

Fiscal Year 2014  
**Annual Report  
to Congress**



Office of the Comptroller of the Currency  
Office of Minority and Women Inclusion

## I. Introduction

The Office of the Comptroller of the Currency (OCC), created in 1863, charters, regulates, and supervises national banks and federal savings associations and licenses and supervises the federal branches and agencies of foreign banks. The OCC’s mission is to ensure that these institutions operate in a safe and sound manner, provide fair access to financial services, treat customers fairly, and comply with applicable laws and regulations.

In compliance with section 342 of the Dodd–Frank Wall Street Reform and Consumer Protection Act of 2010 (Dodd–Frank),<sup>1</sup> the OCC established its Office of Minority and Women Inclusion (OMWI) in January 2011, to be responsible for all matters of the agency relating to diversity in business activities, employment, and management. Dodd–Frank requires each OMWI to submit an annual report to Congress regarding actions taken pursuant to section 342. The OCC’s *Fiscal Year 2014 Annual Report to Congress* covers October 1, 2013, through September 30, 2014.

## II. Business Activities

### A. Fiscal Year 2014 Awards and Payments

1. Statement of the total amounts the OCC awarded and paid to contractors during the reporting period:
  - a. Awards
    - Total awards<sup>2</sup> to contractors were \$151,483,400.
  - b. Payments
    - Total payments<sup>3</sup> to contractors were \$151,157,254.

For a detailed explanation of the OCC’s method and data sources for reporting awards and payments, please refer to appendix A.

2. Percentage of the OCC’s total awards and payments to minority-owned or women-owned businesses (MWOB); minority-owned businesses (MOB); and women-owned businesses (WOB):

---

<sup>1</sup> 12 USC 5452.

<sup>2</sup> “Awards” are action obligations—the net amount of funds obligated or de-obligated for all awards and modifications the OCC entered into the Federal Procurement Data System–Next Generation (FPDS–NG) during fiscal year 2014.

<sup>3</sup> “Payments” are the money the OCC paid during the fiscal year to businesses awarded contracts reported in FPDS–NG during the prior three years.

a. Awards

- Awards to MWOBs were \$60,570,022, representing 40.0 percent of the OCC's total awards.<sup>4</sup>
- Awards to MOBs were \$53,832,964, representing 35.5 percent of the OCC's total awards.<sup>5</sup>
- Awards to WOBs were \$13,960,758, representing 9.2 percent of the OCC's total awards.<sup>6</sup>

b. Payments

- Payments to MWOBs were \$52,416,254, representing 34.7 percent of the OCC's total contractor payments.
- Payments to MOBs were \$48,194,212, representing 31.9 percent of the OCC's total contractor payments.
- Payments to WOBs were \$11,097,223, representing 7.3 percent of the OCC's total contractor payments.

## B. Four-Year Trend in Awards to MWOBs, MOBs, and WOBs

Since the OCC established its OMWI program in January 2011, the OCC has tracked the percentage of awards to MWOBs as well as the percentage of awards to MOBs and WOBs. Comparing fiscal year 2014 with the previous fiscal year, the percentage of awards to MWOBs was 5.9 percent higher; the percentage of awards to MOBs was 3.4 percent higher; and the percentage of awards to WOBs was 28.6 percent higher (see figure 1).<sup>7</sup>

---

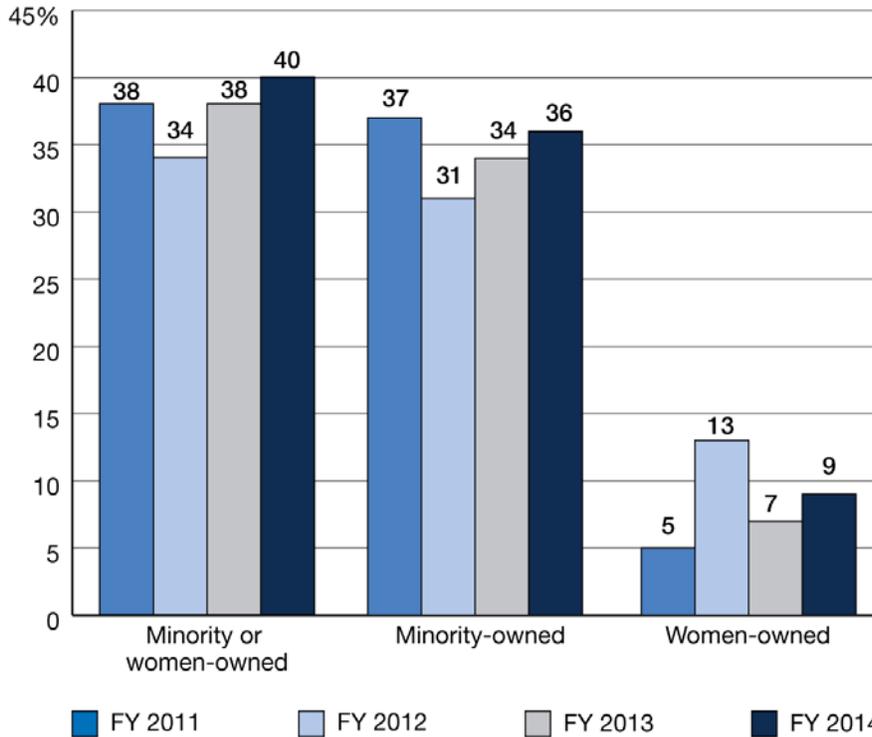
<sup>4</sup> Awards and payments to businesses that are both minority- and women-owned are counted only once in the total dollars and percentage for MWOBs.

<sup>5</sup> The dollars and percentage of awards and payments to MOBs include all businesses that indicate they are minority-owned in the U.S. government's System for Award Management (SAM).

<sup>6</sup> The dollars and percentage of awards and payments to WOBs include all businesses that indicate they are women-owned in the SAM.

<sup>7</sup> The percentage differences stated in the narrative of this report are based on underlying data, not the rounded percentages used in figures 1 and 2.

**Figure 1: Awards to MWOBs, MOBs, and WOBs as a Percentage of Total OCC Awards, Four-Year Trend**



Source: FPDS-NG for fiscal years 2011 to 2014 (including fiscal year 2011 Office of Thrift Supervision data).

**C. Four-Year Trend in Awards to MOB Demographic Groups**

In addition to the section 342 requirement to report the percentage of awards to MWOBs, the OCC also tracks awards to MOB demographic groups. Specifically, the OCC tracks and reports awards to Asian American-owned businesses,<sup>8</sup> Black American-owned businesses, Hispanic American-owned businesses, Native American-owned businesses,<sup>9</sup> and Other MOBs.<sup>10</sup>

Comparing fiscal year 2014 with the previous fiscal year, the percentage of awards significantly increased to (1) Native American-owned businesses (1.9 percent compared with 0.1 percent) and (2) Other MOBs (3.1 percent compared with 0.5 percent). Comparing fiscal year 2014 with the

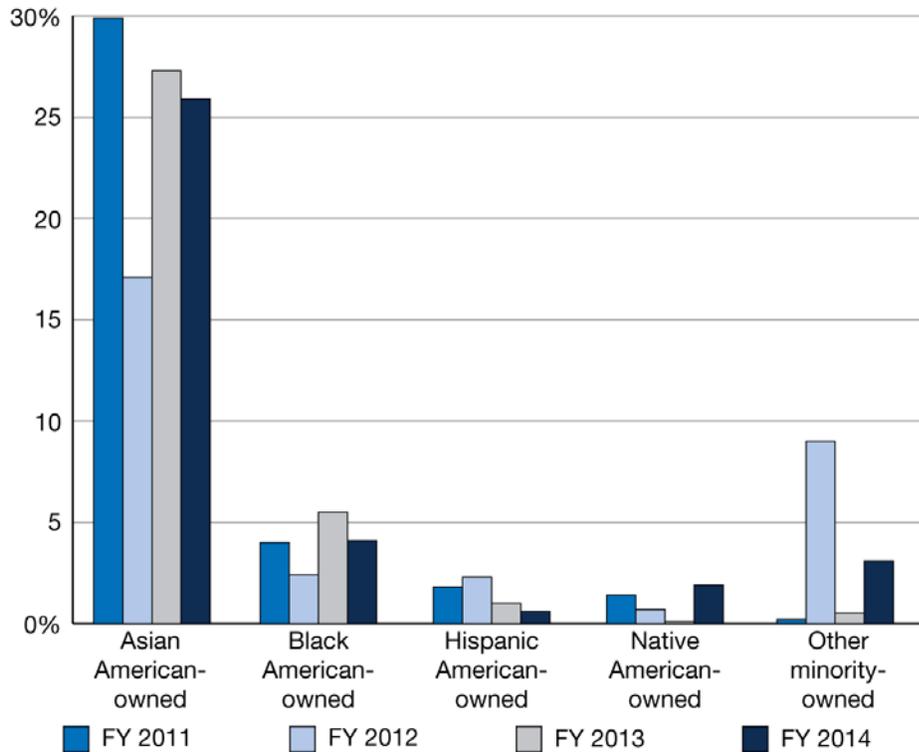
<sup>8</sup> “Asian American” means Asian-Pacific Americans (persons with origins from Burma, Thailand, Malaysia, Indonesia, Singapore, Brunei, Japan, China, Taiwan, Laos, Cambodia (Kampuchea), Vietnam, Korea, the Philippines, U.S. Trust Territory of the Pacific Islands (Republic of Palau), Republic of the Marshall Islands, Federated States of Micronesia, the Commonwealth of the Northern Mariana Islands, Guam, Samoa, Macao, Hong Kong, Fiji, Tonga, Kiribati, Tuvalu, or Nauru) and Subcontinent Asian (Asian-Indian) Americans (persons with origins from India, Pakistan, Bangladesh, Sri Lanka, Bhutan, the Maldives Islands, or Nepal) (see 48 CFR 52.219-1).

<sup>9</sup> “Native American” means American Indians, Eskimos, Aleuts, or Native Hawaiians (see 48 CFR 52.219-1).

<sup>10</sup> “Other MWOBs” means those businesses designating “minority-owned” in the SAM, but not designating Asian American, Black American, Hispanic American, or Native American.

previous fiscal year, the percentage of awards decreased to (1) Asian American-owned businesses (25.9 percent compared with 27.3 percent); (2) Black American-owned businesses (4.1 percent compared with 5.5 percent); and (3) Hispanic American-owned businesses (0.6 percent compared with 1.0 percent) (see figure 2). For a detailed explanation of the OCC’s four-year award trends to MOB demographic groups, please refer to appendix B.

**Figure 2: Awards to MOB Demographic Groups as a Percentage of Total OCC Awards, Four-Year Trend**



Source: FPDS-NG for fiscal years 2011 to 2014 (including fiscal year 2011 Office of Thrift Supervision data).

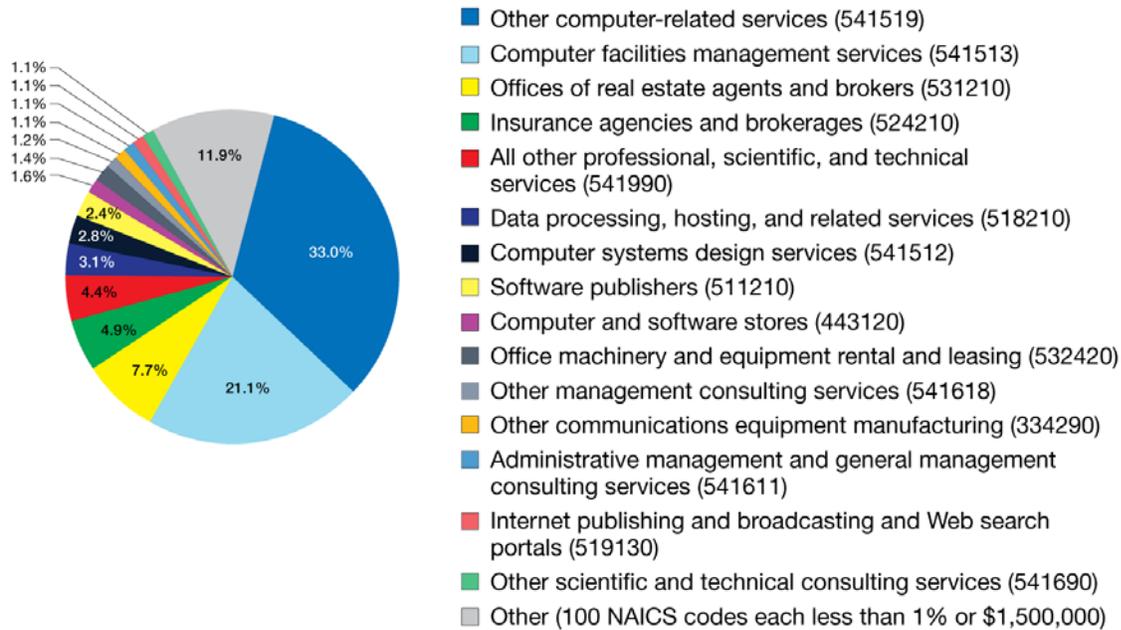
#### D. Trend in Awards by North American Industry Classification System Codes

Over the last four years, OMWI tracked the North American Industry Classification System (NAICS)<sup>11</sup> codes with the highest dollars in awards. For fiscal year 2014, computer-related purchases (including other computer-related services; computer facilities management services; and data processing, hosting, and related services) accounted for more than two-thirds of the OCC’s total dollars awarded (see figure 3).

<sup>11</sup> NAICS is the standard that federal statistical agencies use in classifying business establishments for the purpose of collecting, analyzing, and publishing statistical data related to the U.S. business economy. NAICS is a two- through six-digit hierarchical classification system, offering five levels of detail. Each digit in the code is part of a series of progressively narrower categories, and more digits in the code signify greater classification detail. The first two digits designate the economic sector, the third digit designates the subsector, the fourth digit designates the industry group, the fifth digit designates the NAICS industry, and the sixth digit designates the national industry.

Moreover, the trend from fiscal year 2011 through fiscal year 2013 is consistent with the results from fiscal year 2014. Seven NAICS codes consistently compose more than 70 percent of the OCC’s awards (see appendix C). This trend analysis helps the OCC and businesses understand the types of industries in which the OCC makes the majority of its contracting awards.

**Figure 3: NAICS Codes With Award Dollars Greater Than 1 Percent of Total Award Dollars, Fiscal Year 2014**



Source: FPDS-NG for fiscal year 2014.

**E. Implementation of Standards and Procedures to Ensure Fair Inclusion and Utilization**

Beginning on March 1, 2012, the OCC inserted the “Standards and Procedures for OCC Contractor’s Good Faith Efforts to Include Minorities and Women in the Contractor’s Workforce”<sup>12</sup> (Good Faith Efforts clause) into all new contracts of more than \$150,000. The OMWI reviews contractors’ good faith efforts, makes a determination whether any contractors have failed to make good faith efforts, and takes appropriate action as authorized by section 342.<sup>13</sup>

Since the OCC began requiring the Good Faith Efforts clause, OMWI has reviewed 61 contractor submissions of good faith efforts. Of the 61 reviewed, 37 companies had fewer than 50 employees and 24 had more than 50 employees. The 24 contractors with more than 50

<sup>12</sup> In the Good Faith Efforts clause, contractors affirm their commitment, as well as the commitment of their subcontractors, to make good faith efforts to include minorities and women in their workforces.

<sup>13</sup> The OCC requires a written affirmative action plan or other written program designed to ensure the fair inclusion of minorities and women in the contractor’s workforce, including outreach, recruitment, and training efforts whereby the contractor sets forth specific, results-oriented policies and procedures.

employees submitted copies of their affirmative action plans to demonstrate good faith efforts to include minorities and women in their workforces. The OMWI reviews these submissions and, to date, there have been no instances when a recommendation by OMWI for further action has been necessary.

The majority of these contractors were not required to submit Standard Form 100 (EEO-1) reports to the Equal Employment Opportunity Commission (EEOC)<sup>14</sup> and were not subject to the Office of Federal Contract Compliance Programs (OFCCP) equal employment opportunity (EEO) requirements.<sup>15</sup> Contractors that had not previously been required to establish a written plan or program outlining their diversity efforts and results continue to create some challenges for OMWI to substantiate their good faith efforts. The OMWI responded to these challenges by answering contractors' questions on the documentation required for OMWI to assess good faith efforts. Given that over half of OCC contractors are small businesses, OMWI will continue providing technical assistance on contractors' compliance with the Good Faith Efforts clause and efforts toward the fair inclusion of minorities and women in their workforces.

## **F. Successes Achieved and Challenges Faced in the OCC's OMWI Program**

### **1. Successful Technical Assistance and Outreach Program**

During fiscal year 2014, the OCC engaged in numerous outreach activities to provide technical assistance, enhance awareness, and respond to potential contractors concerning procurement opportunities. For details about external events OMWI attended, please see appendix D.

In addition to attending conferences and outreach events, OMWI representatives hosted or presented at several highly successful events to provide specific technical assistance.

- **OCC Vendor Market Research Invitational, Washington, D.C.**  
January 9, 2014: Eleven small businesses and MWOBs that had responded to a request for information were invited by OMWI to explain their technical capabilities to a panel of OCC subject matter experts.
- **National 8(a) Association Winter Conference, Orlando, Fla.**  
February 10, 2014: OMWI representatives presented a technical training session titled "Alphabet Soup" that provided information on the OCC's OMWI program as well as specific technical training (245 attendees).

---

<sup>14</sup> The EEOC requires EEO-1 reports for all federal contractors (private employers) who are not otherwise exempt and (1) have 50 or more employees and (2) are prime contractors or first-tier subcontractors and have a contract, subcontract, or purchase order amounting to \$50,000 or more.

<sup>15</sup> The OFCCP regulations implementing Executive Order 11246 require supply and service contractors—generally those with 50 or more employees and a contract of \$50,000 or more—to develop and maintain written affirmative action programs.

- **McGladrey Small Business Event, McLean, Va.**  
May 8, 2014: OMWI representatives presented information on how to do business with the OCC (54 MWOB attendees).
- **“Doing Business with the OCC” Web Conference, Washington, D.C.**  
July 31, 2014: OMWI representatives held a Web conference on the OCC’s OMWI program; an overview of the OCC’s information technology (IT) procurement forecast from the IT program manager; and basics on how to do business with the federal government. The OMWI surveyed the 71 MWOB attendees, and this event received overwhelmingly positive feedback.<sup>16</sup>

Since its inception, the OCC’s OMWI program technical assistance and outreach efforts have helped the agency award a total value of almost \$2.2 million to MWOBs.

- In August 2012, the owner of a MWOB attended a women-owned small business training and networking event hosted by OMWI. After discussing the OCC’s forecast with representatives from OMWI and the Acquisitions Division, the OCC awarded an 8(a) sole source contract to this company with a total value of \$81,349. In November 2013, the OCC awarded this company another contract with a total value of \$1,222,290.
- In January 2014, OMWI and the IT Division collaborated to host an early market research event for a complex IT project. Eleven businesses that responded to a request for information gave presentations to OCC subject matter experts. Several large and small companies ultimately received awards, including one of the WOBs that attended the early market research event. (The total value of this project, which will be distributed among multiple awardees, is \$9,000,000.)
- An MOB attended a vendor outreach session and registered on the OCC Supplier Registration Database (OCC Database). The OCC Acquisitions Division discovered this company through the database, and in April 2014, the OCC awarded the company a contract valued at \$16,710.
- An MOB registered on the OCC Database after attending an OCC vendor outreach session. The OCC Acquisitions Division later learned about this company through the database. In November 2014, the company received a sole source 8(a) contract award with a total contract value of \$879,264.

## 2. Successful Analysis of the Number of MWOBs Participating in Top NAICS Codes

During fiscal year 2014, OMWI again researched and analyzed its top NAICS code award categories and compared the results with fiscal years 2011 through 2013. As discussed above, the OCC has a concentration of awards primarily in seven NAICS codes. The OMWI gathered contractor demographic data from the U.S. government’s

---

<sup>16</sup> Of the 35 responding attendees, 77 percent “strongly agreed” that the Web conference provided technical assistance for them to begin or increase contracting opportunities with the federal government.

System for Award Management (SAM) on how many MWOBs have capabilities in the OCC’s top seven NAICS codes (see appendix E). This data enables OMWI to compare the OCC’s contracting award percentages for minority and women groups with the availability pool and to develop strategies around the results. Through this analysis, OMWI is able to compare the OCC’s percentage of dollars awarded to minorities and women with the number of minority- and women-owned companies with capabilities in that NAICS code. For example, for the NAICS code “other computer-related services,” 3.4 percent of the companies are Native American-owned businesses, and the OCC has 5.5 percent of its dollars awarded in this NAICS code to Native American-owned businesses.

**3. Success of the OCC’s Small Business Program Strengthens its OMWI Program**

The U.S. Department of the Treasury and the U.S. Small Business Administration (SBA) collaborate to establish annual small business contracting goals for all Treasury Department bureaus, including the OCC. These small business goals include small disadvantaged businesses (SDB)<sup>17</sup> and women-owned small businesses (WOSB). For fiscal year 2014, the OCC exceeded all of its small business goals (see table 1).

**Table 1: Small Business Contracting, Fiscal Year 2014**

	Total obligations	Overall small business	Small disadvantaged business	Women-owned small business	Historically underutilized business zone small business	Service-disabled-veteran-owned small business
<b>SBA goal</b>		35.1%	5.0%	5.0%	3.0%	3.0%
<b>OCC achievement</b>	\$151,483,400	54.8%	24.6%	9.3%	5.7%	8.4%

Source: Treasury Department Bureau Report (OCC excerpt) for small business contracting.

The OCC’s successful Small Business program provided opportunities for OMWI to collaborate and increase the participation of MWOBs in the agency’s awards and to coordinate technical assistance to these businesses.

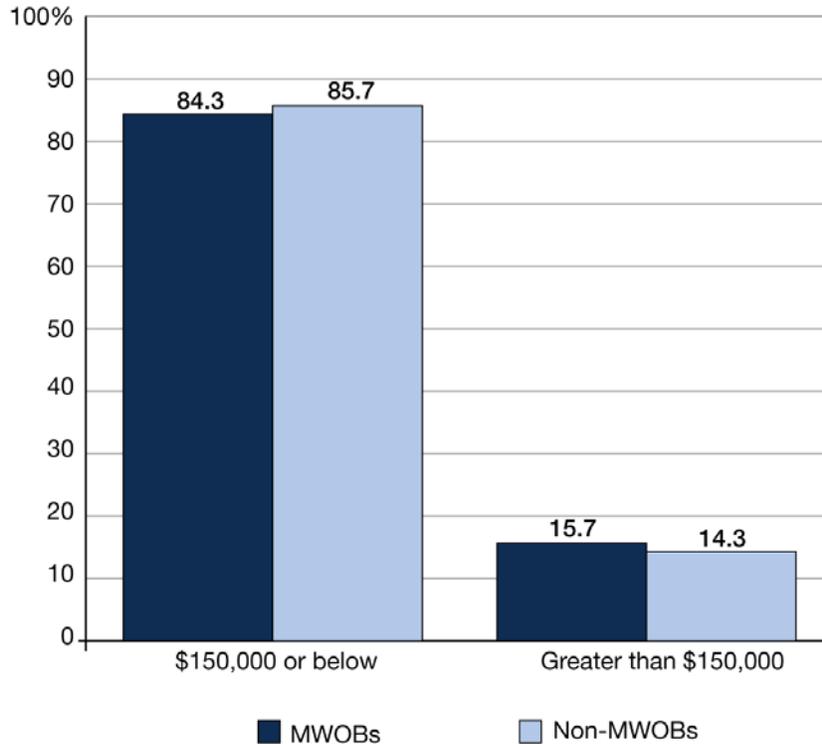
The OMWI tracks and analyzes MWOB awards within categories for both small and “other than small” businesses (see appendix F). For fiscal year 2014, small MWOBs accounted for 73.0 percent of the OCC’s total MWOB awards, and other than small MWOBs accounted for 27.0 percent of the OCC’s total MWOB awards.

<sup>17</sup> An SDB is a small business that is at least 51 percent owned by one or more individuals who are both socially and economically disadvantaged. The term “socially disadvantaged” may include members of the following designated groups: Asian Americans, Black Americans, Hispanic Americans, Native Americans, and members of other groups designated by the SBA (see 12 CFR 124.103).

#### 4. MWOBs’ and Non-MWOBs’ Participation Rates for Small and Large Awards

For fiscal year 2014, OMWI analyzed the number of awards to MWOBs and non-MWOBs for amounts \$150,000 and below and for amounts greater than \$150,000.<sup>18</sup> MWOBs and non-MWOBs participate at approximately the same rate in awards \$150,000 or less and awards greater than \$150,000 (see figure 4).<sup>19</sup>

**Figure 4: Percentage of Number of Awards \$150,000 or Below and Greater than \$150,000 to MWOBs Versus Non-MWOBs, Fiscal Year 2014**



Source: FPDS-NG for fiscal year 2014.

#### 5. Plans for Continued Success Through Enhancing Opportunities to Contract With and Provide Technical Assistance to MWOBs

In December 2013, OMWI developed the OCC Database, which continues to be a resource for early market research used by the OMWI, the Acquisitions Division, and other OCC business units, as well as to support OMWI’s technical assistance efforts. The OMWI will continue to use and enhance the OCC Database in fiscal year 2015. The

<sup>18</sup> The simplified acquisition process is for supplies or services that have an anticipated dollar value not exceeding \$150,000 (see 48 CFR 13.003).

<sup>19</sup> The participation rates include the total number of awards entered into the FPDS-NG for fiscal year 2014 with a positive dollar amount (which excludes zero dollar modifications and de-obligations) and the percentage of these awards to MWOBs and to non-MWOBs that were \$150,000 and below and greater than \$150,000.

OMWI will also continue to present informational training sessions to OCC employees on seeking diverse contractor resources.

During fiscal year 2015, OMWI staff members will speak at events such as the National Veterans Small Business Engagement and the Enterprising Women Annual Conference. These sessions provide guidance on government contracting and technical assistance to MWOBs.

In July 2015, OMWI will host a strategic business development session for MWOBs featuring Professor Leonard Greenhalgh of the University of Dartmouth Tuck School of Business. Dr. Greenhalgh serves as the Director of the school's programs for Minority and Women-owned Businesses.

The OMWI will continue to collaborate with the other agencies' OMWI offices through the Supplier Diversity Working Group, which shares information and best practices and collaborates to maximize opportunities for technical assistance to MWOBs.

### **III. Workforce Diversity**

Bank supervision is the OCC's core mission, and the majority of its employees are bank examiners. Bank examination activities are supported by attorneys, economists, and various operational and administrative occupations referred to as "all other series" in this annual report.

As of October 4, 2014, the OCC's permanent workforce totaled 3,837 employees, a net change of 2.1 percent below the 3,919 employees in fiscal year 2013. This change was because of a decrease in the number of hires (a 45.3 percent net change) and an increase in the number of separations (20.0 percent net change) in fiscal year 2014. Since the inception of this annual report four years ago, the participation rate of females (45.1 percent) in the OCC's workforce has remained fairly stable (a 1 percentage point difference). Minority participation, however, increased by 2.7 percentage points. At the end of fiscal year 2014, all major EEO groups were at or near parity with the 2010 national civilian labor force (NCLF) rates,<sup>20</sup> with the exception of Hispanics and White females. For changes in the OCC's workforce participation rates from fiscal year 2011 to 2014, please see appendix H.

Although the OCC continued to work to address the low participation of Hispanics in its workforce, their overall participation rate remained below their NCLF rate (see table 2). Hispanic participation rates were also below parity in the following occupational positions—economists, bank examiners (females), and "all other series" (males). Similarly, female bank examiners across EEO groups participated below their occupational civilian labor force (OCLF) rate in bank examiner positions. In addition, the OCC continued to focus on the low participation rates of females and minorities in supervisor roles and senior-level positions (SLP). For a further

---

<sup>20</sup> NCLF data are derived from the 2010 census and reflect persons 16 years of age or older who are employed or are actively seeking employment. The data are adjusted for citizenship and exclude those in the armed services. The OCC's workforce demographics benchmark comparisons are made against the 2010 NCLF availability rates and the occupational civilian labor force (OCLF) availability rates for the OCC's three major occupational groups—bank examiners, attorneys, and economists. See appendix G for more details.

breakdown of ethnicity and race indicator (ERI) groups<sup>21</sup> and gender by occupational positions in the OCC workforce profile, please refer to appendix I. The fiscal year 2014 EEO-1 Report of OCC Occupational Categories is available in appendix J.

**Table 2: OCC Workforce Profile as of October 4, 2014**

	Total	Male	Female	Asian	Black	Hispanic	Small ERI groups	White
OCC workforce	3,837	54.9%	45.1% <sup>a</sup>	7.7%	16.7%	6.6% <sup>a</sup>	1.4% <sup>a</sup>	67.6% <sup>a</sup>
<b>2010 NCLF</b>		<b>51.9%</b>	<b>48.1%</b>	<b>3.9%</b>	<b>12.0%</b>	<b>10.0%</b>	<b>1.8%</b>	<b>72.3%</b>
Examiner	2,544	61.5%	38.5% <sup>a</sup>	5.8% <sup>a</sup>	11.8% <sup>a</sup>	6.2% <sup>a</sup>	1.3%	74.9%
<b>2010 examiner OCLF</b>		<b>54.7%</b>	<b>45.3%</b>	<b>7.7%</b>	<b>12.3%</b>	<b>6.8%</b>	<b>0.9%</b>	<b>72.4%</b>
Attorney	184	53.8% <sup>a</sup>	46.2%	6.5%	4.9%	7.6%	0.5% <sup>a</sup>	80.5% <sup>a</sup>
<b>2010 attorney OCLF</b>		<b>66.7%</b>	<b>33.3%</b>	<b>3.6%</b>	<b>4.7%</b>	<b>4.3%</b>	<b>0.9%</b>	<b>86.4%</b>
Economist	71	63.4% <sup>a</sup>	36.6%	32.4%	0.0% <sup>a</sup>	4.2% <sup>a</sup>	0.0% <sup>a</sup>	63.4% <sup>a</sup>
<b>2010 economist OCLF</b>		<b>67.1%</b>	<b>32.9%</b>	<b>7.6%</b>	<b>5.5%</b>	<b>5.1%</b>	<b>0.9%</b>	<b>81.0%</b>
All other series	1,038	38.4% <sup>a</sup>	61.6%	10.9%	32.1%	7.7% <sup>a</sup>	1.8%	47.4% <sup>a</sup>
<b>2010 NCLF</b>		<b>51.9%</b>	<b>48.1%</b>	<b>3.9%</b>	<b>12.0%</b>	<b>10.0%</b>	<b>1.8%</b>	<b>72.3%</b>

Source: MD-715 workforce data table as of October 4, 2014.

<sup>a</sup> EEO groups participating at rates below the 2010 NCLF and OCLF.

Note: Small ERI groups are Native Americans, Native Hawaiians, and persons of two or more races combined, due to their small population size.

## A. Increasing the Participation of Hispanics

The participation of Hispanic employees remained steady in the OCC's permanent workforce at 6.6 percent between fiscal year 2013 and fiscal year 2014. Hispanics were well represented above the OCLF rate for attorneys (7.6 percent versus 4.3 percent) and male bank examiners (3.8 percent versus 3.1 percent). However, Hispanic female bank examiners were participating below their OCLF rate (2.4 percent versus 3.7 percent). Low participation rates of Hispanics were also in the economist occupation (4.2 percent versus 5.1 percent) and males in the "all other series" positions (2.8 percent versus 5.2 percent).

In fiscal year 2014, the OCC made steady improvement in hiring Hispanic employees in its major occupational groups. Hispanics were hired at rates greater than their OCLF comparators for bank examiners (7.4 percent versus 6.8 percent), attorneys (20.0 percent versus 4.3 percent), and economists (14.3 percent versus 5.1 percent) (see table 3). For a gender breakdown of the OCC's Hispanic profile, see appendixes K and L.

<sup>21</sup> ERI groups are Asians, Blacks, Hispanics, Whites, and Small ERI groups (Native Americans, Native Hawaiians, and persons of two or more races combined, due to their small population size).

**Table 3: Hispanic Profile by Occupational Positions, Four-Year Trend**

			FY 2011	FY 2012		FY 2013	FY 2014
<b>Bank examiner</b>	Hires	<b>3.8% 2000 OCLF</b>	3.4% <sup>a</sup>	5.6%	<b>6.8% 2010 OCLF</b>	7.8%	7.4%
	Separations		5.4%	4.4%		4.8%	9.1% <sup>b</sup>
	OCC wrk. part. %		5.9%	6.0%		6.3% <sup>a</sup>	6.2% <sup>a</sup>
<b>Attorney</b>	Hires	<b>3.5% 2000 OCLF</b>	14.3%	14.3%	<b>4.3% 2010 OCLF</b>	0.0% <sup>a</sup>	20.0%
	Separations		0.0%	0.0%		0.0%	11.1% <sup>b</sup>
	OCC wrk. part. %		6.3%	7.1%		7.3%	7.6%
<b>Economist</b>	Hires	<b>5.1% 2000 OCLF</b>	0.0% <sup>a</sup>	0.0% <sup>a</sup>	<b>5.1% 2010 OCLF</b>	20.0%	14.3%
	Separations		0.0%	0.0%		20.0% <sup>b</sup>	16.7% <sup>b</sup>
	OCC wrk. part. %		4.8% <sup>a</sup>	4.5% <sup>a</sup>		4.4% <sup>a</sup>	4.2% <sup>a</sup>
<b>All other series</b>	Hires	<b>10.7% 2000 NCLF</b>	3.1% <sup>a</sup>	14.6%	<b>10.0% 2010 NCLF</b>	10.5%	5.5% <sup>a</sup>
	Separations		8.9% <sup>b</sup>	3.1%		6.4%	1.4%
	OCC wrk. part. %		5.0% <sup>a</sup>	7.0% <sup>a</sup>		7.4% <sup>a</sup>	7.7% <sup>a</sup>

Source: MD-715 workforce data table as of October 4, 2014.

<sup>a</sup> Hispanic workforce participation and hiring rates below the relative 2000 and 2010 NCLF or OCLF.

<sup>b</sup> Hispanic separation rate above their workforce participation rate.

The OCC maintains ongoing relationships with minority professional organizations and colleges and universities with large populations of minority and female students. Fiscal year 2014 was the fourth year the OCC sponsored its National Diversity Internship Program (NDIP), and it used four student employment groups: the Hispanic Association of Colleges and Universities; INROADS, a nonprofit organization that trains and develops minority students for professional careers in business and industry; Vista Sciences Corporation; and The Washington Center. The OCC contracted for 12 interns under the NDIP for the 2014 summer school term. In addition, the OCC hired 23 students through the federal Pathways internship program: 39.1 percent were female (nine) and 65.2 percent were minorities (15).<sup>22</sup> All EEO groups were hired at rates exceeding their NCLF rates.

As in prior years, the OCC recruited from Hispanic-serving institutions (HSI) as part of its entry-level bank examiner program, and sought additional sources for recruitment through the Association of Latin Professionals in Finance and Accounting (ALPFA). During fiscal year 2014, the OCC recruited at the following HSIs: California State University at Long Beach; California State University at Fullerton; Florida International University; the University of New Mexico; the University of Texas at El Paso; and the University of Texas-Pan American. In addition, the OCC obtained research data from the National Association of Colleges and Employers on accounting and finance graduating classes and the demographic make-up of the student body. This information helped the OCC to determine which schools to recruit from to build a diverse qualified applicant pool. In an effort to recruit minorities

<sup>22</sup> The breakdown of 65.2 percent minorities (15) in the Pathways internship program is as follows: 34.8 percent were Asian (eight), 17.4 percent were Black (four), and 13.0 percent were Hispanic (three).

and females, the OCC also participated in a variety of conferences and career fairs, including events sponsored by the ALPFA, Beta Alpha Psi, and the National Council of La Raza.

The OCC uses the Hispanic Organization for Leadership and Advancement (HOLA), one of its employee network groups (ENG), to assist in developing recruitment, career development, and retention strategies for Hispanics and in identifying best practices for developing a fully engaged Hispanic workforce. HOLA hosted a national panel, “Advancing Your Career: Specialty Areas and Opportunities,” as part of a career advancement and retention activity. The panel featured presentations and discussions with senior-level OCC officials, managers, and employees on opportunities and career paths available in the specialty areas of Bank Information Technology, Bank Secrecy Act Compliance, and Asset Management. The panel also provided information on leadership opportunities across OCC divisions, as well as OCC career management tools available to all employees, including industry hires and non-examiner employees. HOLA members also participated in career fairs and conferences of Hispanic organizations and served as mentors to its members. For additional information about the OCC’s ENGs, please refer to appendix M.

## **B. Increasing the Participation of Female Bank Examiners**

Fiscal year 2014 was another challenging year in the OCC’s efforts to increase the participation of female bank examiners in the workforce. Their participation in the workforce decreased slightly, from 39.2 percent to 38.5 percent, and remained below the OCLF rate of 45.3 percent. Low participation trends for female bank examiners exist across all EEO groups except Native Americans. The hiring rate for female bank examiners was also below the OCLF rate, 32.4 percent versus 45.3 percent, and behind their hiring rate in fiscal year 2013 of 35.1 percent.

In fiscal year 2014, the separation rate for female bank examiners (40.5 percent) was above their workforce participation rate (38.5 percent). Resignations accounted for 51.6 percent of separating female bank examiners and retirements accounted for 36.8 percent. The retirement eligibility pool for female bank examiners (currently eligible or expected to obtain eligibility within five years) was 31.8 percent, compared with a five-year average of 28.6 percent. Retention of female bank examiners will continue to be a challenge given the high percentage of retirement eligibility (see table 4).

Exit survey responses cite job stress, travel requirements, office morale, career growth, and pay as the greatest factors affecting female bank examiner separations. The OCC offers flexible work arrangements, including flex days, gliding work schedules (which allow variable arrival and departure times), credit hours, and telework agreements. A majority of employees take advantage of these schedules: 86.0 percent flex, 63.0 percent vary their work schedules, 48.0 percent telework periodically, and 27.0 percent telework regularly (at least once a month).

**Table 4: Female Bank Examiner Profile by EEO Groups, Four-Year Trend**

			FY 2011	FY 2012		FY 2013	FY 2014
<b>Female</b>	Hires	<b>42.4% 2000 OCLF</b>	41.6% <sup>a</sup>	36.0% <sup>a</sup>	<b>45.3% 2010 OCLF</b>	35.1% <sup>a</sup>	32.4% <sup>a</sup>
	Separations		32.7%	31.9%		35.1%	40.5% <sup>b</sup>
	OCC wrk. part. %		38.7% <sup>a</sup>	38.8% <sup>a</sup>		39.2% <sup>a</sup>	38.5% <sup>a</sup>
<b>Asian female</b>	Hires	<b>2.8% 2000 OCLF</b>	4.5%	2.4% <sup>a</sup>	<b>4.0% 2010 OCLF</b>	3.2% <sup>a</sup>	0.0% <sup>a</sup>
	Separations		2.4%	2.9% <sup>b</sup>		0.5%	3.5% <sup>b</sup>
	OCC wrk. part. %		2.6% <sup>a</sup>	2.6% <sup>a</sup>		2.9% <sup>a</sup>	2.7% <sup>a</sup>
<b>Black female</b>	Hires	<b>6.9% 2000 OCLF</b>	5.6% <sup>a</sup>	6.8% <sup>a</sup>	<b>8.7% 2010 OCLF</b>	7.8% <sup>a</sup>	9.6%
	Separations		6.3% <sup>b</sup>	5.9%		5.8%	5.2%
	OCC wrk. part. %		5.9% <sup>a</sup>	6.0% <sup>a</sup>		6.3% <sup>a</sup>	6.6% <sup>a</sup>
<b>Hispanic female</b>	Hires	<b>1.6% 2000 OCLF</b>	1.1% <sup>a</sup>	2.4%	<b>3.7% 2010 OCLF</b>	2.1% <sup>a</sup>	2.2% <sup>a</sup>
	Separations		3.4% <sup>b</sup>	2.0%		2.7% <sup>b</sup>	3.0% <sup>b</sup>
	OCC wrk. part. %		2.4%	2.5%		2.5% <sup>a</sup>	2.4% <sup>a</sup>
<b>Native American female</b>	Hires	<b>0.2% 2000 OCLF</b>	0.0% <sup>a</sup>	0.0% <sup>a</sup>	<b>0.3% 2010 OCLF</b>	0.0% <sup>a</sup>	0.0% <sup>a</sup>
	Separations		0.0%	0.0%		0.5%	0.4%
	OCC wrk. part. %		0.4%	0.4%		0.5%	0.4%
<b>White female</b>	Hires	<b>30.3% 2000 OCLF</b>	29.2% <sup>a</sup>	23.2% <sup>a</sup>	<b>28.3% 2010 OCLF</b>	21.6% <sup>a</sup>	20.6% <sup>a</sup>
	Separations		20.5%	21.1%		25.0%	28.0% <sup>b</sup>
	OCC wrk. part. %		26.9% <sup>a</sup>	26.9% <sup>a</sup>		26.7% <sup>a</sup>	26.2% <sup>a</sup>

Source: MD-715 workforce data table as of October 4, 2014.

<sup>a</sup> Female bank examiner workforce participation and hiring rates below the 2000 and 2010 bank examiner OCLF.

<sup>b</sup> Female bank examiner separation rate above their workforce participation rate.

The OMWI continued to work collaboratively with management officials in the agency’s Human Capital (HC) and Bank Supervision departments to identify barriers that may impede the realization of parity for female bank examiners across all EEO groups. OCC management briefings highlighted departmental workforce trends and areas requiring special attention, including targeted recruitment, retention strategies, and succession planning.

Each year, the Midsize and Community Bank Supervision department sponsors a career forum for pre-commissioned bank examiners at the end of their third year of employment. The career forum provides focused information about bank examiner career opportunities and explains the Uniform Commission Examination (UCE) certification preparatory process. These sessions have proved quite successful in influencing the retention of pre-commissioned bank examiners as well as encouraging their completion of the UCE. In fiscal year 2014, three generalist UCE testing sessions were held: 69 bank examiners successfully passed, of which 49.3 percent (34) were female, down from 52.8 percent in fiscal year 2013. In addition, 15.9 percent (11) were Black, 11.6 percent (eight) were Hispanic, 1.4 percent

(one) Asian, and 4.3 percent (three) were from Small ERI groups. All minority groups passed the generalist UCE in fiscal year 2014 at rates near or greater than in fiscal year 2013.

In addition, the OCC continued to encourage its bank examiners to complete the cross-credentialing process that the agency implemented in fiscal year 2012. The process provides an avenue for National Bank Examiners (NBE) to demonstrate the knowledge and gain the certification of a Federal Thrift Regulator (FTR) to lead the examinations of federal savings associations, and likewise, for FTRs to demonstrate the knowledge and gain the certification necessary to serve as examiners-in-charge of national bank exams. In fiscal year 2014, three cross-credential testing sessions were held, and 347 bank examiners (NBEs and FTRs) successfully passed: 40.3 percent (140) were female, 11.2 percent (39) were Black, 7.8 percent (27) were Hispanic, 3.5 percent (12) were Asian, and 0.6 percent (two) were from Small ERI groups. All demographic groups passed the cross-credential test in fiscal year 2014 at rates near or greater than in fiscal year 2013, with the exception of Asians (3.5 percent versus 4.3 percent).

The OCC continues to benefit from the work of its women's ENG, The Women's Network (TWN), particularly in issues associated with retention. In fiscal year 2014, TWN focused its efforts to support the retention of female bank examiners through its mentoring circles. Mentoring circle topics have included "Career Exploration at the OCC," "Work/Life Balance," and "Uniform Commission Examination Preparation." TWN also sponsored networking events to provide opportunities for workplace networking among employees.

### **C. Increasing the Participation of Female and Minorities in Supervisor Roles and SLPs**

In fiscal year 2014, the OCC continued to experience low participation of females and minorities in supervisor positions and SLPs as compared to their workforce participation rate. Females participated at 45.1 percent in the OCC workforce and held 39.1 percent of supervisor positions and 32.7 percent of SLPs. Minorities participated at 32.4 percent in the workforce and held 24.6 percent of supervisor positions and 15.3 percent of SLPs. Female participation increased in fiscal year 2014 in both supervisor positions (1.7 percentage points) and in SLPs (0.1 percentage points), including the addition of another female senior executive to the Executive Committee. Minority participation increased in fiscal year 2014 in both supervisor positions (0.7 percentage points) and in SLPs (1.1 percentage points) (see tables 5 and 6). For additional details on participation rates from fiscal year 2011 to 2014 of females and minorities in supervisor positions, SLPs, and feeder grades, please refer to appendixes N and O.

**Table 5: OCC Participation in Supervisor Positions by EEO Groups, Fiscal Years 2013 to 2014**

	FY 2013		FY 2014		Supervisor participation percentage point change from FY 2013 to FY 2014
	OCC workforce participation	OCC supervisor participation	OCC workforce participation	OCC supervisor participation	
<b>Male</b>	54.4%	62.6%	54.9%	60.9%	-1.7
<b>Female</b>	45.6%	37.4% <sup>a</sup>	45.1%	39.1% <sup>a</sup>	+1.7
<b>Minority male</b>	13.9%	11.9% <sup>a</sup>	14.3%	12.3% <sup>a</sup>	+0.4
<b>Minority female</b>	18.2%	12.0% <sup>a</sup>	18.1%	12.3% <sup>a</sup>	+0.3
<b>Minority</b>	32.1%	23.9% <sup>a</sup>	32.4%	24.6% <sup>a</sup>	+0.7
<b>Asian</b>	7.4%	6.0% <sup>a</sup>	7.7%	7.1% <sup>a</sup>	+1.1
<b>Black</b>	16.7%	10.5% <sup>a</sup>	16.7%	10.5% <sup>a</sup>	-
<b>Hispanic</b>	6.6%	7.0%	6.6%	6.5% <sup>a</sup>	-0.5
<b>Native American</b>	1.0%	0.3% <sup>a</sup>	0.9%	0.3% <sup>a</sup>	-
<b>White</b>	67.9%	76.5%	67.6%	75.4%	-1.1
<b>White male</b>	40.5%	51.3%	40.6%	48.6%	-2.7
<b>White female</b>	27.4%	25.2% <sup>a</sup>	27.0%	26.8% <sup>a</sup>	+1.6
<b>Total</b>	<b>3,919</b>	<b>313</b>	<b>3,837</b>	<b>325</b>	

Source: OCC HR Data Mart as of October 4, 2014.

<sup>a</sup> EEO groups participating at rates below their workforce participation rates.

**Table 6: OCC Participation in SLPs by EEO Groups, Fiscal Years 2013 to 2014**

	FY 2013		FY 2014		SLP participation percentage point change from FY 2013 to FY 2014
	OCC workforce participation	NB VIII-IX (equiv. SLP)	OCC workforce participation	NB VIII-IX (equiv. SLP)	
<b>Male</b>	54.4%	67.4%	54.9%	67.3%	-0.1
<b>Female</b>	45.6%	32.6% <sup>a</sup>	45.1%	32.7% <sup>a</sup>	+0.1
<b>Minority male</b>	13.9%	10.2% <sup>a</sup>	14.3%	11.5% <sup>a</sup>	+1.3
<b>Minority female</b>	18.2%	4.1% <sup>a</sup>	18.1%	3.8% <sup>a</sup>	-0.3
<b>Minority</b>	32.1%	14.2% <sup>a</sup>	32.4%	15.3% <sup>a</sup>	+1.1
<b>Asian</b>	7.4%	0.0% <sup>a</sup>	7.7%	1.9% <sup>a</sup>	+1.9
<b>Black</b>	16.7%	12.2% <sup>a</sup>	16.7%	11.5% <sup>a</sup>	-0.7
<b>Hispanic</b>	6.6%	2.0% <sup>a</sup>	6.6%	1.9% <sup>a</sup>	-0.1
<b>Native American</b>	1.0%	0.0% <sup>a</sup>	0.9%	0.0% <sup>a</sup>	-
<b>White</b>	67.9%	85.7%	67.6%	84.7%	-1.0
<b>White male</b>	40.5%	57.1%	40.6%	55.8%	-1.3
<b>White female</b>	27.4%	28.6%	27.0%	28.9%	+0.3
<b>Total</b>	<b>3,919</b>	<b>49</b>	<b>3,837</b>	<b>52</b>	

Source: OCC HR Data Mart as of October 4, 2014.

<sup>a</sup> EEO groups participating at rates below the workforce participation rates.

The OCC’s executive committee established an agency-wide strategic initiative, “Leading,” to create a systematic and sustainable process for evaluating and developing the agency’s leadership pipeline to ensure continuity and diversity in leadership. To accomplish this, the OCC built a framework for succession planning, identified training and developmental needs for current and new managers and supervisors, and created a process for identifying and sharing external career development opportunities. In addition, the agency created a Leadership Development Advisory Board (LDAB) to provide ongoing leadership, guidance, and governance for leadership development. The Deputy Comptroller for HC and the OMWI Executive Director are members of the LDAB.

Over the past two years, the OCC has made notable progress in formalizing its succession planning. In accordance with federal regulations and guidelines, the OCC developed a five-step succession planning process to pilot at the highest pay band levels of leadership within the agency. This process is used to identify its most critical positions; project its vacancy risk for those positions; assess the sufficiency of the talent pools; and develop training, development, and recruitment strategies to close gaps between the projected need and the available talent pool. Metrics related to an employee’s overall “readiness” for a position (measured in competencies and experience) compared with his or her desire and potential for separation is used to calculate the overall bench strength and size of the organization’s talent pools at the upper levels of management.

In fiscal year 2014, the second year of the pilot, the OCC completed more than 745 assessments. With the results of these assessments, the OCC believes it can create a robust and engrained procedure for the assessment and development of leaders at multiple levels of the agency.

Furthermore, in February 2014 the OCC worked with an industrial organizational psychologist at the Corporate Executive Board to develop a career aspiration assessment for employees in pay bands NB-VI and NB-VII. The assessment was designed to determine if there are any barriers or disincentives that discourage employees from taking positions at higher pay band levels or positions with greater responsibility at the same band level. The results of the assessment also provided insight into what drives employees to aspire to higher-level positions in their careers, and what may create barriers or unnecessary deterrents. The OCC's senior leadership uses the results of the career aspiration assessment in its deliberations on compensation strategies, succession planning, and work-life balance to ensure that positions remain attractive to those who generally aspire to leadership. In addition, the survey results help senior leadership to better understand and improve the participation of females and minorities in SLPs.

#### **D. Workplace Environment**

The OCC recognizes that the continued success of its mission depends on the employment of talented staff with high levels of expertise and experience. To maintain a competent, highly qualified workforce, the OCC is committed to using and retaining its employees' skills fully, while recruiting the best talent available from a variety of sources. The OCC is also committed to maintaining an inclusive culture and workplace environment with a diversity strategy that focuses on leadership commitment, recruitment, development, retention, work-life balance, and an engaging culture.

In fiscal year 2014, the OCC continued to implement the goals and objectives of its "Aligning" strategic initiative. The intent of the "Aligning" initiative is to improve the alignment of retention, recruitment, and training programs with agency needs. This intent can be accomplished with a strategic focus on enhancing the efficiency and effectiveness of the recruitment and development programs; addressing skill gaps through targeted hiring and staff development; generating deeper external applicant pools; and enhancing the OCC's ability to retain critical skills within the workforce.

In addition, to continue strengthening the OCC's focus on career development, in fiscal year 2014 the OCC began sponsoring a non-examiner career forum. Although examinations are the primary function of the OCC, non-examiners make up a quarter of the OCC workforce. As such, the non-examiner career forum provided these employees with the opportunity to network and build relationships with one another, gain visibility from OCC leadership, and learn about the resources and skills needed for a variety of career options. To increase diverse participation at the forum, the OCC partnered with the ENGs to showcase resources they offer, including mentoring, networking, workshops, and community service. These forums, in conjunction with leadership training and annual individual development plan

management, can increase and diversify the OCC's talent pool for senior leadership positions.

In 2014, OCC employees participated in the Federal Employee Viewpoint Survey (FEVS), designed to measure employees' views on topics pertaining to diversity, family-friendly culture, leadership, pay, teamwork, and training and development. The 2014 FEVS invited all permanent OCC employees hired as of October 19, 2013, to participate. More than 2,000 OCC employees completed the survey, representing a 64 percent response rate. Consistent with past results, OCC employees responded more favorably than employees of the Treasury Department and the federal government overall. Overall, OCC favorability ratings remained essentially the same from the 2013 survey or increased. The categories that OCC employees rated most favorably were employee work/life, immediate supervisor, employee work experience, and agency experience.

The Partnership for Public Service uses the data from the FEVS to create "The Best Places to Work in Federal Government" rankings. Based on the 2014 FEVS data, the OCC ranked 12th of 315 agency subcomponents in overall employee satisfaction with their job and their agency. The OCC ranked 18th of 314 subcomponent agencies in support for diversity.

During fiscal year 2014, the Treasury Department's Office of Inspector General (OIG), at the request of the members of the House Committee on Financial Services, reviewed the OCC's personnel practices and other efforts to increase agency diversity, create a workplace free of systemic discrimination, and provide equal opportunity for minorities and females to obtain senior management positions. The results of the OIG's final report concluded that the OCC tracks diversity levels and has taken steps to increase diversity in its workforce, which has resulted in the OCC employing minorities and females at a rate generally equivalent to nationwide participation rates. Additionally, the OIG found that OMWI has made efforts to increase diversity across the workforce by participating in outreach programs and supporting ENGs. The OIG concluded, however, that while increasing, participation of minorities and females in OCC supervisory and SLPs currently falls below their workforce participation rates. The OIG recommended that the OCC continue its efforts to increase participation of minorities and females in supervisory and SLPs. The OCC agreed with the recommendation and will remain committed to ensuring a diverse and inclusive work environment.

#### **IV. Regulated Entities**

The OCC regulates and supervises 1,663 institutions, composed of 39 large banks, 36 midsize banks, 1,077 community banks, 462 federal savings associations, and 49 federal branches of foreign banks. Assets of all OCC-supervised institutions totaled \$10.9 trillion, representing 71.0 percent of total U.S. commercial banking assets.

Through the collaborative efforts of the OMWI Directors of the Consumer Financial Protection Bureau, Federal Deposit Insurance Corporation, Federal Reserve Board, National Credit Union Administration, Securities and Exchange Commission, and the OCC (collectively, the agencies), a "Final Interagency Policy Statement Establishing Joint Standards for Assessing the Diversity

Policies and Practices of Entities Regulated by the Agencies” (policy statement) is being developed.

In drafting the joint standards, the agencies held roundtable discussions and teleconferences with external stakeholders to solicit their views on appropriate standards and learn of the challenges and successes in existing diversity policies and programs. The resulting joint standards reflect the consideration of varying circumstances of the regulated entities, such as governance structure, workforce size, total assets, geographic location, and community characteristics.

The standards seek to promote transparency and awareness of diversity policies and practices within regulated entities, and provide a framework for assessing diversity in four major areas:

- Organizational commitment to diversity and inclusion
- Workforce profile and employment practices
- Procurement and business practices and supplier diversity
- Practices to promote transparency of organizational diversity and inclusion

The proposed policy statement was initially published on October 25, 2013,<sup>23</sup> in the *Federal Register* for a 60-day period for public comment. To allow interested parties adequate time to respond, the comment period was extended for 45 days and closed on February 7, 2014. The agencies carefully considered all comments received and are finalizing the policy statement, which will be published in the *Federal Register* imminently.

The Comptroller and OCC senior managers seek input pertaining to diversity and inclusion from the OMWI Executive Director on relevant agency matters. The OMWI Executive Director will continue to provide diversity advice, as appropriate, on pertinent issues.

---

<sup>23</sup> 78 Fed. Reg. 64052 (October 25, 2013).

## Appendixes

---

### Appendix A: OCC Methodology and Data Sources for Awards and Payments

#### I. Awards

The OCC follows the Federal Acquisition Regulation (FAR) for the procurement of goods and services (48 CFR 1). The FAR defines a contract action as “any oral or written action that results in the purchase, rent, or lease of supplies or equipment, services, or construction using appropriated dollars over the micro-purchase threshold, or modifications to these actions regardless of dollar value. Contract action does not include grants, cooperative agreements, other transactions, real property leases, requisitions from federal stock, training authorizations, or other non-FAR-based transactions” (48 CFR 4.601).

The FPDS-NG Web site is the central repository of information about federal contracting and contains detailed information on contract awards of more than \$3,000. The FAR requires federal contracting offices to submit complete and accurate data on contract actions to the FPDS-NG (48 CFR 4.604(3)).

At the end of each fiscal year, OMWI queries the FPDS-NG for (1) OCC awards or “action obligations,” which are the net amounts of funds obligated or de-obligated for all contract actions entered into the FPDS-NG, from October 1 through September 30; and (2) the company owner’s socioeconomic category<sup>24</sup> for each award.

#### II. Payments

The OCC uses the Core Financial System to track all agency expenditures, including contractor payments. The OCC pays contractors within 15 days of receipt of an invoice. Because contractors may submit invoices to the OCC after the close of the fiscal year in which the contract actions were reported to the FPDS-NG, the OCC’s total payments to contractors during a given fiscal year may differ from the total awards.

---

<sup>24</sup> The term socioeconomic category identifies certain business ownership characteristics (e.g., women-owned business, small disadvantaged business, educational institution, and minority-owned business). For more information, see the *FPDS-NG Government User’s Manual*, version 1.4, p.135 (June 2013).

## Appendix B: OCC Contracting Awards, Four-Year Trend

	Fiscal year							
	2014		2013		2012		2011	
<b>Total awards</b>	<b>151,483,399.54</b>	<b>100.0%</b>	<b>154,317,026.74</b>	<b>100.0%</b>	<b>117,655,195.49</b>	<b>100.0%</b>	<b>173,598,657.19</b>	<b>100.0%</b>
Minority-owned or women-owned business totals <sup>a</sup>	60,570,022.31	40.0% <sup>b</sup>	58,242,589.58	37.7%	40,362,428.31	34.3%	66,732,117.66	38.4%
Minority-owned	53,832,964.01	35.5% <sup>b</sup>	53,055,556.11	34.4%	36,791,545.08	31.3%	64,628,297.02	37.2%
Women-owned	13,960,757.76	9.2% <sup>b</sup>	10,866,583.19	7.0%	14,724,839.95	12.5%	8,909,678.15	5.1%
Both minority-owned and women-owned	72,23,699.46	4.8% <sup>b</sup>	5,679,549.72	3.7%	11,153,956.72	9.5%	6,805,857.51	3.9%
Asian American <sup>c</sup>	39,282,118.11	25.9%	42,159,868.59	27.3%	20,066,375.17	17.1%	51,909,871.96	29.9%
Black American	6,198,682.57	4.1%	8,521,991.78	5.5%	2,820,834.17	2.4%	6,953,464.04	4.0%
Hispanic American	909,539.18	0.6%	1,472,460.76	1.0%	2,720,986.44	2.3%	3,152,418.5	1.8%
Native American <sup>d</sup>	2,849,651.77	1.9% <sup>b</sup>	231,084.26	0.1%	817,985.83	0.7%	2,461,769.61	1.4%
Other minority <sup>e</sup>	4,694,815.74	3.1% <sup>b</sup>	758,071.33	0.5%	10,626,875.09	9.0%	313,265.72	0.2%

Source: FPDS-NG for fiscal years 2011 to 2014 (including fiscal year 2011 Office of Thrift Supervision data).

Note: "Awards" are action obligations—the net amounts of funds obligated or de-obligated for all awards and modifications entered into the FPDS-NG system during the fiscal year (October 1 through September 30).

<sup>a</sup> Awards to businesses that are both minority- and women-owned are counted once in the MWOB total dollars and percentages.

<sup>b</sup> Indicates an increase in award total percentage for fiscal year 2014 versus the previous fiscal year.

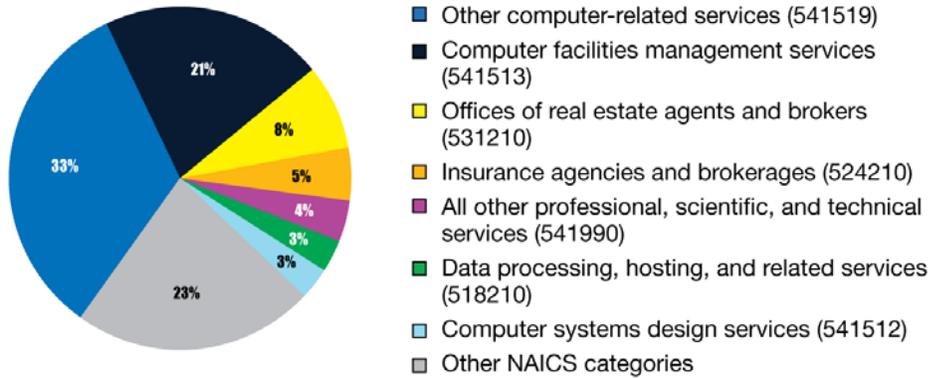
<sup>c</sup> "Asian American" means Asian-Pacific Americans (persons with origins from Burma, Thailand, Malaysia, Indonesia, Singapore, Brunei, Japan, China, Taiwan, Laos, Cambodia (Kampuchea), Vietnam, Korea, the Philippines, U.S. Trust Territory of the Pacific Islands (Republic of Palau), Republic of the Marshall Islands, Federated States of Micronesia, the Commonwealth of the Northern Mariana Islands, Guam, Samoa, Macao, Hong Kong, Fiji, Tonga, Kiribati, Tuvalu, or Nauru) and Subcontinent Asian Americans (persons with origins from India, Pakistan, Bangladesh, Sri Lanka, Bhutan, the Maldives Islands, or Nepal). (See 48 CFR 52.219-1.)

<sup>d</sup> "Native American" means American Indians, Eskimos, Aleuts, or Native Hawaiians. (See 48 CFR 52.219-1.)

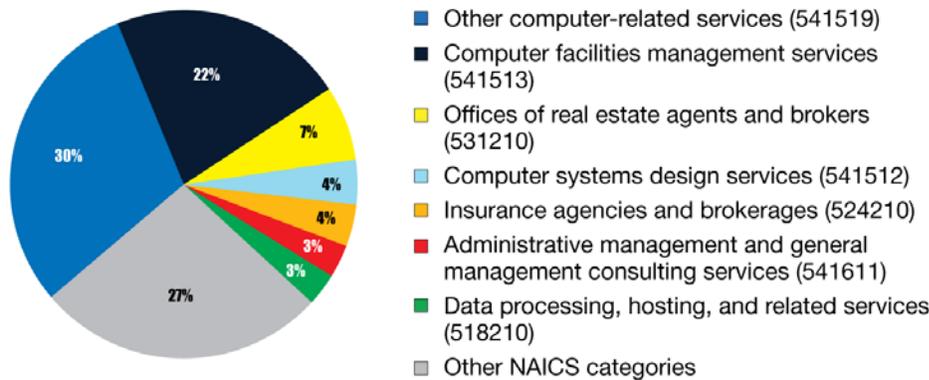
<sup>e</sup> "Other minority" means those businesses designating "minority-owned" but not designating Asian American, Black American, Hispanic American, or Native American. (See 48 CFR 52.219-1.)

## Appendix C: OCC Awards by Top Seven NAICS Codes, Four-Year Trend

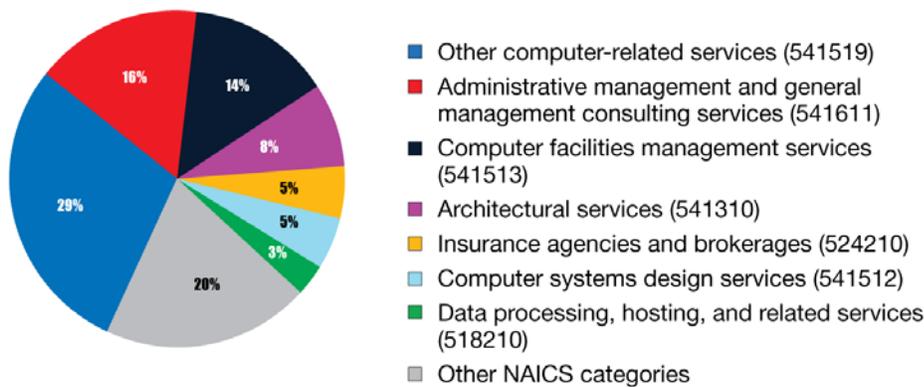
Fiscal Year 2014: \$151 Million in Total Awards, 77% in Top Seven NAICS



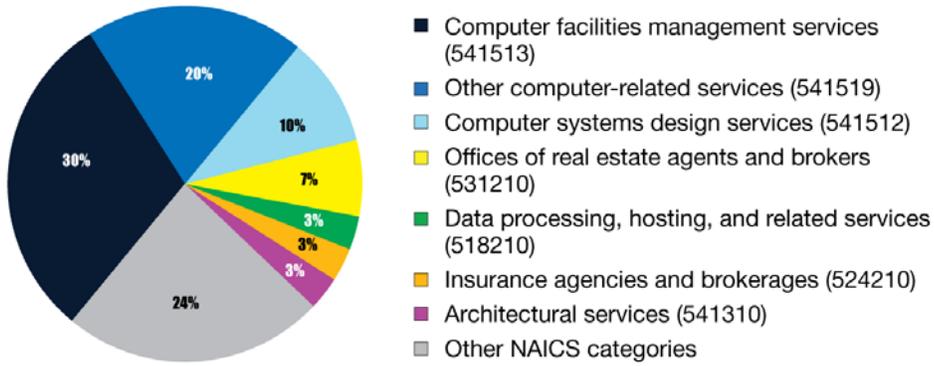
Fiscal Year 2013: \$154 Million in Total Awards, 73% in Top Seven NAICS



Fiscal Year 2012: \$118 Million in Total Awards, 80% in Top Seven NAICS



**Fiscal Year 2011: \$174 Million in Total Awards, 76% in Top Seven NAICS**



Source: FPDS-NG for fiscal years 2011 to 2014 (including fiscal year 2011 Office of Thrift Supervision data).

## **Appendix D: Technical Assistance to MWOBs, Fiscal Year 2014**

During fiscal year 2014, OMWI staff provided technical assistance to MWOBs at the following external events.

### **National Minority Supplier Diversity Conference, San Antonio, Texas**

October 28, 2013: exhibitor (conference attended by approximately 6,000)

### **National 8(a) Association Winter Conference, Orlando, Fla.**

February 10, 2014: matchmaking sessions with 11 businesses

### **Women's Business Enterprise Summit, New Orleans, La.**

March 18, 2014: matchmaking sessions with 13 businesses

### **Legislative Hispanic Summit Federal Procurement, Washington, D.C.**

March 26, 2014: matchmaking sessions with nine businesses

### **National Small Business Federal Contracting Week, Washington, D.C.**

March 27, 2014: matchmaking sessions with seven businesses

### **Annual Government Procurement Conference, Washington, D.C.**

April 16, 2014: exhibitor and matchmaking sessions with five businesses

### **Women Business Enterprise National Conference, Philadelphia, Pa.**

June 22, 2014: exhibitor and matchmaking sessions with seven businesses

### **Black Chamber of Commerce, Washington, D.C.**

July 10, 2014: OMWI Executive Director presented and OMWI staff engaged in matchmaking with three businesses

### **Federal Reserve Business Fair, Washington, D.C.**

July 16, 2014: OMWI Executive Director presented during panel discussion and OMWI staff exhibited at meeting with over 200 businesses attending the event

### **U.S. Women's Chamber of Commerce, Washington, D.C.**

July 24, 2014: matchmaking session with 12 businesses

### **Minority Enterprise Development Week, Washington, D.C.**

August 1, 2014: exhibitor and matchmaking with over 25 businesses

### **American Express Vendor Outreach Session, Washington, D.C.**

August 14, 2014: matchmaking with eight businesses

### **Elite Service Disabled Veteran-owned Small Business Conference, New York, N.Y.**

August 20, 2014: exhibitor and matchmaking with six businesses

## **Vendor Outreach Sessions for Small Businesses and MWOBs, Fiscal Year 2014**

During fiscal year 2014, OMWI staff provided technical assistance to small businesses, SDBs, WOSBs, service-disabled-veteran-owned small businesses, and HUBZone small businesses at the following vendor outreach sessions (VOS) hosted by the Treasury Department's Office of Small and Disadvantaged Business Utilization in Washington, D.C.

### **Treasury VOS**

November 6, 2013: matchmaking sessions with 13 businesses (nine MWOBs)

### **Treasury VOS**

January 8, 2014: matchmaking sessions with 12 businesses (nine MWOBs)

### **Treasury VOS**

March 6, 2014: matchmaking sessions with eight businesses (five WOBs and three MWOBs)

### **Treasury VOS**

May 7, 2014: matchmaking sessions with 11 businesses (nine MWOBs)

### **Treasury VOS**

June 4, 2014: matchmaking sessions with 10 businesses (five MWOBs)

### **Treasury VOS**

July 9, 2014: matchmaking sessions with 10 businesses (nine MWOBs)

**Appendix E: Business Participation by Demographic Groups in the OCC’s Top Seven NAICS Codes, Fiscal Year 2014**

NAICS Codes and Descriptions														
541519		541513		531210		524210		541990		518210		541512		
Other computer-related services		Computer facilities management services		Offices of real estate agents and brokers		Insurance agencies and brokerages		All other professional, scientific, and technical services		Data processing, hosting and related services		Computer systems design services		
<b>Total percentage of OCC awards in top seven NAICS<sup>a</sup></b>	33.0	21.1	7.7	4.9	4.4	3.1	2.8							
<b>Total number of businesses with OCC awards in top seven NAICS</b>	56	3	2	4	8	15	6							
Category	% Participating # businesses in NAICS	% OCC \$ awarded	% Participating # businesses in NAICS	% OCC \$ awarded	% Participating # businesses in NAICS	% OCC \$ awarded	% Participating # businesses in NAICS	% OCC \$ awarded	% Participating # businesses in NAICS	% OCC \$ awarded	% Participating # businesses in NAICS	% OCC \$ awarded	% Participating # businesses in NAICS	% OCC \$ awarded
Minority-owned	36.3	27.4	43.9	99.5 <sup>b</sup>	29.3	0.0	35.2	4.4	36.7	0.0	34.9	0.0	37.5	75.1 <sup>b</sup>
Women-owned	24.3	15.2	25.0	0.0	35.9	0.0	23.5	4.4	29.3	0.0	32.3	0.0	25.9	0.4
Asian American	13.4	11.0	15.0	99.5 <sup>b</sup>	3.9	0.0	13.5	0.0	3.3	0.0	8.2	0.0	13.2	7.2
Black American	15.1	1.1	19.2	0.0	16.1	0.0	14.1	4.4	25.8	0.0	18.6	0.0	15.7	60.8 <sup>b</sup>
Hispanic American	5.6	0.9	6.8	0.0	7.5	0.0	5.7	0.0	6.0	0.0	5.7	0.0	5.8	7.1 <sup>b</sup>
Native American	3.4	5.5 <sup>b</sup>	4.5	0.0	1.7	0.0	3.0	0.0	0.9	0.0	3.5	0.0	4.0	0.0
Other minority	1.2	9.0 <sup>b</sup>	1.4	0.0	1.7	0.0	1.2	0.0	2.4	0.0	1.1	0.0	1.4	0.0

Sources: System for Award Management for Official Use Only extract (as of 5/2013); FPDS-NG for fiscal year 2014 (as of October 31, 2014).

<sup>a</sup> Top seven NAICS codes represent 77 percent of the OCC’s fiscal year 2014 awards.

<sup>b</sup> The percentage of OCC awards for NAICS code exceeds percentage of the number of businesses participating in that particular NAICS code.

## Appendix F: Comparison of Awards to Small Businesses Versus Awards to Other Than Small Businesses, Fiscal Year 2014

Category	Total awards in dollars	Percentage of awards
<b>OCC-wide</b>	<b>\$ 151,483,399.54</b>	<b>100.0%</b>
<b>Small business</b>	<b>82,106,312.87</b>	<b>54.2%</b>
<b>Other than small business</b>	<b>69,377,086.67</b>	<b>45.8%</b>
<b>Minority or women-owned</b>	<b>60,570,022.31</b>	<b>40.0%</b>
Minority or women-owned small business	44,154,318.03	72.9%
Minority or women-owned other than small business	16,415,704.28	27.1%
<b>Woman-owned</b>	<b>13,960,757.76</b>	<b>9.2%</b>
Woman-owned small business	13,960,757.76	100.0%
Woman-owned other than small business	0.00	0.0%
<b>Minority-owned</b>	<b>53,832,964.01</b>	<b>35.5%</b>
Minority-owned small business	37,417,259.73	69.5%
Minority-owned other than small business	16,415,704.28	30.5%
<b>Black American-owned</b>	<b>6,198,682.57</b>	<b>4.1%</b>
Black American-owned small business	6,198,682.57	100.0%
Black American-owned other than small business	0.00	0.0%
<b>Hispanic American-owned</b>	<b>909,539.18</b>	<b>0.6%</b>
Hispanic American-owned small business	909,539.18	100.0%
Hispanic American-owned other than small business	0.00	0.0%
<b>Asian American-owned</b>	<b>39,282,118.11</b>	<b>25.9%</b>
Asian American-owned small business	22,866,413.83	58.2%
Asian American-owned other than small business	16,415,704.28	41.8%
<b>Native American-owned</b>	<b>2,849,651.77</b>	<b>1.9%</b>
Native American-owned small business	2,849,651.77	100.0%
Native American-owned other than small business	0.00	0.0%
<b>Other minority-owned</b>	<b>4,694,815.74</b>	<b>3.1%</b>
Other minority-owned small business	4,694,815.74	100.0%
Other minority-owned other than small business	0.00	0.0%

Source: FPDS-NG for fiscal year 2014.

**Appendix G: Changes From 2000 to 2010 in Civilian Labor Force**

	Male	Female	Asian male	Asian female	Black male	Black female	Hispanic male	Hispanic Female	Native Amer. male	Native Amer. female	Native Haw. male	Native Haw. female	2+ races male	2+ races female	White male	White female
2000 NCLF	53.2%	46.8%	1.9%	1.7%	4.8%	5.7%	6.2%	4.5%	0.3%	0.3%	0.1%	0.1%	0.8%	0.8%	39.0%	33.7%
2010 NCLF	51.9%	48.1%	2.0%	1.9%	5.5%	6.5%	5.2%	4.8%	0.5%	0.5%	0.1%	0.1%	0.3%	0.3%	38.3%	34.0%
Percentage point change	-1.3	+1.3	+0.1	+0.2	+0.7	+0.8	-1.0	+0.3	+0.2	+0.2	-	-	-0.5	-0.5	-0.7	+0.3
2000 examiner OCLF	57.6%	42.4%	1.9%	2.8%	4.5%	6.9%	2.2%	1.6%	0.3%	0.2%	0.0%	0.0%	0.3%	0.1%	48.3%	30.3%
2010 examiner OCLF	54.7%	45.3%	3.7%	4.0%	3.6%	8.7%	3.1%	3.7%	0.1%	0.3%	0.0%	0.0%	0.2%	0.3%	44.1%	28.3%
Percentage point change	-2.9	+2.9	+1.8	+1.2	-0.9%	+1.8	+0.9	+2.1	-0.2	+0.1	-	-	-0.1	+0.2	-4.2	-2.0
2000 attorney OCLF	71.3%	28.7%	1.2%	1.0%	2.0%	1.9%	2.3%	1.2%	0.1%	0.1%	0.0%	0.0%	0.3%	0.2%	65.2%	23.9%
2010 attorney OCLF	66.7%	33.3%	1.8%	1.8%	2.1%	2.6%	2.5%	1.8%	0.3%	0.2%	0.0%	0.0%	0.2%	0.2%	59.7%	26.7%
Percentage point change	-4.6	+4.6	+0.6	+0.8	+0.1	+0.7	+0.2	+0.6	+0.2	+0.1	-	-	-0.1	-	-5.5	+2.8
2000 economist OCLF	69.4%	30.6%	5.4%	3.7%	3.2%	2.4%	3.1%	2.0%	0.4%	0.1%	0.0%	0.0%	0.6%	0.4%	56.3%	21.6%
2010 economist OCLF	67.1%	32.9%	4.5%	3.1%	2.8%	2.7%	3.3%	1.8%	0.5%	0.1%	0.0%	0.1%	0.2%	0.0%	55.8%	25.2%
Percentage point change	-2.3	+2.3	-0.9	-0.6	-0.4	+0.3	+0.2	-0.2	+0.1	-	-	+0.1	-0.4	-0.4	-0.5	+3.6

Source: MD-715.

Note: Major changes from the 2000 NCLF include the following: most female groups increased, while few male groups decreased; Hispanics overall declined by 0.7 percentage points, but increased in the bank examiner (3.0 percentage points) and attorney (0.8 percentage points) OCLF categories; and female bank examiners increased by 2.9 percentage points.

**Appendix H: Workforce Profile, Four-Year Trend**

OCC workforce	Male	Female	Minority	Asian	Black	Hispanic	Native American	Native Hawaiian	2+races	White
FY 2011	53.9%	46.1% <sup>a</sup>	29.7%	6.0%	16.2%	5.6% <sup>a</sup>	0.8%	0.1% <sup>a</sup>	0.9% <sup>a</sup>	70.3% <sup>a</sup>
FY 2012	54.1%	45.9% <sup>a</sup>	30.5%	6.2%	16.0%	6.3% <sup>a</sup>	0.8%	0.2%	1.1% <sup>a</sup>	69.5% <sup>a</sup>
<b>2000 NCLF</b>	<b>53.2%</b>	<b>46.8%</b>	<b>27.3%</b>	<b>3.6%</b>	<b>10.5%</b>	<b>10.7%</b>	<b>0.6%</b>	<b>0.2%</b>	<b>1.6%</b>	<b>72.7%</b>
FY 2013	54.4%	45.6% <sup>a</sup>	32.1%	7.4%	16.7%	6.6% <sup>a</sup>	1.0%	0.1% <sup>a</sup>	0.3% <sup>a</sup>	67.9% <sup>a</sup>
FY 2014	54.9%	45.1% <sup>a</sup>	32.4%	7.7%	16.8%	6.6% <sup>a</sup>	0.9% <sup>a</sup>	0.1% <sup>a</sup>	0.3% <sup>a</sup>	67.6% <sup>a</sup>
<b>2010 NCLF</b>	<b>51.9%</b>	<b>48.1%</b>	<b>27.7%</b>	<b>3.9%</b>	<b>12.0%</b>	<b>10.0%</b>	<b>1.0%</b>	<b>0.2%</b>	<b>0.6%</b>	<b>72.3%</b>
<b>Percentage point change from FY 2011 to FY 2014</b>	+1.0	-1.0	+2.7	+1.7	+0.6	+1.0	+0.1	-	-0.6	-2.8

Source: MD-715 workforce data table as of October 4, 2014.

<sup>a</sup> EEO groups participating at rates below the 2010 and 2000 NCLF.

### Appendix I: OCC’s Workforce Profile as of October 4, 2014

Participation rates of EEO groups are in percentages.

	Total	Male	Female	Asian male	Asian female	Black male	Black female	Hispanic male	Hispanic female	Nat. Amer. male	Nat. Amer. female	Nat. Haw. male	Nat. Haw. female	2+ races male	2+ races female	White male	White female
OCC workforce	3,837	54.9	45.1 <sup>a</sup>	4.2	3.5	5.9	10.8	3.5 <sup>a</sup>	3.1 <sup>a</sup>	0.5	0.4 <sup>a</sup>	0.1	0.1	0.1 <sup>a</sup>	0.2 <sup>a</sup>	40.6	27.0 <sup>a</sup>
<b>2010 NCLF</b>		<b>51.9</b>	<b>48.1</b>	<b>2.0</b>	<b>1.9</b>	<b>5.5</b>	<b>6.5</b>	<b>5.2</b>	<b>4.8</b>	<b>0.5</b>	<b>0.5</b>	<b>0.1</b>	<b>0.1</b>	<b>0.3</b>	<b>0.3</b>	<b>38.3</b>	<b>34.0</b>
Examiner	2,544	61.5	38.5 <sup>a</sup>	3.1 <sup>a</sup>	2.7 <sup>a</sup>	5.2	6.6 <sup>a</sup>	3.8	2.4 <sup>a</sup>	0.6	0.4	0.0	0.1	0.1 <sup>a</sup>	0.2 <sup>a</sup>	48.7	26.2 <sup>a</sup>
<b>2010 examiner OCLF</b>		<b>54.7</b>	<b>45.3</b>	<b>3.7</b>	<b>4.0</b>	<b>3.6</b>	<b>8.7</b>	<b>3.1</b>	<b>3.7</b>	<b>0.1</b>	<b>0.3</b>	<b>0.0</b>	<b>0.0</b>	<b>0.2</b>	<b>0.3</b>	<b>44.1</b>	<b>28.3</b>
Attorney	184	53.8 <sup>a</sup>	46.2	2.7	3.8	2.2	2.7	4.9	2.7	0.5	0.0 <sup>a</sup>	0.0	0.0	0.0 <sup>a</sup>	0.0 <sup>a</sup>	43.5 <sup>a</sup>	37.0
<b>2010 attorney OCLF</b>		<b>66.7</b>	<b>33.3</b>	<b>1.8</b>	<b>1.8</b>	<b>2.1</b>	<b>2.6</b>	<b>2.5</b>	<b>1.8</b>	<b>0.3</b>	<b>0.2</b>	<b>0.0</b>	<b>0.0</b>	<b>0.2</b>	<b>0.2</b>	<b>59.7</b>	<b>26.7</b>
Economist	71	63.4 <sup>a</sup>	36.6	15.5	16.9	0.0 <sup>a</sup>	0.0 <sup>a</sup>	2.8 <sup>a</sup>	1.4 <sup>a</sup>	0.0 <sup>a</sup>	0.0 <sup>a</sup>	0.0	0.0 <sup>a</sup>	0.0 <sup>a</sup>	0.0	45.1 <sup>a</sup>	18.3 <sup>a</sup>
<b>2010 economist OCLF</b>		<b>67.1</b>	<b>32.9</b>	<b>4.5</b>	<b>3.1</b>	<b>2.8</b>	<b>2.7</b>	<b>3.3</b>	<b>1.8</b>	<b>0.5</b>	<b>0.1</b>	<b>0.0</b>	<b>0.1</b>	<b>0.2</b>	<b>0.0</b>	<b>55.8</b>	<b>25.2</b>
All other series	1,038	38.4 <sup>a</sup>	61.6	6.5	4.4	8.8	23.3	2.8 <sup>a</sup>	4.9	0.3 <sup>a</sup>	0.6	0.1	0.3	0.1 <sup>a</sup>	0.4	19.8 <sup>a</sup>	27.6 <sup>a</sup>
<b>2010 NCLF</b>		<b>51.9</b>	<b>48.1</b>	<b>2.0</b>	<b>1.9</b>	<b>5.5</b>	<b>6.5</b>	<b>5.2</b>	<b>4.8</b>	<b>0.5</b>	<b>0.5</b>	<b>0.1</b>	<b>0.1</b>	<b>0.3</b>	<b>0.3</b>	<b>38.3</b>	<b>34.0</b>

Source: MD-715 workforce data table as of October 4, 2014.

<sup>a</sup> EEO groups participating at rates below the 2010 NCLF and OCLF.

**Appendix J: OCC’s Fiscal Year 2014 EEO-1 Report (Occupational Categories Profile) Distribution by ERI and Gender: Permanent Employees**

Participation rates of EEO groups are in percentages.

Occupational categories	Non-Hispanic																	
	Total employees			Hispanic		White		Black		Asian		Native Hawaiian		Native American		2+ races		
	#	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
1a. Officials and managers executive/senior level (grade 15 and above)	#	273	175	98	6	9	148	69	11	14	10	5	0	1	0	0	0	0
	%	100.0	64.1	35.9	2.2	3.3	54.2	25.3	4.0	5.1	3.7	1.8	0.0	0.4	0.0	0.0	0.0	0.0
1b. Mid-level (grades 13-14)	#	180	86	94	5	9	65	70	8	12	8	2	0	0	0	1	0	0
	%	100.0	47.8	52.2	2.8	5.0	36.1	38.9	4.4	6.7	4.4	1.1	0.0	0.0	0.0	0.6	0.0	0.0
1d. Other	#	2,523	1,506	1,017	95	56	1,157	648	144	212	92	80	0	1	15	14	3	6
	%	100.0	59.7	40.3	3.8	2.2	45.9	25.9	5.7	8.4	3.7	3.2	0.0	0.0	0.6	0.5	0.1	0.2
1. Officials and managers total	#	2,976	1,767	1,209	106	74	1,370	787	163	238	110	87	0	2	15	15	3	6
	%	100.0	59.4	40.6	3.6	2.5	46.0	26.4	5.5	8.0	3.7	2.9	0.0	0.1	0.5	0.5	0.1	0.2
<b>Category CLF</b>		<b>100.0</b>	<b>56.1</b>	<b>43.9</b>	<b>3.7</b>	<b>3.4</b>	<b>45.7</b>	<b>32.7</b>	<b>3.7</b>	<b>5.1</b>	<b>2.2</b>	<b>1.9</b>	<b>0.1</b>	<b>0.1</b>	<b>0.4</b>	<b>0.4</b>	<b>0.2</b>	<b>0.2</b>
2. Professionals	#	554	305	249	25	17	177	136	47	56	51	38	1	0	3	2	1	0
	%	100.0	55.1	44.9	4.5	3.1	31.9	24.6	8.5	10.1	9.2	6.9	0.2	0.0	0.5	0.4	0.2	0.0
<b>Category CLF</b>		<b>100.0</b>	<b>45.3</b>	<b>54.7</b>	<b>2.7</b>	<b>3.4</b>	<b>36.0</b>	<b>41.4</b>	<b>3.1</b>	<b>5.5</b>	<b>3.1</b>	<b>3.4</b>	<b>0.0</b>	<b>0.0</b>	<b>0.3</b>	<b>0.5</b>	<b>0.2</b>	<b>0.2</b>
3. Technicians	#	1	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0
	%	100.0	100.0	0.0	0.0	0.0	33.3	0.0	100.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>Category CLF</b>		<b>100.0</b>	<b>36.8</b>	<b>63.2</b>	<b>3.4</b>	<b>4.7</b>	<b>26.9</b>	<b>45.3</b>	<b>3.6</b>	<b>9.2</b>	<b>2.3</b>	<b>2.9</b>	<b>0.1</b>	<b>0.1</b>	<b>0.4</b>	<b>0.6</b>	<b>0.2</b>	<b>0.4</b>
5. Administrative support workers	#	305	33	272	5	28	9	111	17	121	0	0	0	2	1	0	0	2
	%	100.0	10.8	89.2	1.6	9.2	3.0	36.4	5.6	39.7	0.0	0.0	0.0	0.7	0.3	0.0	0.0	0.7
<b>Category CLF</b>		<b>100.0</b>	<b>24.7</b>	<b>75.3</b>	<b>3.1</b>	<b>7.7</b>	<b>16.5</b>	<b>55.7</b>	<b>3.7</b>	<b>8.6</b>	<b>1.0</b>	<b>2.1</b>	<b>0.0</b>	<b>0.1</b>	<b>0.2</b>	<b>0.8</b>	<b>0.1</b>	<b>0.4</b>
8. Laborers and helpers	#	1	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0
	%	100.0	100.0	0.0	0.0	0.0	100.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0	0.0
<b>Category CLF</b>		<b>100.0</b>	<b>82.0</b>	<b>18.0</b>	<b>12.0</b>	<b>2.1</b>	<b>53.9</b>	<b>12.9</b>	<b>13.0</b>	<b>2.2</b>	<b>1.4</b>	<b>0.3</b>	<b>0.2</b>	<b>0.0</b>	<b>1.2</b>	<b>0.3</b>	<b>0.5</b>	<b>0.1</b>
Total workforce	#	3,837	2,107	1,730	136	119	1,557	1,034	228	415	162	133	1	4	19	17	4	8
	%	100.0	54.9	45.1	3.5	3.1	40.6	27.0	5.9	10.8	4.2	3.5	0.0	0.1	0.5	0.4	0.1	0.2

Source: MD-715 workforce data table as of October 4, 2014.

**Appendix K: Hispanic Female Profile by Occupation Positions, Four-Year Trend**

			FY 2011	FY 2012		FY 2013	FY 2014
<b>Bank examiner female</b>	Hires	<b>1.6% 2000 OCLF</b>	1.1% <sup>a</sup>	2.4%	<b>3.7% 2010 OCLF</b>	2.1% <sup>a</sup>	2.2% <sup>a</sup>
	Separations		3.4% <sup>b</sup>	2.0%		2.7% <sup>b</sup>	3.0% <sup>b</sup>
	OCC wrk. part. %		2.4%	2.5%		2.5% <sup>a</sup>	2.4% <sup>a</sup>
<b>Attorney female</b>	Hires	<b>1.2% 2000 OCLF</b>	14.3%	0.0% <sup>a</sup>	<b>1.8% 2010 OCLF</b>	0.0% <sup>a</sup>	0.0% <sup>a</sup>
	Separations		0.0%	0.0%		0.0%	0.0%
	OCC wrk. part. %		2.5%	2.4%		2.8%	2.7%
<b>Economist female</b>	Hires	<b>2.0% 2000 OCLF</b>	0.0% <sup>a</sup>	0.0% <sup>a</sup>	<b>1.8% 2010 OCLF</b>	0.0% <sup>a</sup>	0.0% <sup>a</sup>
	Separations		0.0%	0.0%		0.0%	0.0%
	OCC wrk. part. %		1.6% <sup>a</sup>	1.5% <sup>a</sup>		1.5% <sup>a</sup>	1.4% <sup>a</sup>
<b>All other series female</b>	Hires	<b>4.5% 2000 NCLF</b>	3.1% <sup>a</sup>	8.3%	<b>4.8% 2010 NCLF</b>	8.1%	1.4% <sup>a</sup>
	Separations		5.1% <sup>b</sup>	2.1%		6.5% <sup>b</sup>	1.4%
	OCC wrk. part. %		3.8% <sup>a</sup>	4.8%		5.1%	4.9%

Source: MD-715 workforce data table as of October 4, 2014.

<sup>a</sup> Hispanic female workforce participation and hiring rates below the relative 2000 and 2010 OCLF or NCLF.

<sup>b</sup> Hispanic female separation rate above their workforce participation rate.

**Appendix L: Hispanic Male Profile by Occupation Positions, Four-Year Trend**

			FY 2011	FY 2012		FY 2013	FY 2014
<b>Bank examiner male</b>	Hires	<b>2.2% 2000 OCLF</b>	2.3%	3.2%	<b>3.1% 2010 OCLF</b>	5.7%	5.2%
	Separations		2.0%	2.4%		2.1%	6.0% <sup>b</sup>
	OCC wrk. part. %		3.4%	3.5%		3.8%	3.8%
<b>Attorney male</b>	Hires	<b>2.3% 2000 OCLF</b>	0.0% <sup>a</sup>	14.3%	<b>2.5% 2010 OCLF</b>	0.0% <sup>a</sup>	20.0%
	Separations		0.0%	0.0%		0.0%	11.1% <sup>b</sup>
	OCC wrk. part. %		3.8%	4.7%		4.5%	4.9%
<b>Economist male</b>	Hires	<b>3.1% 2000 OCLF</b>	0.0% <sup>a</sup>	0.0% <sup>a</sup>	<b>3.3% 2010 OCLF</b>	20.0%	14.3%
	Separations		0.0%	0.0%		20.0% <sup>b</sup>	16.7% <sup>b</sup>
	OCC wrk. part. %		3.2%	3.0% <sup>a</sup>		2.9% <sup>a</sup>	2.8% <sup>a</sup>
<b>All other series male</b>	Hires	<b>6.2% 2000 NCLF</b>	0.0% <sup>a</sup>	6.3%	<b>5.2% 2010 NCLF</b>	2.4% <sup>a</sup>	4.1% <sup>a</sup>
	Separations		3.8% <sup>b</sup>	0.0%		0.0%	0.0%
	OCC wrk. part. %		1.2% <sup>a</sup>	2.2% <sup>a</sup>		2.3% <sup>a</sup>	2.8% <sup>a</sup>

Source: MD-715 workforce data table as of October 4, 2014.

<sup>a</sup> Hispanic male workforce participation and hiring rates below the relative 2000 and 2010 OCLF or NCLF.

<sup>b</sup> Hispanic male separation rate above their workforce participation rate.

## Appendix M: Employee Network Groups

The OCC supports the formation and operation of ENGs to

- allow employees to come together to discuss workplace issues of concern and recommend potential solutions.
- provide input to leadership on matters related to diversity in the workplace.
- promote discussion of views relating to the interests of the group that will contribute to enhanced employee engagement, effectiveness, and agency operations.
- provide leadership opportunities to the officers and members.

The OCC recognizes ENGs as a means of building a more productive and respectful work environment for employees. ENGs are groups of employees who form to address workplace issues that are common to members of that group. The ENGs are governed by a policy that addresses formation and purpose, roles and responsibilities, funding, and permissible and impermissible activities. Each ENG is required to have a mission statement, bylaws, and purposeful activities and programs. Each ENG has an Executive Committee sponsor who provides guidance, advocacy, and support for the group's activities and programs. The OMWI assists in the formation of new ENGs and provides guidance and support for the groups' activities and programs to ensure alignment with agency initiatives and objectives for a diverse, inclusive workforce.

The OCC greatly benefits from the input of its six ENGs: HOLA; TWN; the Network of Asian Pacific Americans (NAPA); the Coalition of African-American Regulatory Employees (CARE); PRIDE (the gay, lesbian, transgender, and bisexual employees' network group); and the newest group, Generational Crossroads (Crossroads), which launched in 2014. The Crossroads network group focuses on bringing generational awareness to the workplace by leveraging and providing support to the OCC's multigenerational workforce.

The ENGs provide their perspectives on diversity at the OCC and develop programs and activities to assist in the OCC's recruitment, career development, and retention efforts. All of the ENGs are active and integral components of the OCC's diversity initiatives. In fiscal year 2014, the membership in ENGs was approximately 1,635, or 42.6 percent of OCC employees.

**Appendix N: OCC Participation in Supervisor Positions by EEO Groups, Four-Year Trend**

	FY11		FY12		FY13		FY14		Supervisor participation percentage point change from FY 2013 to FY 2014
	OCC workforce participation	OCC supervisor participation							
Male	53.9%	65.2%	54.1%	63.9%	54.4%	62.6%	54.9%	60.9%	-1.7
Female	46.1%	34.8 <sup>a</sup>	45.9%	36.1 <sup>a</sup>	45.6%	37.4 <sup>a</sup>	45.1%	39.1 <sup>a</sup>	+1.7
Minority male	12.3%	10.0 <sup>a</sup>	12.8%	10.8 <sup>a</sup>	13.9%	11.9 <sup>a</sup>	14.3%	12.3 <sup>a</sup>	+0.4
Minority female	17.4%	8.9 <sup>a</sup>	17.7%	10.2 <sup>a</sup>	18.2%	12.0 <sup>a</sup>	18.1%	12.3 <sup>a</sup>	+0.3
Minority	29.7%	18.9 <sup>a</sup>	30.5%	21.0 <sup>a</sup>	32.1%	23.9 <sup>a</sup>	32.4%	24.6 <sup>a</sup>	+0.7
Asian male	3.0%	2.8 <sup>a</sup>	3.2%	2.6 <sup>a</sup>	3.9%	4.1%	4.2%	4.9%	+0.8
Asian female	3.0%	1.4 <sup>a</sup>	3.0%	1.6 <sup>a</sup>	3.5%	1.9 <sup>a</sup>	3.5%	2.2 <sup>a</sup>	+0.3
Black male	5.4%	5.9%	5.4%	5.8%	5.9%	5.1 <sup>a</sup>	5.9%	4.6 <sup>a</sup>	-0.5
Black female	10.8%	3.8 <sup>a</sup>	10.7%	4.8 <sup>a</sup>	10.8%	5.4 <sup>a</sup>	10.8%	5.9 <sup>a</sup>	+0.5
Hispanic male	2.9%	1.4 <sup>a</sup>	3.2%	1.9 <sup>a</sup>	3.4%	2.9 <sup>a</sup>	3.5%	2.8 <sup>a</sup>	-0.1
Hispanic female	2.8%	3.4%	3.1%	3.5%	3.2%	4.1%	3.1%	3.7%	-0.4
Native American male	0.5%	0.0 <sup>a</sup>	0.5%	0.0 <sup>a</sup>	0.6%	0.0 <sup>a</sup>	0.5%	0.0 <sup>a</sup>	-
Native American female	0.3%	0.3%	0.3%	0.3%	0.4%	0.3 <sup>a</sup>	0.4%	0.3 <sup>a</sup>	-
White	70.3%	81.1%	69.6%	79.0%	67.9%	76.5%	67.6%	75.4%	-1.1
White male	41.6%	55.2%	41.4%	53.2%	40.5%	51.3%	40.6%	48.6%	-2.7
White female	28.7%	25.9 <sup>a</sup>	28.2%	25.8 <sup>a</sup>	27.4%	25.2 <sup>a</sup>	27.0%	26.8 <sup>a</sup>	+1.6
<b>Total</b>	<b>3,560</b>	<b>290</b>	<b>3,678</b>	<b>310</b>	<b>3,919</b>	<b>313</b>	<b>3,837</b>	<b>325</b>	

Source: OCC HR Data Mart as of October 4, 2014.

<sup>a</sup> EEO groups participating at rates below their workforce participation rates.

### Appendix O: OCC Workforce Profile of NB-VI to NB-VII Feeder Grades and SLPs, Four-Year Trend

Participation rates of EEO groups are in percentages.

	OCC workforce participation				NB VI (equiv. GS-14)				NB VII (equiv. GS-15)				NB VIII-IX (equiv. SLP)				SLP percentage point change FY 2013 to FY 2014
	FY 2011	FY 2012	FY 2013	FY 2014	FY 2011	FY 2012	FY 2013	FY 2014	FY 2011	FY 2012	FY 2013	FY 2014	FY 2011	FY 2012	FY 2013	FY 2014	
Male	53.9	54.1	54.4	54.9	60.8	62.1	61.5	60.7	66.2	63.7	61.6	61.7	70.0	70.8	67.4	67.3	-0.1
Female	46.1	45.9	45.6	45.1	39.2 <sup>a</sup>	37.9 <sup>a</sup>	38.5 <sup>a</sup>	39.3 <sup>a</sup>	33.8 <sup>a</sup>	36.3 <sup>a</sup>	38.4 <sup>a</sup>	38.3 <sup>a</sup>	30.0 <sup>a</sup>	29.2 <sup>a</sup>	32.6 <sup>a</sup>	32.7 <sup>a</sup>	+0.1
Minority male	12.3	12.8	13.9	14.3	10.1 <sup>a</sup>	10.6 <sup>a</sup>	11.5 <sup>a</sup>	12.4 <sup>a</sup>	8.8 <sup>a</sup>	8.7 <sup>a</sup>	8.4 <sup>a</sup>	9.4 <sup>a</sup>	10.0 <sup>a</sup>	10.4 <sup>a</sup>	10.2 <sup>a</sup>	11.5 <sup>a</sup>	+1.3
Minority female	17.4	17.7	18.2	18.1	11.1 <sup>a</sup>	11.5 <sup>a</sup>	11.8 <sup>a</sup>	12.2 <sup>a</sup>	7.2 <sup>a</sup>	7.7 <sup>a</sup>	9.0 <sup>a</sup>	9.1 <sup>a</sup>	6.0 <sup>a</sup>	4.2 <sup>a</sup>	4.1 <sup>a</sup>	3.8 <sup>a</sup>	-0.3
Minority	29.7	30.5	32.1	32.4	21.2 <sup>a</sup>	22.2 <sup>a</sup>	23.3 <sup>a</sup>	24.6 <sup>a</sup>	16.0 <sup>a</sup>	16.4 <sup>a</sup>	17.4 <sup>a</sup>	18.5 <sup>a</sup>	16.0 <sup>a</sup>	14.6 <sup>a</sup>	14.2 <sup>a</sup>	15.3 <sup>a</sup>	+1.1
Asian male	3.0	3.2	3.9	3.5	3.0	3.2	3.8 <sup>a</sup>	4.0	3.6	3.5	3.5 <sup>a</sup>	4.6	0.0 <sup>a</sup>	0.0 <sup>a</sup>	0.0 <sup>a</sup>	1.9 <sup>a</sup>	+1.9
Asian female	3.0	3.0	3.5	4.2	3.4	3.5	4.1	4.4	1.0 <sup>a</sup>	1.3 <sup>a</sup>	1.6 <sup>a</sup>	1.6 <sup>a</sup>	2.0 <sup>a</sup>	0.0 <sup>a</sup>	0.0 <sup>a</sup>	0.0 <sup>a</sup>	-
Black male	5.4	5.4	5.9	5.9	4.3 <sup>a</sup>	4.3 <sup>a</sup>	4.3 <sup>a</sup>	4.7 <sup>a</sup>	3.9 <sup>a</sup>	3.9 <sup>a</sup>	2.9 <sup>a</sup>	2.9 <sup>a</sup>	8.0	8.3	8.2	7.7	-0.5
Black female	10.8	10.7	10.8	10.8	5.4 <sup>a</sup>	5.4 <sup>a</sup>	5.2 <sup>a</sup>	4.9 <sup>a</sup>	3.6 <sup>a</sup>	3.5 <sup>a</sup>	3.9 <sup>a</sup>	4.2 <sup>a</sup>	4.0 <sup>a</sup>	4.2 <sup>a</sup>	4.1 <sup>a</sup>	3.9 <sup>a</sup>	-0.2
Hispanic male	2.9	3.2	3.4	3.5	2.3 <sup>a</sup>	2.4 <sup>a</sup>	2.8 <sup>a</sup>	3.1 <sup>a</sup>	1.0 <sup>a</sup>	1.0 <sup>a</sup>	1.6 <sup>a</sup>	1.6 <sup>a</sup>	2.0 <sup>a</sup>	2.1 <sup>a</sup>	2.0 <sup>a</sup>	1.9 <sup>a</sup>	-0.1
Hispanic female	2.7	3.0	3.2	3.1	1.8 <sup>a</sup>	2.0 <sup>a</sup>	2.2 <sup>a</sup>	2.2 <sup>a</sup>	2.6 <sup>a</sup>	2.9 <sup>a</sup>	3.2	2.9 <sup>a</sup>	0.0 <sup>a</sup>	0.0 <sup>a</sup>	0.0 <sup>a</sup>	0.0 <sup>a</sup>	-
Nat. Amer. Male	0.5	0.5	0.6	0.5	0.5	0.4 <sup>a</sup>	0.5 <sup>a</sup>	0.5	0.3 <sup>a</sup>	0.3 <sup>a</sup>	0.3 <sup>a</sup>	0.3 <sup>a</sup>	0.0 <sup>a</sup>	0.0 <sup>a</sup>	0.0 <sup>a</sup>	0.0 <sup>a</sup>	-
Nat. Amer. female	0.3	0.3	0.4	0.4	0.3	0.4	0.3 <sup>a</sup>	0.5	0.0 <sup>a</sup>	0.0 <sup>a</sup>	0.0 <sup>a</sup>	0.0 <sup>a</sup>	0.0 <sup>a</sup>	0.0 <sup>a</sup>	0.0 <sup>a</sup>	0.0 <sup>a</sup>	-
White	70.3	69.5	67.9	67.6	78.8	77.8	76.7	75.4	84.0	83.6	82.5	81.5	84.0	85.4	85.7	84.7	-1.0
White male	41.6	41.3	40.5	40.6	50.7	51.4	50.0	48.3	57.4	55.0	53.2	52.3	60.0	60.4	57.1	55.8	-1.3
White female	28.7	28.2	27.4	27.0	28.1 <sup>a</sup>	26.4 <sup>a</sup>	26.7 <sup>a</sup>	27.1	26.6 <sup>a</sup>	28.6	29.3	29.2	24.0 <sup>a</sup>	25.0 <sup>a</sup>	28.6	28.9	+0.3
<b>Total</b>	<b>3,560</b>	<b>3,678</b>	<b>3,919</b>	<b>3,837</b>	<b>1,148</b>	<b>1,155</b>	<b>1,199</b>	<b>1,194</b>	<b>305</b>	<b>311</b>	<b>310</b>	<b>308</b>	<b>50</b>	<b>48</b>	<b>49</b>	<b>52</b>	

Source: OCC HR Data Mart as of October 4, 2014.

<sup>a</sup> EEO groups participating at rates below their workforce participation rates.

**Appendix P: Abbreviations**

<b>ALPFA</b>	Association of Latin Professionals in Finance and Accounting
<b>CARE</b>	Coalition of African-American Regulatory Employees
<b>Crossroads</b>	Generational Crossroads
<b>Dodd–Frank</b>	Dodd–Frank Wall Street Reform and Consumer Protection Act of 2010
<b>EEO-1</b>	EEOC’s Standard Form 100
<b>EEO</b>	equal employment opportunity
<b>EEOC</b>	Equal Employment Opportunity Commission
<b>ENG</b>	employee network group
<b>ERI</b>	ethnicity and race indicator
<b>FAR</b>	Federal Acquisition Regulation
<b>FEVS</b>	Federal Employee Viewpoint Survey
<b>FPDS–NG</b>	Federal Procurement Data System–Next Generation
<b>FTR</b>	Federal Thrift Regulator
<b>HC</b>	Human Capital
<b>HOLA</b>	Hispanic Organization for Leadership and Advancement
<b>HSI</b>	Hispanic-serving institution
<b>IT</b>	information technology
<b>LDAB</b>	Leadership Developmental Advisory Board
<b>OCC</b>	Office of the Comptroller of the Currency
<b>OFCCP</b>	Office of Federal Contract Compliance Programs
<b>OIG</b>	Office of Inspector General
<b>OMWI</b>	Office of Minority and Women Inclusion
<b>MOB</b>	minority-owned business
<b>MWOB</b>	minority-owned or women-owned business
<b>NAICS</b>	North American Industry Classification System
<b>NAPA</b>	Network of Asian Pacific Americans
<b>NBE</b>	national bank examiner
<b>NCLF</b>	national civilian labor force
<b>NDIP</b>	National Diversity Internship Program
<b>OCLF</b>	occupational civilian labor force
<b>SAM</b>	System for Award Management
<b>SBA</b>	U.S. Small Business Administration
<b>SDB</b>	small disadvantaged business
<b>Small ERI Group</b>	small ethnicity and race indicator groups
<b>SLP</b>	senior-level position
<b>TWN</b>	The Women’s Network
<b>UCE</b>	Uniform Commission Examination
<b>WOB</b>	women-owned business
<b>WOSB</b>	women-owned small business
<b>VOS</b>	vendor outreach session