage the potential inherent in all diverse workforces. Studies have shown that, absent the facilitating conditions in the workplace (*i.e.*, inclusion strategies), workforce diversity will not yield the promised performance benefits.⁸ The inclusion emphasis is also an important component of the employee lifecycle stages of retaining, developing, and promoting.

Analysis of Workforce Environment

Employee satisfaction and commitment are two necessary ingredients in developing high-performing organizations and attracting and retaining top talent. Creating an organizational culture that respects and values diversity and inclusion is a business imperative that is critical to the continued success of the Federal government.⁹

Ensuring that diversity and inclusion permeates an organization helps drive performance, productivity and mission success.¹⁰

- Performance – D&I drives innovation and creativity. In studies and research, diverse teams are better at problem solving, better at critical analysis, and more innovative as they introduce new perspectives and ideas and learn how to be flexible and adaptable in working with one another.
- Productivity – D&I fosters a culture that respects and values each employee and his or her contributions; provides opportunity; and increases individual commitment, team

⁸ Diversity Research Network, October 2002.

⁹ The Partnership for Public Service, The Best Places to Work in the Federal Government 2010 Rankings, 2010, available at <http://www.bestplacestowork.org/BPTW/assets/BPTW10.pdf>.

¹⁰ Scott E. Page, The Difference: How the Power of Diversity Creates Better Groups, Firms, Schools, and Societies, 2007.

motivation and trust. High level of employee engagement translates into increased productivity and retention of top talent in highly competitive markets.

- Mission Success - D&I adds value as a critical element tied to mission success. “The how” we can accomplish our mission is D&I – by capitalizing on the strengths of our diverse workforce to better perform our mission through teamwork and innovation.

When employees feel included, perceive they have a voice, and are given the opportunity to develop and maximize their potential, the employer creates an organization of choice and becomes a model employer. To accomplish this transformation, agencies should review and analyze programs, policies, and procedures to ensure that they are inclusive, transparent, and fair to all employees, and that employees perceive them as so. Data can also be gathered from exit interviews, new employee follow-up, and focus group meetings with affinity groups and employee resource groups.

An example of how to gather relevant employee engagement data is outlined below.

Steps for environment analysis

1. Conduct employee surveys (Employee Viewpoint Survey and/or agency survey) to assess: (a) leadership and management practices that contribute to an agency’s performance; and (b) employee satisfaction with workplace policies and practices, work environment, rewards and recognition, access to resources, and opportunity for development and growth.¹¹
2. Review and analyze survey results, including trend data by demographic category to include, for example, age, length of service, *etc.*
3. Assess workplace programs, policies, and procedures to ensure they are fair and transparent.
4. Analyze exit interview results and other available data.
5. Identify barriers and other issues and develop improvement strategies.
6. Incorporate strategies into human capital planning efforts and in retention, development and promotion activities.

¹¹ 5 C.F.R. Pt. 250, Subpart C..

Priorities, Actions, and Sample Practices for Goal 2

Priority 2.1: Promote diversity, inclusion, and equity in leadership development programs.

Actions:

1. Review leadership development programs, determine whether they draw from all segments of the workforce, and develop strategies to eliminate barrier(s) where they exist.¹²
2. Enhance mentoring programs within agencies for employees at all levels with an emphasis on aspiring Executive level employees.
3. Develop and implement a succession planning system for mission-critical occupations that includes broad outreach to a wide variety of potential leaders.

Measurements:

- Measure the total percentage of GS-11 through GS-15 level employees (or equivalent) by demographic group and compare with the percent of each group that participated in leadership development programs in the past 12 months.
- Analyze applicant pool data for all leadership development programs by demographic groups.
- Measure percentage of agency employees engaged in mentoring relationships by all demographic categories.
- Measure number of GS-11 through GS-15 level employees engaged in mentoring relationships by demographic categories.
- Measure percentage of all demographic groups incorporated into agency succession planning system.

Sample practices for Priority 2.1:

CHCOs, in collaboration with appropriate offices and senior managers, should review existing leadership development, training, and mentoring programs and conduct succession planning that ensures all employees have the opportunity to develop to their full potential. Below are sample practices for Priority 2.1:

¹² When conducting analysis of leadership development programs and succession planning, agencies should consider the entire workforce and determine whether programs and plans draw from the talent present throughout the agency with consideration of all dimensions of diversity to the greatest extent practicable.

- Where underrepresentation exists, conduct analyses of leadership development selection processes to identify barriers to equal opportunity in the process.
- Ensure programs are competency-based; provide potential for career path change; and consist of a variety of developmental activities including: training, rotational assignments, executive interviews, and shadow assignments.
- Ensure Program participants receive guidance through a Mentoring Program, made up of volunteer managers and supervisors; support mentoring programs that are sponsored by employee affinity or resource groups; conduct reverse mentoring programs and coaching programs. For more information on mentoring, go to OPM's Best Practices: Mentoring, available at: <http://www.opm.gov/hrd/lead/BestPractices-Mentoring.pdf> (See page 15 for definition of reverse mentoring).
- Routinely offer temporary detail assignments, special assignments, leadership shadowing programs, and opportunities to transfer to other regions for advancement to help upgrade employees' skills and improve their visibility. Widely advertise such assignments.
- Use a career executive service, which provides extensive training, executive simulations, targeted Individual Development Plans, and places candidates on succession planning lists.
- Measure employee perceptions on the availability and utility of agency development programs to assess effectiveness and identify areas for improvement through the Employee Viewpoint Survey.

Priority 2.2: Cultivate a supportive, welcoming, inclusive and equitable work environment.

Actions:

1. Use flexible workplace policies that encourage employee engagement and empowerment, including, but not limited to, telework, flexiplace, wellness programs, and other work-life flexibilities and benefits.
2. Support participation in employee affinity and resource groups and provide such groups with access to agency senior leadership.

3. Administer a robust orientation process for new Federal employees and new members of the SES to introduce them to the agency culture and to provide networking opportunities.

Measurements:

- Measure percentage of workforce participating in 1) telework, 2) flexiplace and 3) Wellness programs.
- Review Employee Viewpoint Survey (EVS) results each year.
- Measure number of new initiatives implemented by employee affinity and/or resource groups.
- Measure percentage of agency executives involved in employee affinity and/or resource groups.
- Measure percentage of positive replies received on agency on-boarding (newcomers) process through survey feedback.

Sample practices for Priority 2.2:

The CHCO, EEO Director, and CDO (if any) should partner in reviewing and modifying the agency's existing policies and practices related to workforce flexibilities, employee affinity and/or resource groups, and new employee and SES onboarding. Below are sample practices for Priority 2.2:

- Review workplace policies and revise those that unnecessarily limit employee flexibility. Specifically, ensure employees are able to request flexible work arrangements that allow them to balance work and personal responsibilities. General Flexible Options include:
 - Flextime Programs. Flextime policies generally permit employees to vary their work day start and stop times within a specified range, such as allowing an employee to arrive at work at any time between 8:00 and 10:00 a.m. and then work for 8 hours.
 - Flexible Week Opportunities. Flexible week opportunities may include compressed work weeks, such as a work week consisting of four ten-hour work days.
 - Telecommuting, Work-at-Home, or Flexiplace Programs. These options enable employees to work from home or alternate office locations.
 - Reduced-time options. These options permit employees to work part-time while juggling other responsibilities, such as caregiving.

- Consistent with OPM regulations, provide reasonable personal or sick leave to allow employees to engage in caregiving even if not required to do so by the Family and Medical Leave Act of 1993 (FMLA).¹³
- Set forth guidelines for employees to use when establishing employee affinity or resource groups with a senior organizational advisor and a charter that sets forth roles, responsibilities, activities, funding parameters, recognition, community outreach, talent management and outreach roles.
- Conduct regular meetings, at least semi-annually, between employee affinity and resource groups and agency leadership.
- Conduct multi-day orientation program in which a high level official and functional areas (or their designees) share their roles and responsibilities, and which includes tours of different work locations.
- Assign new employees “mentors” or “ambassadors” (one from work area and one outside work area) to help new employees navigate the workplace for the first 6 months.

¹³ Definitions Related to Family Member and Immediate Relative for Purposes of Sick Leave, Funeral Leave, Voluntary Leave Transfer, Voluntary Leave Bank, and Emergency Leave Transfer, available at <http://www.opm.gov/oca/leave/HTML/FamilyDefs.asp>.

Goal 3: Sustainability...Institutionalize Diversity and Inclusion

Federal Agencies shall develop structures and strategies to equip leaders with the ability to manage diversity, be accountable, measure results refine approaches on the basis of such data, and engender a culture of inclusion.

Coping with labor force changes and navigating the altered environment of the evolving workplace requires acquisition of new knowledge and development of new skills for all employees. For a diversity and inclusion program to be successful, not only must new roles and responsibilities be defined, but employees must be held accountable for delivering on expectations and meeting program requirements. Moreover, management accountability and innovation must be emphasized in order for progress to be made in employing, retaining, and developing all employees in the Federal government.

First, diversity and inclusion must be strategically integrated and aligned with the organization's mission, goals, objectives, staffing and budgets. Then, managers and supervisors at all levels of an organization must be required to make measurable and sustainable progress toward established priorities. This requires making diversity management a part of both performance evaluation and training, as well as incentivizing the development of programs that succeed and meet the organization's goals. Finally, development of such evaluation criteria underscores diversity and inclusion as an important and strategic organizational initiative. When these actions are performed, all employees, from entry level to SES, share in such accountability. This encourages teamwork and compliance at all levels of the Federal workforce.

Analysis of Diversity & Inclusion Institutionalization

Institutionalization is a key imperative of sustainable diversity and inclusion efforts. However, even when institutionalization efforts have been utilized, organizational progress has been frustratingly slow, sporadic, and dependent on enlightened leadership rather than sound sustainability practices.

Effective sustainability efforts are dependent upon identifying and weaving key diversity principles into organizational systems, processes, and policies. Following is a list of possible areas and questions agencies can utilize in sustaining diversity and inclusion progress by using sound institutionalizing strategies (Jarvis, 2009).

1. **Include diversity and inclusion in GPRA Required Strategic Planning.** Agencies should affirm the value of workforce diversity and inclusion in GPRA Required Strategic Planning, and where barriers have been identified, the agency Strategic Plan and/or Annual Performance Plan should incorporate strategies to address those areas and describe how it will monitor progress.
2. **Discover Ways to Integrate Diversity within Your Organizational Culture.** In what ways can diversity become a part of the organization's structure, mission and vision? What quick successes exist for the organization to leverage diversity engagement in consistent ways? What are the key indicators from the employees' perspectives that would define their agency as both valuing and rewarding diversity and inclusion in the workplace?
3. **Create an Organizational Core Value Focused on Diversity.** How could a core value of diversity demonstrate the organization's commitment? Who would be responsible for developing the diversity value? What would the diversity statement be and why?
4. **Blend Diversity into All Learning and Development Initiatives.** Which aspects of diversity make the most sense to integrate with training goals? How will the agency know when diversity goals have been successful? What will motivate employees to go to diversity training?
5. **Incorporate Diversity into Your Performance Management System.** In what ways can the Performance Management System have meaningful aspects of diversity within it? What performance metrics focused on diversity would be relevant at varying employee levels?
6. **Proactively Seek New Hires from All Segments of Society.** Where can organizations go to recruit individuals who can advance the organization's mission and business? What areas of talent have not been located and how might the organization deploy resources to achieve this goal?
7. **Generate a New Idea Factory to Engage Diverse Thinking.** How might a new idea generating system contribute to diversity of thought? What would the system look like? Who would manage it and how would it ensure the great ideas become a reality with significant impact on the business enterprise?

Priorities, Actions, and Sample Practices for Goal 3

Priority 3.1: Demonstrate leadership accountability, commitment, and involvement regarding diversity and inclusion in the workplace.

Actions:

1. Affirm the value of workforce diversity and inclusion in each agency's strategic plan and include them in workforce planning activities.
2. Develop an agency-specific diversity and inclusion strategic plan, and implement that plan, through the collaboration and coordination of the Chief Human Capital Officer, the EEO Director, and the Director of Diversity (if any).
3. Ensure that all SES members, managers, supervisors and employees throughout the agency have performance measures in place to ensure the proper execution of the agency's strategic plan, which includes diversity and inclusion.
4. Develop and widely distribute a set of diversity and inclusion measures to track agency efforts and provide a mechanism for refining plans.

Measurements:

- Provide documentation verifying diversity and inclusion language has been inserted into agency planning documentation.
- Issue annual diversity and inclusion policy statements by the agency head.
- Develop and submit agency-specific Diversity and Inclusion Strategic Plan outlining agency strategy to ensure a diverse, inclusive, high performance workplace.
- Submit percentage of SES members, managers, and supervisors, who have diversity and inclusion performance measures as a part of their performance evaluation.
- Provide diversity and inclusion metrics to OPM with short narrative on how metrics are embedded in the agency culture.

Sample practices for Priority 3.1:

Agencies should affirm the value of workforce diversity and inclusion in GPRA Required Strategic Planning, and where barriers have been identified, the agency Strategic Plan and/or Annual Performance Plans should incorporate strategies to address those areas and describe how it will monitor progress. Below are sample practices for achieving Priority 3.1:

- Tie vision, role and commitment of diversity and inclusion to strategic organizational goals and leadership plans and behavior that demonstrates diversity and inclusion principles and practices and that integrate these practices into the culture of the organization.
- Include a non-numerical, qualitative goal on diversity and inclusion in the Agency's Strategic Plan. For example:
 - "Identify, cultivate, and sustain a diverse workforce and inclusive work environment...."
 - "Improve retention of [diverse] students in STEM disciplines by providing opportunities and activities along the full length of the education pipeline."
 - "[E]nsure that beneficiaries of our Agency-funded educational programs are afforded equal opportunities, regardless of race, ethnicity, gender, age, or disability...."¹⁴
- List diversity and inclusion efforts as one of the agency's major initiatives for "Executing the Plan" under human capital management.¹⁵
- Coordinate efforts to ensure that MD-715 barrier analysis regarding D&I is not redundant with workforce planning, but rather complements and supports the agency's overall goals with each reflecting their own distinctive features and cross-referencing where there is overlap.
- Include a D&I and EEO element in SES and supervisors/managers Performance Plans specifically focused on making measurable progress in advancing the goals of the Diversity and Inclusion Strategic Plan. Language for a member of the Senior Executive Service may include, for example:

Designs and implements strategies that maximize employee potential, connects the organization vertically and horizontally, and fosters high ethical standards in meeting the organization's vision, mission, and goals. Provides an inclusive workplace that fosters the development of others to their full

¹⁴ For example, see the NASA Strategic Plan, available at:
http://www.nasa.gov/pdf/516579main_NASA2011StrategicPlan.pdf.

¹⁵ For example, see the Department of Veterans Affairs (VA) Strategic Plan, page 59 at
http://www.va.gov/VA_2011-2015_Strategic_Plan_Refresh_wv.pdf.

potential; allows for full participation by all employees; facilitates collaboration, cooperation and teamwork; and supports constructive resolution of conflicts. Ensures employee performance plans are aligned with the organization's mission and goals, that employees receive constructive feedback, and that employees are realistically appraised against clearly defined and communicated performance standards. Seeks and considers employee input. Recruits, retains, and develops the talent needed to achieve a high quality, diverse workforce that reflects the nation, with the skills needed to accomplish organizational performance objectives while supporting workforce diversity, workplace inclusion and equal employment policies and programs.

- Establish diversity and inclusion metrics including statistics on employee hiring, retention, promotions, EEO compliance, grievances and diversity of talent pipeline/outreach efforts and employee affinity and resource group accomplishments; disseminate quarterly workforce diversity reports to leadership; and issue Agency Annual Performance Report conveying accomplishments, progress, status on attainment of goals and priorities contained in agency Diversity and Inclusion Strategic Plan.

Priority 3.2: Fully and timely comply with all related Federal laws, regulations, Executive orders, management directives, and policies related to promoting diversity and inclusion in the federal workforce.

Actions:

1. Employ a diversity and inclusion dashboard with metrics as a tool for agency workforce planning and reporting.
2. Timely submit to the U.S. Office of Personnel Management (OPM) reports required by Federal laws, regulations, Executive orders, management directives, and policies. Where an agency fails to do so, OPM will issue a Diversity and Inclusion Improvement Notice and notify the President's Management Council (PMC) of the deficiency.

Measurements:

- Provide agency metric diversity and inclusion information for posting on designated reporting system by due date to avoid Diversity and Inclusion Performance Notice.

Priority 3.3: Involve employees as participants and responsible agents of diversity, mutual respect and inclusion.

Actions:

1. Create a formal diversity and inclusion council at each agency with visible leadership involvement.
2. Participate in, and contribute to, OPM's Diversity and Inclusion Best Practice Program, pursuant to Executive Order 13583.
3. Ensure all employees have access to diversity and inclusion training and education to include the proper implementation of the Agency-Specific Diversity and Inclusion Strategic Plan, as well as relevant legal requirements.

Measurements:

- Provide quarterly updates on progress of council/taskforce in achieving items listed in the Agency Specific Diversity and Inclusion Strategic Plan.
- Provide two Best Practices to the OPM Best Practice Initiative annually.
- Measure percentage of workforce (counting managers/supervisors separately) completing diversity and inclusion related training (both mandatory and elective).

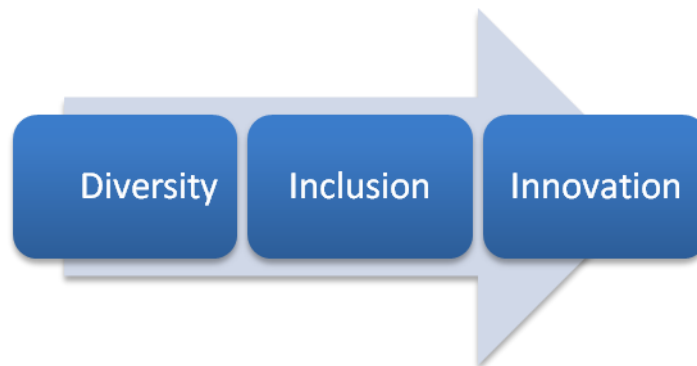
Sample practices for Priority 3.3:

The CHCO, EEO Director, and CDO (if any) should partner in developing the diversity and inclusion council, as well as training and education. Below are sample practices for Priority 3.3:

- Establish a Diversity and Inclusion Council which is chaired by an organizational head (or direct report designee) and include senior level officials and the heads of employee affinity and/or resource groups.
- Promote cultural competency at your agency by educating and training Senior Executives, supervisors and HR professionals on the importance of D&I, as well as on how to conduct effective outreach, recruitment, interviewing and decision-making that is consistent with all legal requirements.
- Ensure that appropriate agency personnel are trained in strategic planning, workforce planning, strategic recruitment, as well as cross-cultural and cross-generational training.

Conclusion

The Path Forward: Diversity, Inclusion, and the Innovation Connection



Connecting Different Minds in Different Ways to Achieve Common Goals...

One of the significant benefits of the Government-Wide Diversity and Inclusion Strategic Plan is innovation. Innovation is the mechanism that provides creative and unique solutions to the complex and seemingly intractable problems many agencies face today. However, to ensure sustainability of diversity and inclusion progress in this era of budget constraints, demographic shifts, and emerging technologies, there is a core requirement for agencies to focus on nurturing and harnessing the rich and critical benefits of innovation. The ultimate benefit of a diverse and inclusive workplace is the resulting innovation that is produced when different minds are connected in different ways to achieve common goals.

The primary key to innovation is diversity of thought. Diversity of thought in the social sciences is referred to as cognitive diversity. Cognitive diversity is comprised of primarily two components - “seeing” and “thinking.”¹⁶ In other words, people have different perspectives

¹⁶ Page, S. E. (2007). *The difference: How the power of diversity creates better groups, firms, schools, and societies*. Princeton: Princeton University Press.

and different heuristics or “rules of thumb” which are a product of their unique upbringing, culture, and unique experiences. Perspectives are responsible for innovative breakthroughs. They are the game-changers. Once a breakthrough has been established then subsequent innovations and improvements are made through the “thinking” part of the innovation equation. This type of constant innovation can only take place through an environment where people feel included, connected, and engaged. Connecting different minds is the key to moving innovation forward for Federal agencies.

The primary goal of Federal agencies is to serve the American people. Because the world is becoming more complex, social, and interconnected, agencies must be poised to harness diversity of thought and leverage it to generate innovative ideas to solve the tough problems they face.

To build a culture that fosters innovation, agencies must hire for innovation talent; build teams that are diverse in talent, perspective and discipline; and place individuals in the right role to drive success. Once employees have been identified and placed, management can then provide them with the right training and onboarding relative to innovation and train managers for skills needed to drive talent.

In addition, Federal agencies must have useful metrics that are embedded in the culture of the organization. These metrics include benchmarking tools that allow organizations to compare themselves to the best in industry.

An agency that emphasizes connecting different minds, in different ways to achieve common goals is an agency that understands the functional importance of diversity. It is diversity of thought that is the engine that drives innovation. And it is innovation that ultimately determines the long term success of Federal agencies.

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U.S. Office of Personnel Management, *Federal Hiring Flexibilities Resource Center*, available at: https://www.opm.gov/Strategic_Management_of_Human_Capital/fhfrfc/FLX03020.asp

APPENDIX A

ORGANIZATIONAL STRUCTURES AND DIVISION OF RESPONSIBILITIES

Agencies have requested guidance on the division of responsibilities between HR, EEO, and D&I. The following table is adapted from *Becoming More Competitive: How Diversity and Inclusion Can Transform Your Organization*, American Council for Technology, and provides the typical allocation of key duties and responsibilities from six Federal agencies included in the Human Capital Shared Interest Group’s benchmark study:

Key Duties and Responsibilities	Chief Human Capital Officer	Office of Civil Rights / Civil Liberties & EEO	Office of Diversity and Inclusion
Strategic Human Capital Planning and Organizational Assessments/Climate Surveys	Leads process	Has input	Builds D&I Strategy aligned with overall plan and/or co-leads SHC planning efforts
Workforce Planning- Workforce Analysis	Leads process	Has input	Has input
Writes Vacancy Announcement	Leads - coordinates with line	Has input	Has input
Outreach and Assistance	Has input	Works with D&I to identify pipelines & organizations that are disadvantaged including people with disabilities	Leads process - handles outreach and works with Affinity or Employee Resource Groups
Hiring Process	Leads process	Provides data/metrics	Provides data/metrics
Reasonable Accommodation	Has input	Lead process	Has input

Key Duties and Responsibilities	Chief Human Capital Officer	Office of Civil Rights / Civil Liberties & EEO	Office of Diversity and Inclusion
Training – Supervisor/ On-boarding – Orientation <i>etc.</i>	Manages overall training program/ Grievances	Focus on EEO, Alternative Dispute Resolution (ADR) and Complaint process	Focus on D&I and Conflict Management
Writing Policy	Lead on all HR policies	Focus on EEO, ADR and Complaint process – reviews other HR policies	Focus on D&I – reviews other HR policies
Communications Plan and Metrics	Communicates all HR policies and collects data	Focus on EEO, ADR and Complaint process	Focus on D&I – works with Diversity Councils
Talent Management	Leads process	Ensures opportunities are fair, transparent and open to all	Ensures opportunities are fair, transparent and open to all
Awards/Recognitions/ Accountability Framework – bonuses and compensation	Leads process	Ensures opportunities are fair, transparent and open to all	Ensures opportunities are fair, transparent and open to all
Exit Interviews <i>etc.</i>	May manage	Reviews data	May manage

As noted in *Becoming More Competitive*:

From this benchmark study, we noted that no “one size fits all” solution exists and that agencies assign and perform the various [] functions differently, depending on the size and geographic locations of the offices.... One key organizational finding was that regardless of who was assigned responsibility for a particular function, it must be clear that input and feedback are required from [all three organizations] for the process to work efficiently and effectively. A second key finding was that flexibility and collaboration were key to ensuring that all [] functions are effectively managed across any [F]ederal agency to ensure that D&I strategies are developed, implemented, and acted upon.



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