

PART THREE

Technical Notes

Definitions

Effective Date. Effective dates for data in this report are as of September 30th of the year in reference. All data are extracted from the Central Personnel Data File (CPDF). See **Data Base Population Coverage** for information regarding CPDF Status files.

Agency. An agency is any department or independent establishment of the Federal Government, including a Government-owned or controlled corporation, whose civilian employees are paid from appropriated funds. All tables with agency level data also include selected agency subelements shown below department or major agency level. Sub elements are bureaus or the first administrative subdivision of an agency.

Minority. The minority race/national origin groups for Federal statistics and program administrative reporting are defined as follows:

* **American Indian or Alaska Native.** A person having origins in any of the original peoples of North America, and who maintains cultural identification through tribal affiliation or community recognition.

* **Asian or Pacific Islander.** A person having origins in any of the original peoples of the Far East, Southeast Asia, the Indian subcontinent, or the Pacific Islands. This area includes, for example, China, India, Japan, Korea, the Philippine Islands, and Samoa.

* **Black (not of Hispanic origin).** A person having origins in any of the black racial groups of Africa.

* **Hispanic.** A person of Mexican, Puerto Rican, Cuban, Central or South American or Spanish culture or origin, regardless of race.

Disabled. For the purposes of Federal employment and this report, a person is disabled if he or she: has a physical or

mental impairment which substantially limits one or more major life activities, or is regarded as having such impairment or has a record of such an impairment.

EEOC Specified Disability. In addition to the standard definition of disability, the Equal Employment Opportunity Commission (EEOC) has identified certain impairments that classify employees as severely disabled. The following are among those impairments which are listed as EEOC specified disabilities: total deafness in both ears (with or without understandable speech); blindness in both eyes; missing arms or legs; paralysis; convulsive disorders (e.g., epilepsy); mental retardation; and mental or emotional illness.

Veterans. Veterans are defined by either Veterans Preference or Veterans Status. *Veterans Preference* indicates an employee's entitlement to statutory types of preference in the Federal service based on active military service that ended honorably. *Veterans Status* indicates whether an employee is a veteran as defined by 38 U.S.C. 101 (i.e., a person who served in the active uniformed military service of the United States and who was discharged or released from service under conditions other than dishonorable). Individuals can be recognized as veterans under the *Veterans Status* authority even though they may not qualify for *Veterans Preference* under 5 U.S.C. 2108.

* **All Veterans.** Employees who claim a 5 point non-disability veterans preference, a 10-point veterans preference due to a service-connected disability, or who qualify as veterans under 38 U.S.C. 101.

* **Vietnam Era Veterans.** Veterans who served any time during the Vietnam era, i.e., from August 5, 1964, through May 7, 1975.

* **Non-Vietnam Era Veterans.** Veterans who did not serve during the period August 5, 1964, through May 7, 1975.

* **Non-Veterans.** Employees who are not entitled to veterans preference and do not otherwise qualify as veterans under 38 U.S.C. 101.

* **Disabled Veterans.** Employees who claim 10-point veterans preference due to a service-connected disability.

* **Thirty Percent or More Disabled Veterans.** Veterans who claim a 10-point preference due to a compensable service connected disability.

Work Schedule. The time basis on which an employee is scheduled to work. Work schedule identifies full-time, part-time, and intermittent employees as follows:

* **Full-time.** Employees who are regularly scheduled to work the number of hours and days required by the administrative work week for their employment group or class. Most full-time employees have an administrative work week of 5 days of 8 hours each.

* **Part-time.** Employees who are regularly scheduled to work less than the number of hours and/or days required by the administrative work week for their employment group or class.

* **Intermittent.** Employees who work on an irregular or occasional basis, whose hours or days of work are not on a prearranged schedule, and who receive compensation only for the time actually employed or for services actually rendered.

On-board Employment. All employees in pay status at a given point in time, regardless of work schedule or tenure.

White-Collar Occupational (PATCO) Category. White-collar occupations are classified according to five major occupational categories referred to as PATCO (**P**rofessional, **A**dministrative, **T**echnical, **C**lerical, and **O**ther). The definitions of these categories are based on

the subject matter of work, the level of difficulty or responsibility involved, and the educational requirements of each occupation. PATCO categories are defined as follows:

* **Professional.** Occupations that require knowledge in a field of science or learning typically acquired through education or training pertinent to the specialized field, as distinguished from general education. The work in a professional occupation requires the exercise of discretion, judgment, and personal responsibility for the application of an organized body of knowledge that is constantly studied to make discoveries and interpretations, and to improve the data, materials, and methods.

* **Administrative.** Occupations that involve the exercise of analytical ability, judgment, discretion, personal responsibility, and the application of a strong body of knowledge of principles, concepts, and practices applicable to one or more fields of administration or management. While these positions do not require specialized educational majors, they do involve the type of skills (analytical, research, writing, judgment) typically gained through a college level general education, or through progressively responsible experience.

* **Technical.** Occupations involving work which is non-routine in nature and is typically associated with, and supportive of, a professional or administrative field. Such occupations involve extensive practical knowledge gained through on-the-job experience, or specific training less than that represented by college graduation. Work in these occupations may involve substantial elements of the work in a professional or administrative field, but requires less than full competence in the field involved.

* **Clerical.** Occupations that involve structured work in support of office, business, field, or fiscal operations. Duties are performed in accordance with

established policies and require training, experience, or working knowledge related to the tasks to be performed.

* **Other.** Miscellaneous white-collar occupations that do not fall into the above Professional, Administrative, Technical, or Clerical categories.

Blue-Collar Occupation. Occupations comprising the trades, crafts, and manual labor (unskilled, semi-skilled, and skilled), including foreman and supervisory positions entailing trade, craft, or laboring experience and knowledge as the paramount requirement.

Pay Plan. A particular table or array of pay rates prescribed by law or other authoritative source that establishes the basic pay rates for most employees.

General Schedule (GS). The basic compensation schedule for most Federal civilian white-collar employees. The General Schedule was established by the Classification Act of 1949 and amended by 5 U.S.C. 51. GS data also include employees in the GM pay plan; these employees were formerly classified under the Performance Management and Recognition System (Merit Pay) which was abolished in 1993. The Performance Management and Recognition System Termination Act of 1993 called for a gradual transition from the GM to the GS pay plan. The GW pay plan which covers employment under the Youth Opportunity Stay-in-School Program was terminated and those employees are now reported in the GS pay plan.

GS and Related Pay Plans. (1) Pay plans that follow the GS grade structure and job evaluation methodology; (2) Foreign Service pay plans whose grades are converted to GS grades based on job evaluation or statute; (3) Department of Veterans Affairs pay plans for physicians, dentists, podiatrists, and optometrists whose grades are converted to GS grades based on job evaluation or statute; (4) pay plans, such as those in demonstration

projects in Navy, Air Force, and National Institutes of Standards and Technology (NIST) whose grades are related to GS grades based partly on the GS grades that are encompassed by a pay band and partly on the salary-to-grade relationship within the pay band. GS and related pay plans are used for statistical purposes only and are not sanctioned by the Office of Personnel Management for administrative use.

Grade. An indicator of hierarchical relationships among positions covered by the same pay plan. For example, the General Schedule is divided into 15 grades, with a salary range of 10 steps for each grade. Grade data in this publication are for GS and related pay plans.

Average Grade. The weighted average is obtained by multiplying each grade times employment in that grade, summing all such products, and dividing that sum by the total number of employees.

Senior Pay Levels. A pay category which includes the following pay plans: Senior Executive Service, Executive Level, Senior Foreign Service, pay plans equivalent to the Senior Executive Service, Administrative Law Judges, Board of Contract Appeals, Senior Level (formerly GS 16-18), Foreign Service Chiefs of Mission, and Scientific and Professional (5 U.S.C. 3104). Also included are employees paid more than the salary rate for GS grade 15, step 10, who are in the following pay plans: Administratively Determined, Statutory Rate, Senior Biomedical Service, and Defense Nuclear Facilities Safety Board Executive Service.

Other White-Collar. White-Collar pay plans which do not fall into the General Schedule, GS and Related or Senior Pay Level pay categories.

Wage Systems. The Federal Wage System (FWS) covers most blue-collar employees who are generally paid at rates prevailing in the localities where they are employed.

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Average Salary. The average salary figures in Part Two, Table 3 of this report are derived by calculating the arithmetic means from employees adjusted base salaries. Adjusted base salaries include annualized base salaries plus locality adjustments and law enforcement officer (LEO) adjustments authorized under the Federal Employees Pay Comparability Act of 1990. Excluded from salary data are pay for Sundays, holidays, or nightwork; expense payment for employees in travel status; extra pay for hazardous working conditions or post differentials to certain employees; premium pay for overtime; awards; cost-of-living allowances; uniform expenses; and severance pay. Annualized salaries are computed by multiplying an individual's hourly pay rate by the number of hours in a full-time work year, generally 2,087 hours. This procedure leads to somewhat inflated salaries for part-time and intermittent employees covered in this report.

The Central Personnel Data File (CPDF)

The Central Personnel Data File (CPDF), which was established in 1972, is the Federal Government's primary source of detailed information about its employees. The CPDF is an automated file covering about 96 percent of all Federal civilian non-Postal Executive Branch employees. The data elements in CPDF include those reflected on the employee's Standard Form 50, Notification of Personnel Action. The CPDF system includes information about individuals such as date of birth, sex, race/national origin (maintained along with disabled data under strict precautions to protect identification of individuals in personnel records), service computation date, tenure, educational level, veterans preference, geographic location of duty, pay plan, grade, salary, occupational series, and supervisory status.

Data Base - Population Coverage

Data Base. All data used in this study are drawn exclusively from the Central Personnel Data File (CPDF). The following is the scope of coverage in CPDF as of September 30, 2004:

Executive Branch All agencies except the U.S. Postal Service, Postal Rate Commission, Central Intelligence Agency, National Security Agency, Tennessee Valley Authority, White House Office, Office of the Vice President, Board of Governors of the Federal Reserve System, National Imagery and Mapping Agency, and Defense Intelligence Agency.

Legislative Branch Includes only the Government Printing Office, U.S. Tax Court, and selected commissions. The CPDF also excludes Government Accountability Office, members and employees of Congress, Congressional Budget Office, Library of Congress, Architect of the Capitol, U.S. Botanic Gardens, and the Office of Technology Assessment.

Judicial Branch Excluded.

Other Exclusions Nonappropriated fund employees in Defense activities, Commissioned Corps employees, and Foreign Nationals employed outside of the U.S. or its territories.

Population Coverage. This publication covers **total employment**, including fulltime, part-time, and intermittent workers in those **Executive Branch agencies participating in the CPDF**. This population coverage differs from the 2004 annual Federal Equal Opportunity Recruitment Program (FEORP 5 U.S.C. 7201) which covers full and part-time permanent employees in non-Postal Federal Executive Branch agencies participating in the CPDF. FEORP coverage is further limited to only General Schedule and Related pay plans,

selected wage pay plans, and the senior pay level category of employees. All pay plans and grades were covered in this study. It should be noted that the coverage here varies considerably in agency participation, geographic distribution, and work schedules of employees from previous annual surveys on equal employment opportunity.

Agencies Added to or Deleted from the CPDF

Newly established or terminated agencies are processed as part of the CPDF data base. Some independent agencies were created or terminated since September 30, 2002. The newly created agencies were: Department of Homeland Security Staff, Commission for Presence of America's Heritage Abroad, Valles Caldera Trust, Office of Dept. Equal Employment Opportunity, Commission Regarding Weapons of Mass Destruction, Millennium Challenge Corporation, Commission on Revitalization of Overseas Military Structure, Antitrust Modernization Commission. Within the Department of Air Force, C2 and Intelligence, Surveillance and Recon, Real Property Agency, Manpower Agency, Headquarters U.S. European Command. Within the Department of the Army, U.S. Army South Command, U.S. Army Chemical Materials Agency, U.S. Army Research, Development and Engineering Command. Within the Department of Defense, DOD Test Resource Management Center, Defense Technical Information Center. Within the Department of the Navy, Naval Education and Training, Department of Veterans Affairs, Deputy Assistant Secretary For Security Preparedness, Deputy Assistant Secretary for Security and Law Enforcement, Deputy Assistant Secretary for Legislative Affairs. The Housing and Urban Development Office of Federal Housing Enterprise Oversight was added in December 2003 and deleted in April 2005. Several departments and agencies sub-organizations have been deleted since 2002. Within the Department of Agriculture, the Alternative Agriculture

Research and Commercialization Center. Within the White House, Executive Residence at the White House. Within the Armed Forces Retirement Home, Gulfport and Washington. Within the Department of Veterans Affairs, Deputy Assistant Secretary for Security and Law Enforcement, and the Shared Service Center. National Commission on Terrorist Attacks Upon the U.S.

Data Collection and Editing

Before September 1986, the CPDF system was maintained by the U.S. Office of Personnel Management (OPM) via monthly agency submissions of Notification of Personnel Action transaction data. Input was either in hardcopy form (keyed or data entry) or, for 99 percent of employment, in automated form (punched cards or magnetic tape). All input transactions were edited for validity. If errors were found in the control fields or date of birth or social security number, the transaction was rejected. All transactions not rejected in validity edits were further examined through relationship edits. Functional blanks were inserted into data fields having errors detected by these later edits, but transactions containing usable data fields were not rejected. A master file was created following each monthly update of the CPDF. Starting in October 1986, the CPDF was redesigned with a change in reporting procedures. Input is automated with agencies submitting current status data replacement files each month along with transaction data. Editing procedures like those described above are incorporated in the new system with greater emphasis on agencies' editing before submission.

Collection of Race/National Origin Data.

Please note that the revised 1997 OMB Race/National Origin Standards are not incorporated in this study. The collection and coding of Race/National Origin (RNO) follow the requirements of the Statistical Policy Handbook (U.S. Department of Commerce Directive 15). In 1981, this

standard, which was also used by the Bureau of the Census in the 1980 and 1990 Decennial Census, replaced the previous Minority Group Designator Code for the Federal civilian workforce. A detailed OPM research study showed that a computer conversion of codes for active employees to the new structure was accurate and was the most economical and effective methodology for implementation. Because of the emphasis in the new standard definitions on cultural and national origin, employee self-identification was considered the most appropriate and reliable mode of data collection. Therefore, agencies notified employees that a new race and national origin definition was being recorded and provided the opportunity for employees to review and voluntarily self-identify (code) their RNO record status, thus verifying and further correcting data in the converted records. (See **Proceedings of the American Statistical Association**, Houston, 1980: Race/Ethnic Data Collection in the Federal Civil Service.) Using the Standard Form 181, employee self-identification is now the primary method for collecting the data on new and transferring employees. The new standard also provided, for the first time, the means for collecting RNO data on employment in Hawaii and Guam. OPM instructed agencies to report ethnicity and race base on the revised 1997 Office of Management and Budget standards beginning in 2006.

Collection of Reportable Disability Data.

The collection of handicap data into the CPDF also follows self-identification methodology. Using the Standard Form 256, employees are provided the opportunity either to identify or choose not to identify whether they have a reportable disability. No inference can be made as to disability or non-disability status for employees choosing not to identify. In case of multiple disabilities, the employee is asked to choose the code which describes the impairment most likely to cause the employee to experience difficulty in obtaining, maintaining or advancing in employment.

The records of those choosing not to indicate whether they had a reportable disability, along with records with erroneous (missing) disability data, are grouped together and shown as Not Identified which accounted for 2.6 percent of the covered workforce.

Study Edits. For this report, the records for active employees (excluding those in the Summer Aid pay plan) were extracted from the CPDF. These records underwent an additional set of validity edits on data fields considered critical for this survey. Critical data fields for this survey were: pay plan, sex, race/national origin, and occupation. However, a few records do exist in Blue-Collar occupations, but have White-Collar pay plans. Records with blanks in any critical field were rejected. About 0.2 percent of total records were rejected by the combined validity edits.

Acknowledgments

This report was prepared by Theresa E. Neal under the direction of Dr. Gary Lukowski, Chief, Workforce Information and Planning Group. Questions concerning the data in this report should be addressed to Theresa E. Neal at 202-606-2942 or email at Fedstats@opm.gov.

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