
U.S. Securities and Exchange Commission

Office of Minority and Women Inclusion



Annual Report to Congress

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Disclaimer

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Introduction

The Office of Minority and Women and Inclusion (OMWI) was established within the U.S. Securities and Exchange Commission (SEC) pursuant to Section 342 of the Dodd-Frank Wall Street Reform and Consumer Protection Act of 2010 (the Dodd-Frank Act), and assigned responsibility for all matters related to diversity in the agency's management, employment, and business activities.

Section 342(e) of the Dodd-Frank Act requires OMWI to report annually to Congress on the actions the SEC and OMWI have taken to enhance diversity in the agency's workforce, promote the utilization of minority-owned and women-owned businesses in the agency's business activities, and implement other statutory requirements. The annual report must address the following subjects:

- The amounts paid to SEC contractors since the previous report;
- The percentage of the total amounts paid to SEC contractors that were minority-owned and women-owned businesses;
- The successes achieved and the challenges faced in operating minority and women outreach programs;
- Any challenges that were faced in hiring qualified minority and women employees, and contracting with qualified minority-owned and women-owned businesses; and
- Any other information, findings, conclusions or recommendations for legislative or agency action deemed appropriate by the Director of OMWI.¹

OMWI submits this Annual Report to fulfill its reporting obligations under Section 342(e) of the Dodd-Frank Act. The major sections in this report address the actions the SEC and OMWI have taken to execute the statutory responsibilities related to Workforce Diversity and Workplace Inclusion, Supplier Diversity, Regulated Entities, and Contractor Workforce Inclusion of Minorities and Women. Unless otherwise noted, this report covers the period October 1, 2014 to September 30, 2015.

¹ Section 342(g)(3) of the Dodd-Frank Act provides that the term "minority" has the same meaning as in section 1204(c) of the Financial Institutions Reform, Recovery, and Enforcement Act of 1989 (12 U.S.C. 1811 note), which defines the term to mean "Black American, Native American, Hispanic American, and Asian American." For purposes of this report, these demographic groups are identified by the categories for race and ethnicity that the Equal Employment Opportunity Commission (EEOC) adopted for the Federal Agency Annual EEO Program Status Report (EEO MD-715). The categories are: "Hispanic or Latino," "Black or African American," "Asian," "Native Hawaiian or Other Pacific Islander," "American Indian or Alaska Native," and "Two or More Races." These categories also are consistent with the minimum standards for maintaining, collecting and presenting data on race and ethnicity prescribed by the Office of Management and Budget. See Revised Standards for the Classification of Federal Data on Race and Ethnicity, 62 FR 58782 (October 30, 1997).

Organizational Overview

U.S. Securities and Exchange Commission

The U.S. Securities and Exchange Commission (the SEC or the agency) is a bi-partisan Commission consisting of five Commissioners appointed by the President and confirmed by the Senate. The President designates one Commissioner to serve as Chair. Mary Jo White is the current Chair of the Commission. The mission of the SEC is to protect investors, maintain fair, orderly and efficient markets, and facilitate capital formation. Accordingly, the agency's goals are to establish and maintain an effective regulatory environment, promote compliance with the Federal securities laws, facilitate access to information needed to make informed investment decisions, and enhance the agency's performance through effective management of human resources, information, and financial capital.

The SEC oversees more than 26,000 market participants, including broker-dealers, investment advisers, transfer agents, exchanges and others. The agency's functional responsibilities are carried out through five main divisions and 23 offices, each of which is headquartered in Washington, D.C. The SEC also has 11 regional offices located throughout the country.

The Office of Minority and Women Inclusion

In accordance with Section 342 of the Dodd-Frank Act,² the SEC established its Office of Minority and Women Inclusion in July 2011, and appointed its first OMWI Director in January 2012. The OMWI Director is a Senior Officer reporting directly to the Chair. Pamela A. Gibbs is the current director of OMWI, and as of the date of this report, OMWI has a staff of 11 permanent employees, including the director, deputy director, attorney adviser, and management and program analysts dedicated to the office's major functional areas—workforce diversity and supplier diversity.

OMWI is responsible for providing leadership and guidance for all of the SEC's diversity and inclusion efforts. Section 342 of the Dodd-Frank Act requires the OMWI Director to develop standards for ensuring equal employment opportunity and the racial, ethnic, and gender diversity of the workforce and senior management of the agency; increasing participation of minority-owned and women-owned businesses in the SEC's programs and contracts; and assessing the diversity policies and practices of entities regulated by the SEC.³ The OMWI Director is also required to advise the Commission on the impact of the SEC's policies and regulations on minority-owned and women-owned businesses.⁴

² Pub. L. No. 111-203, 124 Stat. 1376, July 11, 2010, codified as 12 U.S.C. § 5452.

³ See Section 342(b)(2)(A)-(C).

⁴ See Section 342(b)(3).

Further, Section 342 of the Dodd-Frank Act requires the OMWI Director to develop procurement procedures that include a written statement that a contractor shall ensure, to the maximum extent possible, the fair inclusion of women and minorities in the workforce of the contractor and, as applicable, subcontractors.⁵ As a result of this requirement, the OMWI Director is also required to establish standards and procedures for determining whether an agency contractor or subcontractor has failed to make a good faith effort to include minorities and women in its workforce.⁶

⁵ See Section 342(c)(2).

⁶ See Section 342(c)(3)(A).

Workforce Diversity and Workplace Inclusion

The SEC is firmly committed to attaining the workforce diversity goals and objectives established by Section 342 of the Dodd-Frank Act. The success of the SEC in achieving its mission—protecting investors, maintaining fair and orderly markets, and facilitating capital formation—is highly dependent on the agency’s ability to attract, hire, develop and retain a high-quality, diverse, and results-oriented workforce. For that reason, the SEC continuously strives to cultivate and maintain a work environment that connects each employee to the organization; encourages collaboration, flexibility, and fairness; and leverages diversity throughout the agency to enable all employees to contribute to their full potential.

All SEC divisions and offices play a critical role in fostering a work environment that ensures equal employment opportunity and promotes workforce diversity and inclusion. Three SEC offices have direct responsibilities for diversity management—OMWI, the Office of Equal Employment Opportunity (OEEO), and the Office of Human Resources (OHR). OMWI works closely with OEEO, OHR, and other partners to implement a comprehensive strategy for building and maintaining a high-performing, diverse workforce, and fostering an inclusive work environment.

The SEC Diversity Council is also actively involved in advancing the SEC’s strategic objective of building and sustaining a diverse and inclusive workforce. The Council was formed to advise the Commission on agency matters relating to diversity, including management, employment, and business activities. Commissioner Kara M. Stein serves as the chair of the Diversity Council and its 20 members include representatives from agency management, the National Treasury Employees Union (NTEU), and SEC-sponsored Employee Resource Groups. In addition, six of the 11 SEC Regional Offices have Diversity Committees that are leading efforts to promote diversity and inclusion in their respective workplaces.

The SEC’s strategy for attaining workforce diversity and inclusion objectives includes the following key components:

- Engaging in strategic outreach and recruitment;
- Conducting training for employees, supervisors, and managers in equal employment opportunity and diversity awareness;
- Incorporating diversity and inclusion as a performance standard for supervisors and managers;
- Monitoring and analyzing internal demographics to assess diversity at all levels of the agency’s workforce and identify areas of focus; and
- Evaluating the effectiveness of the agency’s efforts.

The discussion in this section of the annual report proceeds with a description of the actions taken under the key components of the SEC’s strategy for achieving workforce diversity and inclusion, followed by a description of the current state of diversity in the SEC workforce as of the end of FY 2015. The discussion then addresses student outreach initiatives and the work environment, and concludes with a description of the challenges and next steps.

Outreach and Recruitment

OMWI continued existing and introduced new initiatives in FY 2015 to enhance diversity and inclusion at all levels of the SEC workforce. As described in more detail below, OMWI has taken steps to evaluate the efficacy of its outreach and recruitment efforts. While OMWI is not able to precisely determine the impact of specific activities, the analysis of applicant flow data presented in Appendix A and discussed below indicates that outreach and recruitment efforts are effective in attracting diverse candidates from all segments of society for SEC vacancies.

Diversity Partnerships: Partnering with professional associations and educational organizations is an integral part of OMWI’s outreach and recruitment activities. In FY 2015, OMWI continued its collaborative relationships with 18 organizations, whose members are in professional occupations included in the SEC workforce, to help develop and maintain a pipeline of minority and women candidates for SEC careers. Appendix B contains a list of the partnering organizations. These partnering organizations have agreed to timely disseminate information received from OMWI about current SEC employment and internship opportunities; exchange information about best practices for advancing diversity and inclusion objectives; and continuously evaluate the current communication and engagement methods between the organization and the SEC.

The FY 2014 Annual Report indicated that OMWI would use the responses provided to an application question on the USAJOBS.gov website to measure the extent to which applications for SEC vacancies are attributable to the collaborative relationships with professional associations. Applicants applying for SEC vacancies through the USAJOBS.gov website are asked “How did you become aware of the vacancy?” and can check several options, including “Affiliation with a Professional or Diversity Association.” However, few applicants respond to the question and those that do typically check only the first option—“USAJOBS.” As a result, the responses to the application question could not be used to assess the impact of partnerships.

OMWI, however, has received a few anecdotal reports about new hires who applied for positions at the SEC as a direct result of receiving vacancy announcements from a partnering organization. These reports suggest that the collaborative relationships with professional associations are working as intended; they are connecting qualified candidates to SEC employment opportunities. Accordingly, OMWI intends to explore the feasibility of asking all new hires during the onboarding process how they learned about the job vacancy, and list “affiliation with a minority, women, or other diverse professional association” as the first option.

Diversity Champions: OMWI involves SEC employees in outreach and recruitment in pursuit of the agency's workforce diversity objectives. SEC employees serve as speakers and panelists at conferences and other events hosted by partnering organizations, and represent the SEC at career fairs. They help to promote the SEC as an employer of choice by providing information on a wide-variety of topics, including the specialized skills and experience needed for employment at the SEC and the career paths available to employees who join the agency. Employees who assist with outreach and recruitment are recognized as Champions for Diversity. In FY 2015, over 250 employees (75 percent increase from FY 2014) participated in 69 diversity outreach and recruitment events nationwide. A list of the FY 2015 outreach and recruitment events is provided in Appendix C.

Employment Advertising and Social Media: OMWI uses employment advertising and social media to attract diverse applicants for SEC vacancies. In FY 2015, OMWI advertised employment vacancies on 200 job boards oriented toward minorities and women. OMWI has collected data showing that SEC vacancy announcements posted to job boards received nearly 100,000 views. OMWI is currently developing measurement models to determine the effect of its marketing strategy on the diversity and size of applicant pools.

The SEC also has expanded its use of social media for outreach to attract diverse candidates for SEC employment opportunities, adding approximately 21,000 Twitter, 26,000 Facebook and 21,000 LinkedIn followers, and 7,000 YouTube viewers. This communication strategy helps the SEC target a diverse pool of candidates who may not search for employment opportunities through traditional means.

New Outreach Initiatives: In FY 2015, the SEC conducted two new outreach events that show promise.

- **New York Hiring Event with On-site Interviews:** An Open House and Hiring Event was held in the SEC's New York Regional Office for security compliance examiner, accountant, and attorney positions. OMWI engaged in strategic outreach to attract diverse candidates to the event. In addition to sending vacancy announcements and information about the hiring event to partnering organizations and other professional associations, OMWI promoted the vacancies and event with minority and women serving educational institutions and their alumni organizations. Over 100 potential candidates attended the Open House to hear a panel discussion describing different career fields, and speak with individual SEC representatives from the Office of Compliance, Inspection and Examination (OCIE), Division of Enforcement, and OHR about career opportunities and benefits at the SEC. In addition, 36 candidates in attendance interviewed with panels for 20 vacancies. Of those interviewed, OCIE hired 14 as security compliance examiners; six are minorities and nine are women. The collaborative effort of OCIE, OHR and OMWI contributed to the success of the event.

In addition to the Open House and Hiring Event, other actions taken to attract diverse candidates for 91 new security compliance examiner positions in OCIE included hosting a webinar to promote the new positions and using a comprehensive advertising plan. The data shows that of the 73 new employees hired by OCIE as of the end of FY 2015, 34 (47 percent) are minorities and 28 (38 percent) are women.

- **Outreach to Native Hawaiian and Pacific Islander Students and Professionals:** The SEC has been concerned about the existing low participation rate of Native Hawaiian and Pacific Islanders in the agency's workforce. In FY 2015, OMWI joined with SEC staff in the Pacific Region in conducting a targeted outreach event in Honolulu, HI. SEC staff met with more than 120 students at the University of Hawaii and informed them about the Commission's internship and employment opportunities. In addition, OMWI explored collaborative relationships with 10 different professional associations and educational institutions in Hawaii. Notably, the outreach efforts yielded information about cultural norms that the SEC will consider as the agency develops a strategy to improve the representation of Native Hawaiian and Pacific Islander employees in the agency's workforce.

Diversity Training

The SEC offers a variety of training opportunities as part of the agency's strategy for building a diverse workforce and cultivating an inclusive work environment.

As part of the agency's Leading Author Series, the SEC hosted Katty Kay and Claire Shipman, authors of *The Confidence Code: The Science and Art of Self-Assurance – What Women Should Know*. This event was held at headquarters with video-teleconferencing capabilities provided to Regional Office employees. Over 200 SEC employees attended the session. The *Confidence Code* authors tapped into cutting-edge scientific and academic research to answer some intriguing questions about the quality called "confidence."

The SEC and the Diversity Council offered a training session for all employees entitled "Why Do We Make the Decisions We Make? The Neuroscience of Decision Making in the SEC: How the Brain Makes Accurate, Equitable, and Efficient Decisions." The presenter, Kimberly Papillon, a judicial professor at the National Judicial College, explored the drivers of employment decisions in an interactive presentation that attracted over 300 participants.

The SEC sponsored five employees for the Women in Leadership Program in FY 2015. The Women in Leadership Program is an external developmental program conducted by the Brookings Institution. Women from across Federal agencies learn how to strengthen leadership qualities and explore key elements of senior leadership success.

During FY 2015, the SEC also provided diversity and inclusion training on the following topics:

- Diversity and Inclusion Overview - Focus Group

- Climate Culture Change
- Unconscious/Implicit Bias
- Hiring Best Practices: EEO and Diversity Perspectives
- Overview of Supplier Diversity

Diversity and Inclusion Performance Standard

All SEC supervisors and managers share responsibility for the success of the agency's initiatives to promote workforce diversity and workplace inclusion. The SEC includes a Diversity and Inclusion performance standard in the performance management plans of all supervisors and managers at the SK-15 and SK-17 grades levels. Under the performance standard, a 5-point rating scale is used to evaluate their efforts to support diversity and inclusion in a manner consistent with the agency's strategic goals, Federal standards, and the requirements of Section 342 of the Dodd-Frank Act.

The Diversity and Inclusion performance standard provides descriptions of the actions a supervisor or manager might take to demonstrate performance that "Meets" and "Greatly Exceeds" expectations. Analysis of the data for FY 2015 shows that a total of 663 supervisors and managers were rated on the diversity and inclusion competency standard with the following results:

- 75 (11.3 percent) were rated as greatly exceeded expectations
- 304 (45.9 percent) were rated as exceed expectations
- 279 (42.1 percent) were rated as meet expectations
- 5 (0.7 percent) were rated as needs improvement
- No manager was rated as unacceptable

In FY 2016, OMWI will attempt to correlate the performance ratings on the Diversity and Inclusion performance standard against the Federal Employee Viewpoint Survey (FEVS) scores to identify organizational inclusion trends.

Monitoring and Analyzing Internal Demographics

Quarterly Workforce Diversity Profiles: OMWI works closely with division and office directors to enhance diversity and inclusion in the SEC workforce. In FY 2015, OMWI began creating for each of the SEC's 38 divisions and offices quarterly workforce demographic profiles that track personnel activity (e.g., hiring, promotions, and separations) by gender, race, and ethnicity. In addition to monitoring and providing this personnel activity data on a quarterly basis and when requested by a division or office, OMWI encourages senior management to work with

OMWI to develop targeted strategies to address lower than expected representation of minorities or women in a mission critical occupation. Since it began publishing the profiles, OMWI has received more requests for assistance for strategic outreach and recruitment from divisions and offices.

Evaluating Performance

Performance Measurement: The SEC’s Office of Inspector General (OIG) report entitled *Audit of the Representation of Minorities and Women in the SEC’s Workforce*, Report No. 528 (Nov. 20, 2014) found that OMWI did not have in place the controls necessary to monitor, evaluate, and as necessary, improve its operations. To address this OIG finding and resulting recommendation, OMWI developed a “Guide to Performance Measurements and Evaluation Methods” (Performance Guide), which describes the systematic and comprehensive methods OMWI will use to monitor and evaluate the effectiveness of its programmatic efforts. The Performance Guide addresses the efforts related to workforce diversity in three key performance areas: Outreach and Recruitment, Cultivating and Maintaining an Inclusive Work Environment, and Leadership Commitment. To enhance the monitoring process, OMWI has developed performance dashboards that visually depict some of the key metrics such as the representation of minorities and women among new hires, promotions, separations, and senior management.

Applicant Data Analysis: As indicated in last year’s annual report, in FY 2014 the Office of Personnel Management (OPM) made available applicant flow data for SEC vacancies filled through the USAJOBS.gov website. During FY 2015, OMWI analyzed available data for gender, race, and ethnicity obtained from applicants who voluntarily self-identified demographic characteristics to determine the diversity in the applicant pools for accountant, attorney, economist and securities compliance examiner vacancies. These occupations have been the focus of OMWI’s outreach and recruitment efforts.

The analysis of applicant flow data, which is set forth in Appendix A, shows that, for all minority groups except Native Hawaiian or Other Pacific Islander, the group’s application rate for SEC vacancies in the four occupations was higher than the group’s availability percentage in the same occupations in the Civilian Labor Force (CLF).⁷ The analysis indicates that women applied for SEC vacancies in the four occupations at rates that were lower than their CLF availability for these occupations. However, the analysis also shows that the overall selection rate for women applicants in all occupations was 1.7 percent, which was higher than the average selection rate for all SEC applicants of 1.6 percent. See Appendix A, Figure A-5. Although not a precise measure of the impact of the SEC outreach and recruitment efforts, the analysis of applicant flow data provides some measure of the effectiveness of those efforts and can be used to identify areas for strategic outreach.

⁷ CLF consists of all people, 16 years of age or over, excluding those in Armed Forces, who are employed or seeking employment in all U.S. occupations.

Current State of Diversity

This section presents statistical data and four-year trend analysis regarding the SEC workforce representation of minorities and women. Unless otherwise noted, data is reported for permanent and temporary employees. FY 2012 is used as the first date for the snapshots in the trend analysis as it was OMWI's first full fiscal year of operation at the SEC. In addition, certain data and analysis below cover only four of the SEC's designated "mission critical occupations"—accountant, attorney, economist, and securities compliance examiner. As explained in the subsection below concerning "Mission Critical Occupations," while IT management is also designated as a mission critical occupation, the representation of minorities and women in IT management has been above or close to the relevant benchmarks and therefore has not been an area of focus.

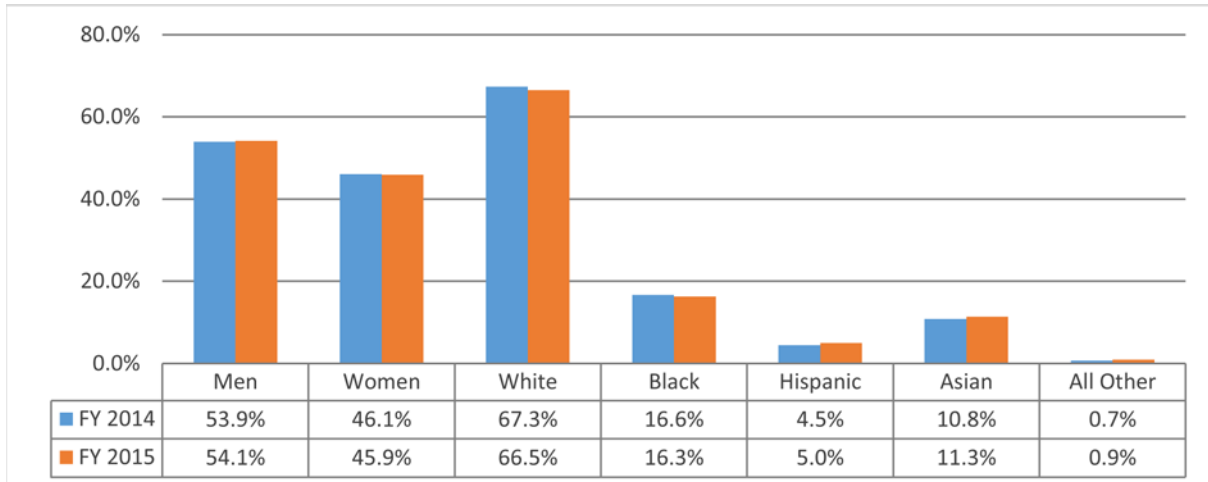
The SEC has made progress from its efforts to seek gender, racial, and ethnic diversity at all levels of the agency's workforce, as directed in Section 342 of the Dodd-Frank Act. The demographic data and four-year trend analysis reveal, among other findings, that since FY 2012:

- The minority representation in the SEC workforce has increased;
- The representation of women and all minority groups among supervisors and managers positions has increased;
- The overall minority representation in mission critical occupations has increased; and
- The representation of women at the Senior Officer level has increased.

The data and analysis also show that the SEC workforce representation of women and specific minority groups in certain mission critical occupations is lower than the CLF and Federal workforce benchmarks, and that the representation of minorities at the Senior Officer level is still lower than expected when compared to their representation in the SEC workforce. The SEC will continue to make concerted efforts to improve the gender, racial, and ethnic diversity in these occupations and in senior management. In addition, the agency is taking appropriate measures to identify factors that might be contributing to the slower pace of improvement in this area.

FY 2015 Workforce Profile: As of the end of FY 2015, the SEC workforce had 4,440 employees (4,310 permanent employees and 130 temporary employees). Nearly two-thirds of SEC employees worked at the agency's headquarters in Washington, D.C., and one-third worked in 11 regional offices. The changes in the composition of the SEC workforce by gender, race, and ethnicity from FY 2014 to FY 2015 were negligible. As Figure 1 illustrates, 66.5 percent of SEC employees self-identified as White, 16.3 percent as Black or African American, 11.3 percent as Asian, 5.0 percent as Hispanic or Latino, 0.4 percent as American Indian or Alaska Native, 0.4 percent as Native Hawaiian or Other Pacific Islander, and 0.1 percent as Two or More Races. Men comprised 54.1 percent and women comprised 45.9 percent of the SEC workforce at the end of FY 2015. The representation of women in the SEC workforce decreased slightly by two-tenths of one percentage point compared to FY 2014. The representation of

Figure 1: Workforce Representation by Gender, Race, and Ethnicity FY 2014 – FY 2015



Source: Federal Personnel and Payroll System (FPPS) retrieved on November 9, 2015. “All Other Categories” includes the Native Hawaiian or Other Pacific Islander, American Indian or Alaska Native, and Two or More Races categories.

Asian and Hispanic or Latino employees increased incrementally by 0.5 percentage point, while the representation of Black or African American employees decreased slightly by 0.3 percentage point.

From FY 2012 to FY 2015, the overall SEC workforce grew at a rate of 12.6 percent. Figure 2 shows that during the same period, the percentage of minority employees in the SEC workforce grew nearly 20 percent.

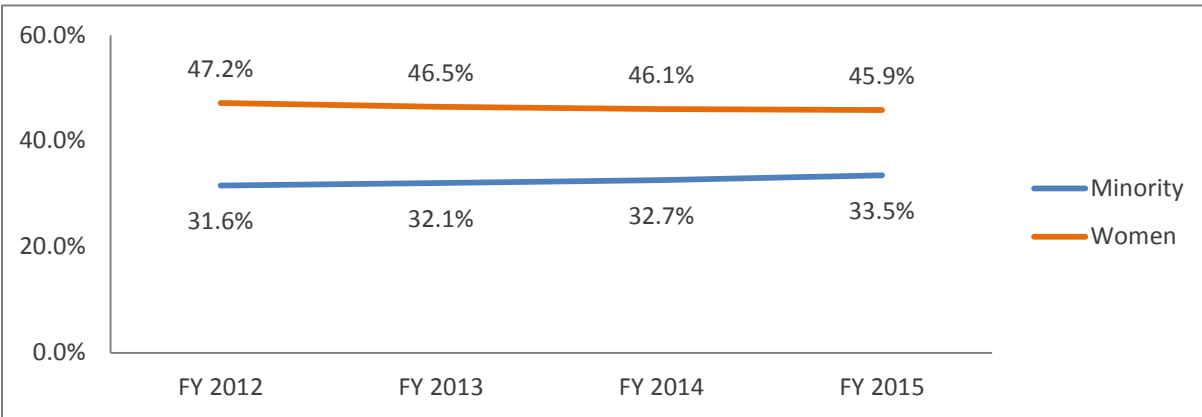
Figure 2: SEC Workforce Percent Change by Gender and Minority FY 2012 – FY 2015

	SEC Total	Men	Women	White	Minority
FY 2012	3,942	2,081	1,861	2,696	1,246
FY 2013	4,138	2,215	1,923	2,809	1,329
FY 2014	4,235	2,284	1,951	2,852	1,383
FY 2015	4,440	2,402	2,038	2,951	1,489
Percent Change (FY 2012 – FY 2015)	12.6%	15.4%	9.5%	9.5%	19.5%

Source: FPPS retrieved on November 9, 2015.

The four-year trend analysis depicted in Figure 3 demonstrates that from one year to the next, the representation of minorities increased in the SEC workforce, while the representation of women decreased.

Figure 3: Women and Minority Representation FY 2012 – FY 2015



Source: FPPS retrieved on November 9, 2015.

Benchmark Comparisons: Figure 4 shows how the overall demographic composition of the SEC workforce (gender, race, and ethnicity) compared to the demographic composition of the CLF and the Federal workforce. The comparisons against these standard benchmarks provide perspective for evaluating diversity in the SEC workforce.

In FY 2015, the SEC workforce had a higher representation of women than the Federal workforce by nearly four percentage points. However, the SEC’s end of year representation of women was only 95.4 percent of the 2010 CLF level. Minorities collectively represented 33.5 percent of the SEC workforce in FY 2015, which was 21 percent higher than the CLF (27.6 percent), and about 5 percent lower than the FY 2015 Federal workforce representation of minorities (35.3 percent). The SEC workforce had greater percentages of Black or African American (16.3 percent) and Hispanic or Latino employees (5.0 percent) than the CLF, but lower percentages of these groups than the Federal Workforce. The representation of Asian employees surpassed both benchmarks.

Figure 4: FY 2015 SEC Workforce Compared to CLF and Federal Workforce Benchmarks

Demographic Groups	SEC FY 2015 Workforce	FY 2015 Federal Workforce	2010 Civilian Labor Force
Men	54.1%	57.8%	51.9%
Women	45.9%	42.2%	48.1%
Minorities	33.5%	35.3%	27.6%
White	66.5%	64.6%	72.4%
Black or African American	16.3%	17.7%	12.0%
Hispanic or Latino	5.0%	8.4%	10.0%
Asian	11.3%	5.7%	3.9%
American Indian or Alaska Native	0.4%	1.7%	1.1%
Native Hawaiian or Other Pacific Islander	0.4%	0.5%	0.1%
Two or More Races	0.1%	1.3%	0.5%

Source: FPPS retrieved on November 9, 2015. Federal workforce data from the Office of Personnel Management and CLF data from Census retrieved on January 4, 2016.

Workforce Analysis by Occupation: Analysis of the SEC workforce by occupation, gender, race, and ethnicity shows the agency’s progress toward attaining diversity at all levels of the workforce. At the end of FY 2015, the SEC employed 4,440 individuals in over 50 occupations. (See Appendix D for the composition of the occupations by gender, race, and ethnicity.) Figure 5 shows the percentage of each demographic group in the 10 most prevalent occupations in the SEC workforce. The data illustrates discernable gender and racial differences in employment patterns.

Figure 5: Top 10 Occupations by Gender, Race, and Ethnicity FY 2015

	SEC Average	Men	Women	White	Black	Hispanic	Asian	NHPI	AIAN	TOM
0905 General Attorney	41.8%	43.9%	39.3%	49.9%	18.0%	31.8%	34.3%	40.0%	27.8%	15.8%
0510 Accounting	21.7%	23.1%	20.2%	23.4%	11.4%	26.5%	25.3%	0.0%	16.7%	10.5%
2210 Information Technology Management	6.3%	8.5%	3.6%	4.2%	9.3%	9.0%	12.0%	20.0%	27.8%	10.5%
0301 Miscellaneous Administration and Program	5.5%	2.7%	8.7%	2.9%	16.8%	8.5%	2.2%	40.0%	0.0%	15.8%
1831 Securities Compliance Examining	5.0%	6.6%	3.1%	5.3%	2.5%	4.9%	7.2%	0.0%	0.0%	5.3%
0343 Management and Program Analysis	2.9%	1.7%	4.3%	1.9%	7.9%	2.7%	1.2%	0.0%	5.6%	15.8%
0110 Economist	2.5%	3.0%	1.9%	2.5%	0.4%	1.8%	6.0%	0.0%	5.6%	0.0%
0950 Paralegal Specialist	2.0%	0.5%	3.8%	1.5%	4.0%	3.6%	1.4%	0.0%	5.6%	5.3%
0201 Human Resources Management	1.3%	0.6%	2.1%	0.7%	3.7%	1.3%	0.6%	0.0%	5.6%	0.0%
1102 Contracting	1.2%	1.0%	1.3%	0.7%	2.6%	1.8%	1.0%	0.0%	5.6%	5.3%

Source: FPPS retrieved on November 9, 2015. NHPI = Native Hawaiian/Pacific Islander; AIAN = American Indian/Alaska Native, and TOM = Two or More Races. Mission critical occupations are highlighted in red.

The most prevalent occupation in the SEC workforce is attorney; about 42 percent of all SEC employees are employed as attorneys. Attorney is also the most prevalent occupation for all racial and ethnic groups, though there are differences in the degree of prevalence. Nearly 50 percent of White, 34.3 percent of Asian, 31.8 percent of Hispanic or Latino, and 18.0 percent of Black or African American employees work as attorneys. The second most prevalent occupation for White employees is accountant, followed by securities compliance examiner. Occupational rankings for Hispanic or Latino and Asian employees are similar; accountant is the second most prevalent occupation for these two groups, followed by IT management. For Black or African American employees, the 0301 occupational series, miscellaneous administration and program series, is the second most prevalent occupation, followed by accountant.

The top 10 occupations by gender showed that attorney is the most prevalent occupation for men and women, followed by accountant. IT management is the third most prevalent occupation for men, while the third most prevalent occupation for women is the 0301 occupational series.

Mission Critical Occupations: Figure 6 shows how the FY 2015 SEC workforce representation of minorities and women in four mission critical occupations compared to the availability of minorities and women in these occupations in the CLF. The statistical data presented indicate that the SEC’s outreach and recruitment activities should continue to focus on

Figure 6: FY 2015 SEC Workforce Mission Critical Occupations Compared to CLF

		Men	Women	White	Black	Hispanic	Asian	NHPI	AIAN	TOM
General Attorney	SEC Workforce	56.9%	43.1%	79.4%	7.0%	3.8%	9.3%	0.1%	0.3%	0.2%
	Occupational CLF	66.7%	33.3%	86.4%	4.7%	4.4%	3.6%	0.0%	0.5%	0.4%
Accounting	SEC Workforce	57.4%	42.6%	71.7%	8.5%	6.1%	13.2%	0.0%	0.3%	0.2%
	Occupational CLF	39.9%	60.1%	76.0%	8.1%	6.1%	8.6%	0.1%	0.6%	0.5%
Securities Examining	SEC Workforce	71.6%	28.4%	70.3%	8.1%	5.0%	16.2%	0.0%	0.0%	0.5%
	Occupational CLF	54.7%	45.3%	72.4%	12.3%	6.7%	7.7%	0.0%	0.4%	0.5%
Economist	SEC Workforce	65.2%	34.8%	66.1%	2.7%	3.6%	26.8%	0.0%	0.9%	0.0%
	Occupational CLF	67.1%	32.9%	81.0%	5.5%	5.2%	7.5%	0.1%	0.6%	0.2%

Source: FPPS retrieved on November 9, 2015. CLF data retrieved from U.S. Census on January 4, 2016. NHPI = Native Hawaiian/Pacific Islander; AIAN = American Indian/Alaska Native, and TOM = Two or More Races.

enhancing diversity in these four occupations.⁸ The SEC workforce representation of women in the accountant and securities compliance examiner occupations was below the CLF representation of women in these occupations. The representation of Hispanic or Latino employees in all mission critical occupations except accountant was lower in the SEC workforce than in the CLF. Black or African American representation in securities compliance examiner and economist occupations was lower in the SEC workforce than in the CLF.

Figure 7 depicts employees in mission critical occupations by gender, race, and ethnicity for each fiscal year since FY 2012. The four-year trend analysis indicates the total minority representation in mission critical occupations increased to 24.1 percent in FY 2015 from 22.5 percent in FY 2012. The representation of Asian employees in mission critical occupations

Figure 7: Mission Critical Occupations FY 2012 – FY 2015

	Total	Men	Women	White	Black	Hispanic	Asian	NHPI	AIAN	TOM
FY 2012	2,870	1,675	1,195	2,224	216	118	301	1	8	2
	100%	58.40%	41.60%	77.50%	7.50%	4.10%	10.50%	0.00%	0.30%	0.10%
FY 2013	2,972	1,743	1,229	2,305	225	117	312	2	9	2
	100%	58.60%	41.40%	77.60%	7.60%	3.90%	10.50%	0.10%	0.30%	0.10%
FY 2014	3,001	1,760	1,241	2,309	221	123	334	2	9	3
	100%	58.60%	41.40%	76.90%	7.40%	4.10%	11.10%	0.10%	0.30%	0.10%
FY 2015	3,154	1,841	1,313	2,394	233	145	365	2	9	6
	100%	58.4%	41.6%	75.9%	7.4%	4.6%	11.6%	0.1%	0.3%	0.2%
Percent Change	9.9%	9.9%	9.9%	7.6%	7.9%	22.9%	21.3%	100.0%	12.5%	200.0%

Source: FPPS retrieved November 9, 2015. NHPI = Native Hawaiian/Pacific Islander; AIAN = American Indian/Alaska Native, and TOM = Two or More Races.

⁸ As shown in Appendix D, the SEC workforce representation of minorities collectively in IT management (55.6 percent) exceeds the collective representation of minorities in the overall SEC workforce (33.5 percent). In addition, the percentage of minorities in the IT management occupation also exceeds the CLF representational percentage for minorities in IT management (26.9 percent). The representation of women in IT management is below the representation of women in the overall SEC workforce, and 3 percentage points lower than the CLF representation of women in this occupation (29.6 percent). The SEC will begin to direct efforts at enhancing gender diversity in this occupation.

increased over this four-year period, as did the representation of Hispanic or Latino employees. The representation of Black or African American employees in mission critical occupations decreased slightly from FY 2012 to FY 2015. The percentage of women in mission critical occupations varied slightly during the four-year period, and the percentage at the end of FY 2015 was the same as it was in FY 2012.

Supervisors and Managers: Generally, SEC employees at grade levels SK-15 (e.g., branch chiefs), SK-17 (e.g., assistant directors), and Senior Officers (e.g., associate directors, deputy directors, and directors) serve in supervisory and management positions. Senior Officers, the highest-ranking employees at the SEC, are equivalent to Senior Executive Service personnel at other Federal agencies. During FY 2015, the SEC employed 862 supervisors and managers in its workforce.⁹ Of this total, 835 supervisors and managers held positions at grade levels SK-15, SK-17, and Senior Officer.

Figure 8 shows the number and percentage of SEC supervisors and managers by gender, race, and ethnicity since FY 2012. The number of women in supervisory and management positions increased in each fiscal year since FY 2012, and the percentage of supervisory and management positions held by women increased in FY 2015, compared to FY 2014 levels.

In each fiscal year since FY 2012, the number of minorities in supervisory and management positions in the SEC workforce increased overall. The percentage of supervisory and management positions held by minorities increased from FY 2012 to FY 2015. As of the end of FY 2015, minorities held 22.2 percent of supervisory and management positions at the SEC, up from 21.6 percent in FY 2014. By comparison, minorities held 28.9 percent and women held 33.9 percent of supervisory and management positions in the FY 2015 Federal workforce.¹⁰

The representation of all minority groups in the SEC’s supervisory and management positions increased from FY 2012 to FY 2015. The largest increase was seen in the representation of Black or African American and Asian employees at the supervisory and

Figure 8: Supervisors and Managers FY 2012 – FY 2015

	Total	Men	Women	White	Black	Hispanic	Asian	NHPI	AIAN	TOM
FY 2012	757	474	283	612	62	27	51	2	3	0
	100%	62.6%	37.4%	80.8%	8.2%	3.6%	6.7%	0.3%	0.4%	0.0%
FY 2013	764	470	294	598	69	28	61	3	4	1
	100%	61.5%	38.5%	78.3%	9.0%	3.7%	8.0%	0.4%	0.5%	0.1%
FY 2014	817	505	312	641	75	30	64	3	3	1
	100%	61.8%	38.2%	78.5%	9.2%	3.7%	7.8%	0.4%	0.4%	0.1%
FY 2015	862	525	337	671	80	32	72	2	4	1
	100%	60.9%	39.1%	77.8%	9.3%	3.7%	8.4%	0.2%	0.5%	0.1%
Percent Change	13.9%	10.8%	19.1%	9.6%	29.0%	18.5%	41.2%	0.0%	33.3%	0.0%

Source: FPPS retrieved November 9, 2015. NHPI = Native Hawaiian/Pacific Islander; AIAN = American Indian/Alaska Native, and TOM = Two or More Races.

⁹ The SEC also had employees in supervisory and management positions in the SK-9 – SK-14 grade levels.

¹⁰ U.S. Office of Personnel Management FedScope Federal Human Resources data.

management level. Since FY 2012, the representation of employees who are Native Hawaiian or Other Pacific Islander, American Indian or Alaska Native, and Two or More Races in supervisory and management positions increased marginally. Appendix E contains data on supervisors and managers at the SK-15 and SK-17 grade levels by gender, race, and ethnicity for each fiscal year since FY 2012.

Senior Officers: Figure 9 depicts the four-year trend in representation in Senior Officer positions by gender, race, and ethnicity. Since FY 2012, the SEC added 19 Senior Officer positions and had 147 Senior Officers in its workforce at the end of FY 2015. This increase represents an overall 14.8 percent change. The percentage representation of minorities at the Senior Officer level increased from 11.5 percent in FY 2014 to 12.9 percent in FY 2015. The representation at the end of FY 2015 was lower than the 21.1 percent minority representation among Senior Executives in the Federal workforce, as reported in OPM’s FedScope.

Figure 9: Senior Officers FY 2012 – FY 2015

	Total	Men	Women	White	Black	Hispanic	Asian	NHPI	AIAN	TOM
FY 2012	128	88	40	111	7	5	4	0	1	0
	100.0%	68.8%	31.3%	86.7%	5.5%	3.9%	3.1%	0.0%	0.8%	0.0%
FY 2013	129	85	44	113	7	3	5	0	1	0
	100.0%	65.9%	34.1%	87.6%	5.4%	2.3%	3.9%	0.0%	0.8%	0.0%
FY 2014	139	91	48	123	8	3	5	0	0	0
	100.0%	65.5%	34.5%	88.5%	5.8%	2.2%	3.6%	0.0%	0.0%	0.0%
FY 2015	147	91	56	128	8	4	7	0	0	0
	100.0%	61.9%	38.1%	87.1%	5.4%	2.7%	4.8%	0.0%	0.0%	0.0%
Percent Change	14.8%	3.4%	40.0%	15.3%	14.3%	-20.0%	75.0%	0.0%	0.0%	0.0%

Source: FPPS retrieved on November 9, 2015. NHPI = Native Hawaiian/Pacific Islander; AIAN = American Indian/Alaska Native; and TOM = Two or More Races.

The number of Black or African American Senior Officers remained unchanged from FY 2014 to FY 2015, and the number of Hispanic or Latino and Asian Senior Officers increased from FY 2014 to FY 2015. The four-year trend analysis shows the percentage representation of Hispanic or Latino employees among Senior Officers decreased from 3.9 percent in FY 2012 to 2.7 percent in FY 2015. The representational percentage for Black or African American employees at the Senior Officer level decreased slightly from 5.5 percent in FY 2012 to 5.4 percent in FY 2015. Representation of Asian employees among Senior Officers increased during the same period, from 3.1 percent in FY 2012 to 4.8 percent in FY 2015.

The number of women Senior Officers increased from 40 in FY 2012 to 56 in FY 2015, a net change of 40 percent. The percentage representation of women at the Senior Officer level increased over this period as well. Women represented 38.1 percent of the Senior Officers in FY 2015, compared to 31.3 percent in FY 2012. By comparison, 34.4 percent of Senior Executives in the Federal workforce were women as of FY 2015, according to OPM’s FedScope.

New Hires: Figure 10 shows new hires by gender, race, and ethnicity in each fiscal year since FY 2012. At the end of FY 2015, the SEC workforce had 456 new hires, representing a 19.6 percent change from FY 2014. The percentage of women new hires in FY 2015 increased to 44.1 percent, compared to 39.6 percent in FY 2014. The representation percentage for minorities among new hires decreased by 0.5 percentage point in FY 2015 when compared to the FY 2014 level.

Figure 10: New Hires Trend by Gender, Race, and Ethnicity

	Total	Men	Women	White	Black	Hispanic	Asian	NHPI	AIAN	TOM
FY 2012	375	241	134	258	49	13	50	1	2	2
	100.0%	64.3%	35.7%	68.8%	13.1%	3.5%	13.3%	0.3%	0.5%	0.5%
FY 2013	471	281	190	312	73	15	66	1	1	3
	100.0%	59.7%	40.3%	66.2%	15.5%	3.2%	14.0%	0.2%	0.2%	0.6%
FY 2014	381	230	151	242	66	15	53	0	2	3
	100.0%	60.4%	39.6%	63.5%	17.3%	3.9%	13.9%	0.0%	0.5%	0.8%
FY 2015	456	255	201	292	56	33	70	0	2	3
	100.0%	55.9%	44.1%	64.0%	12.3%	7.2%	15.4%	0.0%	0.4%	0.7%

Source: FPPS retrieved on November 9, 2015. NHPI = Native Hawaiian/Pacific Islander; AIAN = American Indian/Alaska Native; and TOM = Two or More Races.

Figure 11 shows new hires into mission critical occupations by gender, race, and ethnicity for each fiscal year since FY 2012. The percentage of women new hires into mission critical occupations increased from FY 2012 to FY 2015, though there was a decrease in the percentage of women new hires in these occupations from FY 2013 to FY 2014. The percentage of Hispanic or Latino and Asian new hires into mission critical occupations increased from FY 2012 to FY 2015. The percentage of Black or African American new hires into mission critical occupations decreased in FY 2015, compared to the FY 2012 level.

Figure 11: New Hires into Mission Critical Occupations FY 2012 – FY 2015

	Total	Men	Women	White	Black	Hispanic	Asian	NHPI	AIAN	TOM
FY 2012	231	154	77	175	16	7	33	0	1	0
	100.0%	66.7%	33.3%	75.8%	6.9%	3.0%	14.3%	0.0%	0.4%	0.0%
FY 2013	270	170	100	217	17	8	27	1	1	0
	100.0%	63.0%	37.0%	80.4%	6.3%	3.0%	10.0%	0.4%	0.4%	0.0%
FY 2014	195	124	71	141	10	7	35	0	0	1
	100.0%	63.6%	36.4%	72.3%	5.1%	3.6%	17.9%	0.0%	0.0%	0.5%
FY 2015	297	168	129	210	19	22	46	0	0	0
	100.0%	56.6%	43.4%	70.7%	6.4%	7.4%	15.5%	0.0%	0.0%	0.0%

Source: FPPS retrieved on November 9, 2015. NHPI = Native Hawaiian/Pacific Islander; AIAN = American Indian/Alaska Native; and TOM = Two or More Races.

Separations: Employee separations were evaluated to assess the potential impact on workforce diversity. If separation rates for a demographic group are higher than the group's workforce representation, the group's workforce representational percentage will tend to decrease.

Figure 12 depicts the separations by gender, race, and ethnicity in each fiscal year since FY 2012. In FY 2015, 258 employees left the SEC. Separations due to resignation, retirement, and term appointments accounted for nearly 90 percent of employee separations from FY 2012 to FY 2015, and about 10 percent of separations were involuntary.

Figure 12: Workforce Separations by Gender, Race, and Ethnicity FY 2012 – FY 2015

	Total	Men	Women	White	Black	Hispanic	Asian	NHPI	AIAN	TOM
FY 2012	270	155	115	204	30	14	21	1	0	0
	100.0%	57.4%	42.6%	75.6%	11.1%	5.2%	7.8%	0.4%	0.0%	0.0%
FY 2013	273	144	129	192	37	15	28	0	1	0
	100.0%	52.7%	47.3%	70.3%	13.6%	5.5%	10.3%	0.0%	0.4%	0.0%
FY 2014	280	159	121	191	52	11	25	0	1	0
	100.0%	56.8%	43.2%	68.2%	18.6%	3.9%	8.9%	0.0%	0.4%	0.0%
FY 2015	258	139	119	176	40	15	25	0	1	1
	100.0%	53.9%	46.1%	68.2%	15.5%	5.8%	9.7%	0.0%	0.4%	0.4%

Source: FPPS retrieved on November 9, 2015. NHPI = Native Hawaiian/Pacific Islander; AIAN = American Indian/Alaska Native; and TOM = Two or More Races.

For women, separation rates increased to 46.1 percent in FY 2015, compared to 43.2 percent in FY 2014. The minority separation rate increased to 31.8 percent in FY 2015 from 24.4 percent in FY 2012. Of the 258 employees who separated from the SEC in FY 2015, 161 (or 62.4 percent) left from mission critical occupations. Figure 13 shows separations from mission critical occupations by gender, race, and ethnicity for each fiscal year since FY 2012. The overall minority rate of separation from mission critical occupations increased from FY 2012 to FY 2015.

Figure 13: Separations from Mission Critical Occupations FY 2012 – FY 2015

	Total	Men	Women	White	Black	Hispanic	Asian	NHPI	AIAN	TOM
FY 2012	174	114	60	146	6	3	11	0	0	0
	100.0%	65.5%	34.5%	83.9%	3.4%	1.7%	6.3%	0.0%	0.0%	0.0%
FY 2013	171	102	69	137	8	7	18	0	0	0
	100.0%	59.6%	40.4%	80.1%	4.7%	4.1%	10.5%	0.0%	0.0%	0.0%
FY 2014	169	113	56	136	13	4	13	0	0	0
	100.0%	66.9%	33.1%	80.5%	7.7%	2.4%	7.7%	0.0%	0.0%	0.0%
FY 2015	161	97	64	128	11	7	14	0	1	0
	100.0%	60.2%	39.8%	79.5%	6.8%	4.3%	8.7%	0.0%	0.6%	0.0%

Source: FPPS retrieved on November 9, 2015. NHPI = Native Hawaiian/Pacific Islander; AIAN = American Indian/Alaska Native; and TOM = Two or More Races.

Promotions: Another key dimension that impacts the diversity at all levels of the SEC workforce is promotions. For purposes of this report, promotions include all instances where employees are converted to a higher pay grade. Accordingly, the data reflects career-ladder, competitive, and temporary promotions, as well as conversions to a higher level position.

Figure 14 depicts promotions by gender, race, and ethnicity in each fiscal year since FY 2012. The promotion rate for minorities collectively increased to 38.8 percent in FY 2015, up nearly four percentage points from FY 2012. While the promotion rate for women increased from FY 2014 to FY 2015, it was lower than promotion rate for women in FY 2012.

Figure 14: Promotions FY 2012 – FY 2015

	Total	Men	Women	White	Black	Hispanic	Asian	NHPI	AIAN	TOM
FY 2012	478	234	244	308	110	18	39	2	1	0
	100.0%	49.0%	51.0%	64.4%	23.0%	3.8%	8.2%	0.4%	0.2%	0.0%
FY 2013	434	220	214	275	86	18	49	1	3	2
	100.0%	50.7%	49.3%	63.4%	19.8%	4.1%	11.3%	0.2%	0.7%	0.5%
FY 2014	590	315	275	384	124	19	61	0	1	1
	100.0%	53.4%	46.6%	65.1%	21.0%	3.2%	10.3%	0.0%	0.2%	0.2%
FY 2015	564	292	272	345	117	30	64	0	3	5
	100.0%	51.8%	48.2%	61.2%	20.7%	5.3%	11.3%	0.0%	0.5%	0.9%

Source: FPPS retrieved on November 9, 2015. NHPI = Native Hawaiian/Pacific Islander; AIAN = American Indian/Alaska Native; and TOM = Two or More Races.

Student Outreach Initiatives

In FY 2015, OMWI continued to cultivate and leverage its partnering relationships with minority professional associations and educational organizations to attract a diverse talent pipeline for current and future employment and internship opportunities at the SEC. In collaboration with the Thurgood Marshall College Fund (TMCF),¹¹ the SEC hosted a series of webinars that profiled the specific career paths at SEC for securities compliance examiner and accountant positions. One webinar focused on the benefits of internships at the SEC, and described the application process for those opportunities. SEC employees also participated in a national recruitment conference hosted by TMCF that included approximately 500 HBCU students from TMCF member schools. SEC employees presented a workshop on financial literacy and engaged students in conversations about SEC internship and career opportunities.

The SEC hosted students participating in the United Negro College Fund’s Gateway to Leadership program for the third year. SEC staff shared information about the role and responsibilities of the SEC and financial literacy, and exposed students to the variety of entry-level career and internship opportunities for their future consideration. The Gateway to Leadership program provides students from HBCUs with paid internships at firms in the financial services industry. SEC staff also participated in other student-focused initiatives, career fairs, and outreach events held on campuses of minority-serving business schools and law schools, and women’s colleges nationwide.

OMWI developed a directory of colleges and universities, including graduate programs, to identify those educational institutions specified in Section 342(f)(1) of the Dodd-Frank Act—HBCUs, Hispanic-serving institutions, women’s colleges, and colleges that typically serve

¹¹ TMCF is a national organization that provides scholarships and programmatic support to the 47 public Historically Black Colleges and Universities (HBCUs), law schools, and medical schools.

majority minority populations. The directory, which includes 293 colleges and universities, is used to build relationships with colleges and universities, and to seek potential candidates for internships and entry-level positions at the SEC. The SEC had 738 interns between the fall of 2014 and the summer of 2015, of which 25 (3.4 percent) were from eight colleges and universities included in OMWI's college directory.

As in previous years, SEC staff taught Securities Law courses at two minority-serving institutions: Florida International University School of Law and Howard University Law School.

For the fourth consecutive year, the SEC hosted Professionals Reaching Out to Promote Excellence and Learning for Students (PROPELS) for students from inner-city high schools and schools with majority minority populations. The program provides students who have expressed an interest in careers in business, law, or the Science, Technology, Engineering and Math fields an opportunity to shadow SEC professionals for the day. They are exposed to career paths in the securities and financial services industry and learn about the importance of financial education. In FY 2015, over 350 SEC professionals at headquarters and regional offices and 400 students from 18 different schools participated in the program.

Work Environment

To attract, engage, and retain a high-quality, diverse, and results-oriented workforce, the SEC strives to cultivate and maintain a workplace culture that respects and values diversity, encourages collaboration, flexibility and fairness, and allows employees to contribute to their full potential. As discussed below, the results of the Federal Employee Viewpoint Survey (FEVS) administered by the OPM indicate that the continued efforts of SEC employees, supervisors, and managers are advancing workplace inclusion goals and objectives.

Employee Resource Groups: The Employee Resource Groups at the SEC have been instrumental in helping the agency build a diverse workforce and foster workplace inclusion. These employee-led groups provide educational, cultural, and networking opportunities for SEC employees, and serve as a resource for outreach and recruitment initiatives. In addition, Employee Resource Groups have a major role in planning and conducting agency-sponsored commemorative programs to celebrate Special Observances. Employee Resource Groups are sponsored by a SEC Commissioner, and receive program support from OMWI and/or the Office of Human Resources. In FY 2015, the following Employee Resource Groups were active at the SEC:

- African American Council;
- American Indian Heritage Committee;
- Asian Pacific American Committee;
- Caribbean American Heritage Committee;
- Disability Interests Advisory Committee;
- Hispanic and Latino Opportunity, Leadership, and Advocacy Committee;
- Lesbian, Gay, Bisexual, and Transgender Committee;

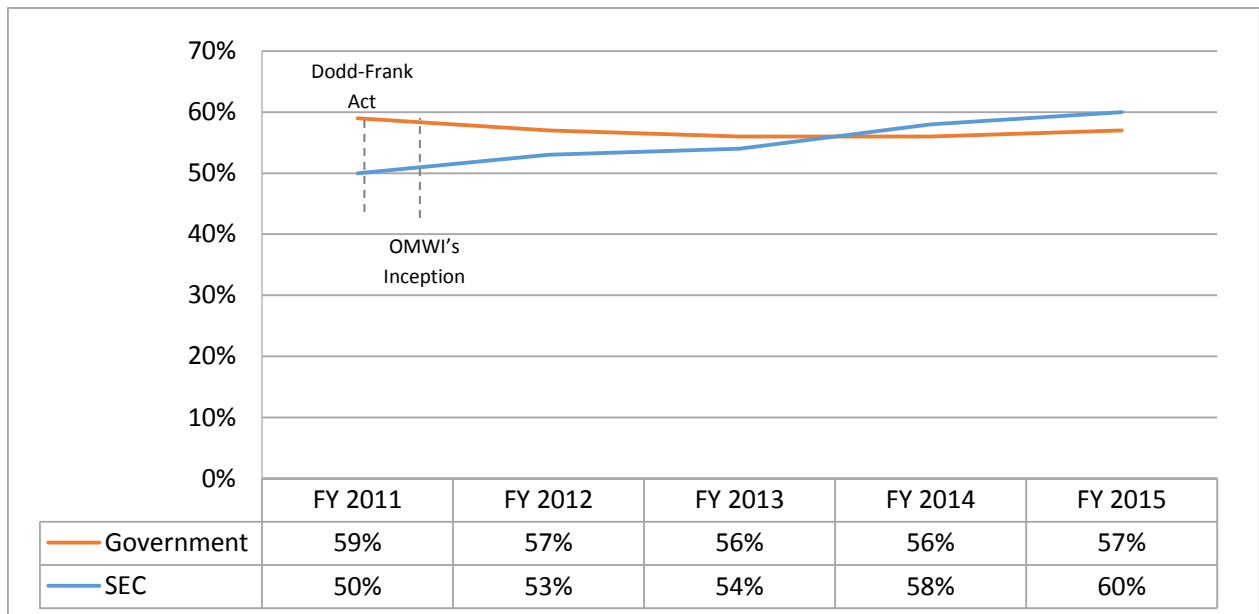
- Veterans Committee; and
- Women’s Committee.

Employee Viewpoint Survey: The results of the 2015 FEVS provide insight into the SEC’s progress toward cultivating and sustaining a workplace that values and respects diversity and inclusion. To empirically measure workplace inclusion, OPM introduced the Inclusion Quotient Index (the New IQ) in 2014. The New IQ is made up of 20 questions from the FEVS grouped into the following “5 Habits of Inclusion:”

- Fair: Are all employees treated equitably?
- Open: Does management support diversity in all ways?
- Cooperative: Does management encourage communication and collaboration?
- Supportive: Do supervisors value employees?
- Empowering: Do employees have the resources and support needed to excel?

The SEC had a record employee response rate of 72 percent for the 2015 FEVS. The New IQ score reflects the percentage of positive responses to the questions corresponding to each “habit” of inclusion. The SEC’s overall New IQ was 60 percent positive, which was two percentage points higher than the agency’s overall New IQ for 2014. The trend calculations shown in Figure 15 show that the SEC New IQ continues to increase as the overall government New IQ is trending downward. While New IQ indicates the SEC is making progress, the results also indicate that the agency must continue efforts and initiatives to promote workforce diversity and workplace inclusion.¹²

Figure 15: SEC’s IQ vs. Government Average



Source: OPM’s Federal Employee Viewpoint Survey 2015 retrieved on January 21, 2016.

¹² Although the New IQ was reported for the first time in 2014, the items that comprise the New IQ appeared on the FEVS in previous years and therefore trends could be calculated and included in the 2015 FEVS Government-wide Management Report.

Challenges and Next Steps

The SEC recognizes the need for a robust effort to improve the gender, racial, and ethnic diversity of the SEC's Senior Officers and OMWI is working on refining the agency's recruitment strategy for these senior management positions. OMWI will also continue to work with SEC senior management on division and office-specific initiatives to enhance diversity in mission critical occupations. Where the SEC workforce representation of women, Black or African American, or Hispanic or Latino professionals in a mission critical occupation was lower than the CLF or Federal workforce benchmarks, the SEC will conduct the appropriate analyses to determine whether barriers might exist for women and minorities seeking employment in these occupations. OMWI will also continue to look for innovative, promising practices to advance the SEC's workforce diversity and inclusion objectives.

Supplier Diversity

The SEC has embraced its obligations under Section 342 of the Dodd-Frank Act to develop and implement standards for increasing the utilization of minority-owned and women-owned businesses (MWOBs) in SEC programs and activities. By enhancing the diversity of its suppliers, the SEC ensures that the agency is procuring the best goods and services to meet its contracting needs. To implement the SEC's strategy to promote supplier diversity, OMWI works closely with the Office of Acquisitions (OA), which is responsible for all contracting activities at the agency. OA also has responsibility for ensuring that the SEC attains the specific statutory goals established by the Small Business Administration (SBA) for increasing small business contracting opportunities.

The SEC is required to follow the Federal Acquisition Regulation (FAR) when acquiring goods and services. The FAR generally requires that Federal agencies procure goods and services through full and open competition. However, included in FAR Subpart 19 are provisions that require contracting officers to set aside certain requirements for competition solely among certain categories of small businesses. This authority allows the SEC to increase opportunities for MWOBs that are small businesses to compete for contracts through the Small Disadvantaged Business, 8(a) Certified, Women-Owned Small Business, and Economically Disadvantaged Women-Owned Small Business programs administered by the SBA.

In FY 2015, the SEC introduced new and continued existing initiatives to promote supplier diversity, which are described below. The data and trend analysis regarding the SEC's contract payments and awards presented below indicate that the SEC's strategy for encouraging the utilization of MWOBs in the agency's business activities has yielded measurable results. In each fiscal year since FY 2012, the dollar amounts and percentages of SEC contract payments and awards to MWOBs have increased.

Supplier Diversity Initiatives

Deployment of the Supplier Diversity Business Management System: In September 2015, OMWI successfully launched its Supplier Diversity Business Management System (SDBMS). The SDBMS serves as the central repository of general business information and statements of capabilities provided by MWOBs interested in doing business with the SEC. The information concerning diverse suppliers in the SDBMS will be used to source vendors for market research purposes in developing agency business requirements. OMWI will also use the SDBMS to send vendors information about new SEC contracting opportunities and invitations to OMWI program events. Further, the SDBMS will maintain and track information on OMWI's external event participation and other program activities.

Contractor Outreach and Technical Assistance Initiative: While the SEC's supplier diversity initiatives are intended to reach MWOBs of all sizes, many MWOBs are also small businesses under SBA size standards. For this reason, OMWI and the Small Business Specialist

in OA collaborate on outreach activities that are designed to increase MWOB and small business awareness of SEC requirements and, ultimately, the level of participation in agency contracting.

The SEC also provides potential contractors technical assistance on how to do business within the SEC procurement space. The cooperation between OMWI and OA has contributed significantly to the overall success of the SEC's supplier diversity efforts.

Ongoing OMWI outreach and technical assistance initiatives in FY 2015 included:

- Hosting monthly "Vendor Outreach Days" in concert with OA at SEC headquarters. This forum provides MWOBs and small businesses with an individualized opportunity to learn about the SEC's contracting needs and to present their business capabilities to OMWI's Supplier Diversity Officer, the SEC's Small Business Specialist, and other key SEC personnel. A total of 63 businesses participated in Vendor Outreach Day in FY 2015, which represented an increase over FY 2014;
- Participating in external business conferences and procurement matchmaking sessions to increase the interaction between MWOBs and the SEC. During FY 2015, OMWI participated in 11 national conferences and/or business matchmaking sessions, including the National 8(a) Association, Women as Veteran Entrepreneurs, the National Minority Supplier Development Council, and the Women's Business Enterprise National Council, among others;
- Assisting SEC Program Offices with identifying MWOB suppliers for market research purposes, as requested;
- Developing and disseminating information to MWOBs on SEC contracting opportunities and Industry Days; and
- Maintaining a dedicated email address and telephone line for contracting inquiries and outreach.

OMWI Joint Procurement Technical Assistance Event: In FY 2015, the OMWIs from all eight Federal financial agencies covered under Section 342 of the Dodd Frank Act joined in hosting a technical assistance event for companies interested in building and growing their Federal contracting opportunities. The main theme of the OMWI Joint Procurement Technical Assistance event was centered on the existing sources of business assistance available to MWOBs that can be leveraged in both penetrating the Federal procurement space, and in attaining overall business growth. The secondary theme of the event was the importance of collaboration—recognizing where opportunities exist for relationships and partnerships among MWOBs.

The Supplier Diversity Working Group, comprised of the OMWI supplier diversity officers from the Federal financial agencies, coordinated with the Virginia Procurement Technical Assistance Center and other stakeholders to execute the event. The OMWI Joint Procurement Technical Assistance event provided interested diverse vendors with a full day of

technical assistance sessions and opportunities for interfacing with Federal agency procurement representatives. Attendance at the event exceeded the original goal of 300, and the feedback received from event participants was overwhelmingly positive.

Internal Supplier Diversity Education Campaign: OMWI initiated an internal supplier diversity education campaign in FY 2015 to encourage senior leadership and business managers to promote the SEC supplier diversity program. OMWI conducted three training sessions on “The Business Case for Supplier Diversity”— two sessions for division and office business managers and one session for a cohort of Senior Officers. The training was designed to provide an overview of supplier diversity at the SEC and outline the ways in which staff can participate in program initiatives. By increasing awareness, OMWI seeks to create a cadre of new internal advocates and champions for the inclusion of MWOBs in SEC contracting opportunities. OMWI also encouraged participants with contracting duties to reach out to OMWI for market research assistance when they have new requirements.

Supplier Diversity Performance Metrics

SEC Contractors: Figure 16 shows the total number of contractors that the SEC paid from FY 2012 to FY 2015, and the number of contractors receiving payments that were MWOBs during that time period. Among the 504 firms that received contract payments in FY 2015, 123 or 24.4 percent were classified as MWOBs. While the relative percentage of MWOBs to all other firms with SEC contracts is trending downward, the number of MWOBs has been increasing since FY 2012. Women-owned businesses with SEC contracts, however, decreased 2.7 percentage points from FY 2014.

Figure 16: SEC Contract Payments to MWOBs FY 2012 – FY 2015

	FY 2012		FY 2013		FY 2014		FY 2015	
SEC Total	311	100.0%	464	100.0%	488	100.0%	504	100.0%
All Other Firms	233	74.9%	350	75.4%	367	75.2%	381	75.6%
Total MWOBs	78	25.1%	114	24.6%	121	24.8%	123	24.4%
Asian	24	7.7%	29	6.3%	36	7.4%	39	7.7%
Black	12	3.9%	21	4.5%	24	4.9%	28	5.6%
Hispanic	10	3.2%	13	2.8%	9	1.8%	14	2.8%
Other Minority	3	1.0%	8	1.7%	7	1.4%	9	1.8%
Women Only	29	9.3%	43	9.3%	45	9.2%	33	6.5%

Source: Federal Procurement Data System (FPDS) and Delphi retrieved on January 9, 2016. Firm count uses distinct count of Supplier Number. “Women Only” include firms without minority designations.

Contract Payments:¹³ Figure 17 shows SEC total contract payments and the payments made to MWOBs in each fiscal year since FY 2012.¹⁴ In FY 2015, the SEC paid \$362.9 million to contractors. Payments made to MWOBs increased to 33.9 percent of total contract payments in FY 2015, 8.4 percentage points higher than FY 2014 and 9.8 percentage points higher than FY 2012. At the end of FY 2015, MWOBs, which represented 24.4 percent of firms with SEC contracts, received nearly 34 percent of total payments. Women-owned businesses, which were 6.5 percent of firms with SEC contracts in FY 2015, received 7.6 percent of all payments.

Figure 17: Contract Payments by MWOB Category FY 2012 – FY 2015

	FY 2012		FY 2013		FY 2014		FY 2015	
SEC Total	\$117,914,933	100.0%	\$436,076,194	100.0%	\$336,320,402	100.0%	\$362,942,659	100.0%
All Other Firms	\$89,524,000	75.9%	\$309,215,516	70.9%	\$250,530,651	74.5%	\$239,752,075	66.1%
Total MWOBs	\$28,390,933	24.1%	\$126,860,679	29.1%	\$85,789,751	25.5%	\$123,190,583	33.9%
Black	\$8,408,027	7.1%	\$16,923,645	3.9%	\$14,300,307	4.3%	\$18,875,853	5.2%
Asian	\$7,026,397	6.0%	\$63,389,828	14.5%	\$28,604,319	8.5%	\$52,879,252	14.6%
Hispanic	\$1,711,706	1.5%	\$5,522,232	1.3%	\$8,283,891	2.5%	\$19,553,781	5.4%
Other Minority	\$138,828	0.1%	\$3,252,968	0.7%	\$6,135,807	1.8%	\$4,313,221	1.2%
Women Only	\$11,105,975	9.4%	\$37,772,005	8.7%	\$28,465,426	8.5%	\$27,568,478	7.6%

Source: FPDS and Delphi retrieved on January 9, 2016. "Women Only" include firms without minority designations.

Contract Awards: Contract awards provide insight into an agency's planned expenditures. Figure 18 depicts the total number of firms awarded SEC contracts in each fiscal year since FY 2012, and the number of MWOBs receiving SEC contract awards. In FY 2015, the SEC awarded contracts to 549 firms, of which 145 or 26.4 percent were classified as MWOBs. This represented a 1.2 percentage point increase from FY 2014 and an increase of 3.3 percentage

Figure 18: MWOBs with SEC Contract Awards FY 2012 – FY 2015

	FY 2012		FY 2013		FY 2014		FY 2015	
SEC Total	441	100.0%	447	100.0%	515	100.0%	549	100.0%
Total MWOBs	102	23.1%	112	25.1%	130	25.2%	145	26.4%
WOBs	59	13.4%	65	14.5%	69	13.4%	75	13.7%
MW-OBs	19	4.3%	33	7.4%	30	5.8%	35	6.4%
MOBs	62	14.1%	80	17.9%	91	17.7%	105	19.1%
Asian	21	4.8%	35	7.8%	41	8.0%	45	8.2%
Black	20	4.5%	24	5.4%	26	5.0%	30	5.5%
Hispanic	13	2.9%	11	2.5%	14	2.7%	20	3.6%
Native American	2	0.5%	3	0.7%	2	0.4%	3	0.5%
Other	6	1.4%	7	1.6%	8	1.6%	7	1.3%

Source: FPDS retrieved on January 9, 2016. WOBs include all firms designated as women-owned irrespective of MOB designation. MOBs include all firms designated as minority-owned irrespective of WOB designation. MW-OBs include firms with both minority-owned and women-owned designations.

¹³ Payment statistics does not include non-FAR based transactions such as real estate leases.

¹⁴ In FY 2015, OMWI made changes to its internal data system and analytical capabilities related to contract payments. The modified system for tracking and calculating total contract payments takes into account the total modifications associated with a contract and the total amount paid across all modifications based on the payment dates within a specific fiscal year. Consequently, contract payment data in this annual report cannot be compared to the data presented in prior annual reports. For this annual report, the contract payments made in FY 2012, FY 2013, and FY 2014 were recomputed using the modified system.

points since FY 2012. The percentage of women-owned businesses awarded SEC contracts in FY 2015 increased marginally by 0.3 percentage point from FY 2014.

Figure 19 depicts the dollar value of contracts to MWOBs in each fiscal year since FY 2012. Of the \$456 million in SEC contract awards made in FY 2015, a total of \$155.6 million or 34.1 percent went to MWOBs.

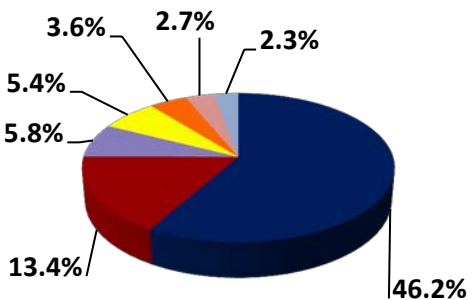
Figure 19: Contract Awards by MWOB Category FY 2012 – FY 2015

	FY 2012		FY 2013		FY 2014		FY 2015	
SEC Total	\$380,290,581	100.0%	\$323,438,335	100.0%	\$434,174,124	100.0%	\$456,863,204	100.0%
Total MWOBs	\$78,637,644	20.7%	\$92,875,692	28.7%	\$147,389,966	33.9%	\$155,628,818	34.1%
WOBs	\$40,319,775	10.6%	\$44,978,880	13.9%	\$66,018,417	15.2%	\$73,328,653	16.1%
MW-OBs	\$9,589,042	2.5%	\$18,982,658	5.9%	\$41,479,242	9.6%	\$49,015,691	10.7%
MOBs	\$47,906,910	12.6%	\$66,879,470	20.7%	\$122,850,791	28.3%	\$131,315,857	28.7%
Asian	\$13,344,067	3.5%	\$31,666,041	9.8%	\$84,491,747	19.5%	\$73,255,963	16.0%
Black	\$23,377,664	6.1%	\$17,542,254	5.4%	\$17,828,186	4.1%	\$30,352,485	6.6%
Hispanic	\$4,819,252	1.3%	\$6,328,791	2.0%	\$11,380,385	2.6%	\$11,099,212	2.4%
Native American	\$158,708	0.0%	\$2,442,139	0.8%	\$787,254	0.2%	\$5,643,241	1.2%
Other	\$6,207,220	1.6%	\$8,900,246	2.8%	\$8,363,221	1.9%	\$10,964,956	2.4%

Source: FPDS retrieved on January 9, 2016. WOBs include all firms designated as women-owned irrespective of MOB designation. MOBs include all firms designated as minority-owned irrespective of WOB designation. MW-OBs include firms with both minority-owned and women-owned designations.

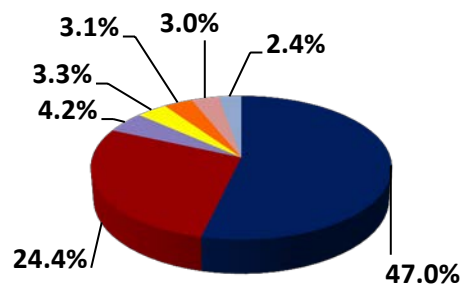
Major Contract Award Categories:¹⁵ Figure 20 depicts the distribution of SEC contract awards in FY 2015 by category, using the North American Industry Classification System (NAICS). Figure 21 shows the distribution of contract awards to MWOBs by NAICS

Figure 20: SEC Contracts by NAICS Category



- Computer Systems Design and Related Services (\$211.3M)*
- Management, Scientific, and Technical Consulting Services (\$61.1M)**
- Legal Services (\$26.5M)
- Data Processing, Hosting, and Related Services (\$24.6M)***
- Other Information Services (\$16.3M)
- Other Professional, Scientific, and Technical Services (\$12.3M)****
- Architectural, Engineering, and Related Services (\$10.5M)

Figure 21: MWOBs Contracts by NAICS Category



- Computer Systems Design and Related Services (\$73M)*
- Management, Scientific, and Technical Consulting Services (\$37.9M)**
- Employment Services (\$7.0M)
- Data Processing, Hosting, and Related Services (\$5.1M)***
- Accounting, Tax Preparation, Bookkeeping, and Payroll Services (\$4.8M)
- Agencies, Brokerages, and Other Insurance Related Activities (\$4.6M)
- Other Professional, Scientific, and Technical Services (\$3.7M)****

¹⁵ Federal Procurement Data System retrieved on January 9, 2016.

category. The largest percentage of SEC contract dollars was awarded for contracts in the NAICS category of Computer Design and Related Services, followed by Management, Scientific, and Technical Consulting Services. They were also the two largest categories for contract dollars awarded to MWOBs. While the third largest percentage of SEC contract dollars was awarded for Legal Services, the third largest percentage of contract dollars awarded to MWOBs was for contracts in the NAICS category of Employment Services.

Challenges and Next Steps

In FY 2016, OMWI anticipates taking the following actions to advance the SEC's supplier diversity objectives:

- Expand the internal supplier diversity education campaign by providing in-depth training to staff with contracting responsibilities on how to engage with OMWI in promoting increased MWOB participation in SEC contract opportunities. This education campaign is expected to increase awareness of how supplier diversity aligns with the SEC's overall mission, and foster involvement and advocacy among SEC staff;
- Further collaborate with OA on disseminating information to interested MWOBs on Request For Information/Request For Proposal-specific Industry Days;
- Work towards populating the SDBMS with complete diverse supplier profiles to allow OMWI to further improve its ability to accurately track and quantify its supplier diversity program efforts; and
- Enhance the content of the supplier diversity section of the OMWI external webpage to provide additional information and resources to interested vendors.

Regulated Entities

On June 10, 2015, the SEC joined with the Office of the Comptroller of the Currency, Board of Governors of the Federal Reserve System, Federal Deposit Insurance Corporation, Bureau of Consumer Financial Protection, and National Credit Union Administration (“Agencies”) in issuing the “Final Interagency Policy Statement Establishing Joint Standards for Assessing the Diversity Policies and Practices of Entities Regulated by the Agencies.”¹⁶ The Joint Standards are substantially similar to the standards set forth in the proposed policy statement the Agencies published for public comment on October 25, 2013.¹⁷ The Agencies collectively received more than 200 comments on the proposal, which were considered in developing the final Joint Standards.

The Joint Standards provide a framework for regulated entities to create and strengthen their diversity policies and practices—including their organizational commitment to diversity, workforce and employment practices, procurement and business practices, and practices to promote transparency of organizational diversity and inclusion within the entities’ U.S. operations. In addition, the Joint Standards contemplate that regulated entities will voluntarily conduct self-assessments of their diversity policies and practices at least annually, and submit information pertaining to the diversity assessments to the OMWI Director of their primary Federal financial regulator.

The Agencies needed approval from the Office of Management and Budget (OMB) under the Paperwork Reduction Act to request information related to diversity assessments from regulated entities, and received OMB approval on February 18, 2016. The expectation is that the information received from regulated entities about their diversity assessments would allow the SEC and the other Agencies to monitor progress and trends in the financial services industry regarding diversity and inclusion in employment and contracting, and to identify and highlight those policies and practices that have been successful.

¹⁶ 80 FR 33016; Release No. 34-75050; File No. S7-10-15.

¹⁷ 78 FR 64052; Release No. 34-70731; File No. S7-08-13.

Contractor Workforce Inclusion of Minorities and Women

In FY 2015, the Commission adopted the SEC Contract Standard for Contractor Workforce Inclusion (Contract Standard) to implement the requirements of Section 342 of Dodd-Frank related to the workforce diversity of agency contractors. The Contract Standard must be included in all solicitations and contracts for services with a dollar value of \$100,000 or more. The Contract Standard requires the service contractor, upon entering into a contract with the SEC, to confirm that it will ensure, to the maximum extent possible and consistent with applicable law, the fair inclusion of minorities and women in its workforce.

The Contract Standard also requires the service contractor to include the substance of the Contract Standard in all subcontracts for services awarded under the contract with a dollar value of \$100,000 or more. The Contract Standard further requires a contractor to provide documentation, upon the request of the OMWI Director, to demonstrate that it has made good faith efforts to ensure the fair inclusion of minorities and women in its workforce and, as applicable, to demonstrate that its covered subcontractors have made such good faith efforts. In August 2015, OMWI received the necessary approval from OMB under the Paperwork Reduction Act to collect the documentation specified in the Contract Standard from contractors.

Conclusion and FY 2016 Outlook

As shown in the statistical data presented in this annual report, the SEC has made progress towards achieving diversity at all levels of the agency's workforce. The data also show that initiatives are still needed to enhance the representation of women and minority groups in certain mission critical occupations, and the minority representation in senior management. The SEC will continue to execute those strategies that have been effective in advancing the agency's strategic goals and objectives. In addition, as recommended in the House Financial Services Committee Democratic staff report entitled, *The Dodd-Frank Act Five Years Later: Diversity in the Financial Services Agencies*, the SEC intends to look for other innovations for promoting workforce diversity and inclusion, and work with the other agencies on standardizing the data on diversity presented in the annual report

In FY 2016, OMWI intends to strengthen its analytical capabilities and internal systems and introduce new metrics and benchmarks. OMWI plans to develop a statistical Relevant Civilian Labor Force model that takes in consideration the regional and local availability to use for benchmarking. OMWI expects the resulting analysis will provide additional support for the agency's workforce diversity and inclusion efforts.

OMWI took steps in FY 2015 to implement the recommendations contained in the SEC's November 2014 OIG report concerning the minorities and women in the SEC workforce. Consistent with OIG recommendations, in FY 2015 OMWI directed resources and efforts towards formalizing the internal policies and procedures to guide its diversity efforts. OMWI expects to complete administrative regulations and a program policy and procedures manual that will identify the internal controls referenced in the OIG recommendations during the third quarter of FY 2016.

OMWI will continue to collaborate with external organizations on strategic outreach and recruitment. OMWI also looks forward to working with the Diversity Council in the coming months to advance the strategic objective of promoting workforce diversity and fostering workplace inclusion at the SEC. OMWI will also continue to work with the Office of Acquisitions on advancing the agency's supplier diversity goals and objectives.

Appendix A: Analysis of Applicant Flow Data

In FY 2014, SEC partnered with OPM to collect applicant flow data (the demographic background of applicants for employment). Since then, SEC has been developing new analytical capabilities to fully disaggregate and analyze this dataset.

SEC's applicant flow data is collected at OPM through the Demographic Information on Applicants form developed by the EEOC and approved by OMB. When a job seeker submits an online application through USAJOBS.gov, he or she is afforded the opportunity to provide information on any or all demographic characteristics including gender, disability status, race, or ethnicity. For example, an applicant can provide gender but not race. As a result, the sum across demographic categories is not the same. The responses are collected and kept separately from the actual application for employment. The data come to SEC on a predetermined schedule.

In order for a job to appear in the applicant flow dataset, it must (1) have been recruited via USA Staffing, and (2) have completed the recruitment process regardless of whether a selection was made or when that particular job was closed. The audit date determines the inclusion of a job in the dataset. Further, the data comes to SEC in two separate data files: a monthly file and a quarterly file. The monthly file provides data by certificate type including (category rating, competitive, competitive merit promotion, non-traditional, and merit referral list). Non-traditional certificates include non-competitive hiring. A candidate for employment may appear on multiple certificates, and therefore, he or she is double counted. On a quarterly basis, SEC receives a vacancy-based data file that provides distinct counts of applications. The analysis in this report is produced using the quarterly file with audit dates in fiscal year 2015. In addition, the data is correlated against the monthly file to obtain geographic data. At the end of this fiscal year, SEC's dataset included complete data profiles for FY 2014 and FY 2015. Only partial data is available for FY 2013.

Applicants are not obligated to complete the Demographic Information on Applicants form, and as result, applicant flow data contains only demographic information from applicants who chose to self-identify demographic characteristics. It is not possible to determine whether applicants who did not complete the Demographic Information form have the same characteristics as those who self-identified. Accordingly, caution must be used when drawing conclusions about selection rates that are based on a percentage of the total applicant pool.

Nevertheless, the applicant flow data has some utility in that it provides demographic information about applicants who applied for SEC vacancies as well as an indication of how those applicants progressed in the selection process.

Figure A-1 provides the survey (Demographic Information on Applicants form) response rate as well as the underlying computational statistics. The voluntary survey response rate, along with all other measures, decreased in FY 2015 when compared to FY 2014. In FY 2015, the SEC used USA Staffing to recruit for 444 jobs with 353 jobs leading to one or more selections. The SEC received 40,735 unique applications for employment and 46.5 percent of applicants elected to provide some type of demographic information.

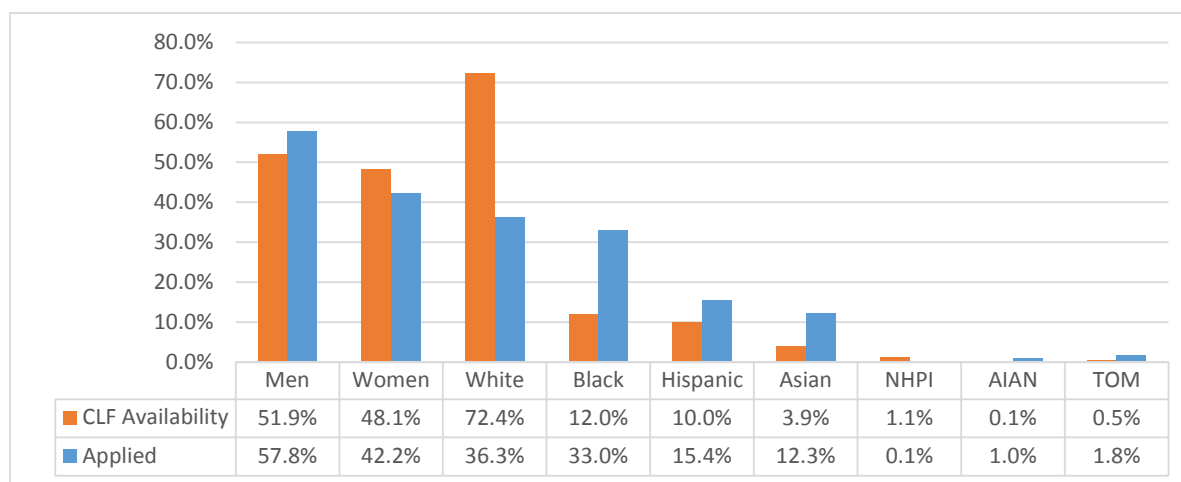
Figure A-1: Applicant Flow Survey Response Rate FY 2014 – FY 2015

	All Jobs	No Selection Made	Selection(s) Made
FY 2014			
Total Jobs	548	160	388
Total Applicants	61,835	18,558	43,277
Total Demographic Provided	29,212	9,294	19,918
Survey Response	47.2%		
FY 2015			
Total Jobs	444	91	353
Total Applicants	40,735	8,980	31,755
Total Demographic Provided	18,938	4,191	14,747
Survey Response	46.5%		

Source: OPM’s USA Staffing Quarterly Data File.

Applicant flow data based on responses from applicants completing the survey provides some indication of the effectiveness of SEC’s outreach efforts. As shown in Figure A-2, nearly all minority groups had higher application rates relative to their CLF availability with the exception of Native Hawaiian or Other Pacific Islander. Women applied at a lower rate compared to their overall availability. (See Figure A-7 for a comparison of selection rates for selected SEC occupations to availability in the CLF.)

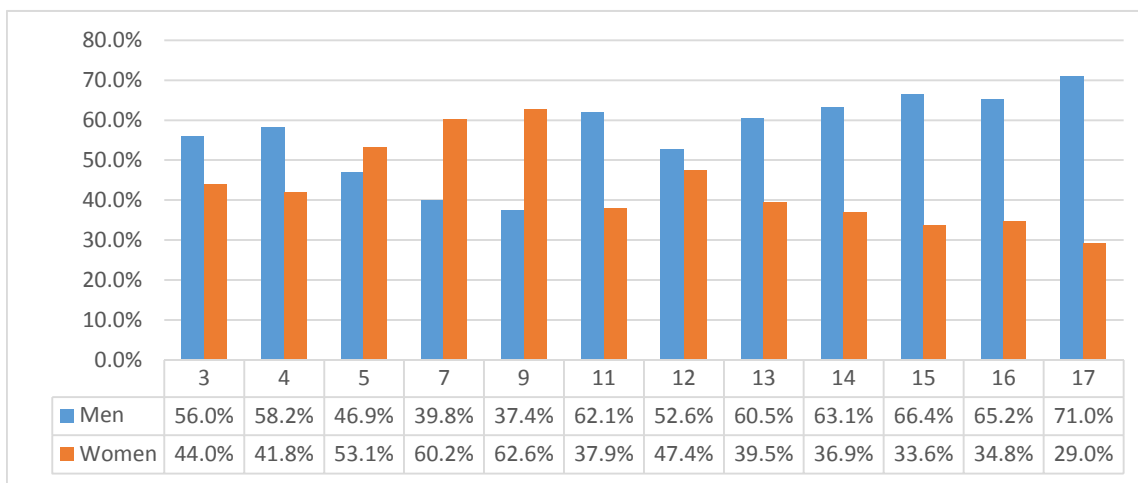
Figure A-2: Applied vs. Availability FY 2015



Source: OPM’s USA Staffing Quarterly Data File; CLF data from Census. NHPI = Native Hawaiian/Pacific Islander; AIAN = American Indian/Alaska Native; and TOM = Two or More Races.

Analysis of application rates and gender distribution suggests that groups with high representations in lower grades tend to apply to lower graded jobs, as depicted in Figure A-3. For instance, the application rates for women start a downward trend at SK-11, when compared to men. At SK-09, nearly two thirds of applicants are women. At SK-17, the percentage of women applicant decreased to 29 percent.

Figure A-3: Applications by Gender and SK Grades FY 2015



Source: OPM's USA Staffing Quarterly Data File.

Illustrated in Figure A-4 is the distribution of applications by race and ethnicity by SK grades. The application rates for Black or African American and Hispanic or Latino job seekers tend to be higher at the lower grades

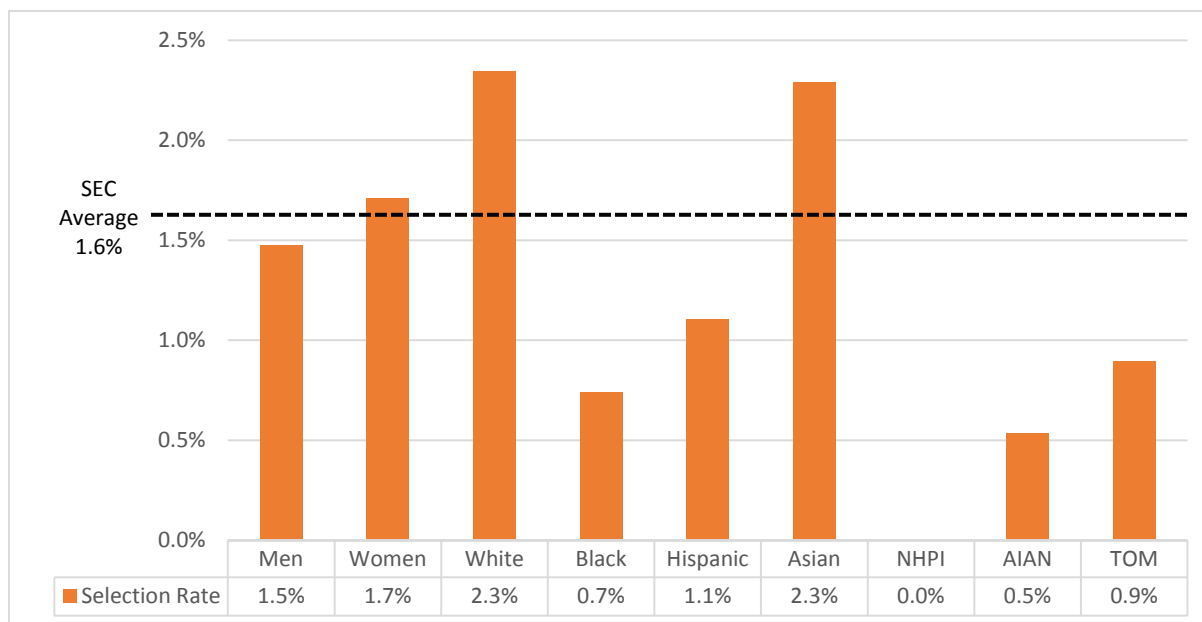
Figure A-4: Applications by Race, Ethnicity, and SK Grades FY 2015

	White	Black	Hispanic	Asian	NHPI	AIAN	TOM	Total
SK-03	54.1%	16.2%	17.6%	10.8%	0.0%	0.0%	1.4%	100.0%
SK-04	16.7%	47.0%	13.6%	19.7%	0.0%	1.5%	1.5%	100.0%
SK-05	34.7%	42.9%	11.2%	8.2%	0.0%	2.0%	1.0%	100.0%
SK-07	12.4%	68.6%	14.0%	5.0%	0.0%	0.0%	0.0%	100.0%
SK-09	20.2%	53.1%	17.0%	6.8%	0.1%	0.3%	2.4%	100.0%
SK-11	31.4%	35.3%	19.2%	10.7%	0.2%	0.8%	2.5%	100.0%
SK-12	31.5%	39.2%	16.1%	10.2%	0.1%	0.6%	2.2%	100.0%
SK-13	40.6%	27.3%	14.8%	14.5%	0.2%	1.1%	1.4%	100.0%
SK-14	37.9%	27.9%	13.8%	17.6%	0.1%	1.2%	1.6%	100.0%
SK-15	40.2%	29.8%	15.7%	11.4%	0.1%	1.4%	1.4%	100.0%
SK-16	49.9%	18.1%	14.9%	14.2%	0.1%	1.7%	1.3%	100.0%
SK-17	45.0%	20.4%	16.5%	13.9%	0.3%	1.9%	2.1%	100.0%

Source: OPM's USA Staffing Quarterly Data File. NHPI = Native Hawaiian/Pacific Islander; AIAN = American Indian/Alaska Native; and TOM = Two or More Races.

Figure A-5 shows how the applicant flow selection rate for each demographic group compared to the SEC average.

Figure A-5: Selection Rates by Gender, Race, and Ethnicity FY 2015



Source: OPM's USA Staffing Quarterly Data File. NHPI = Native Hawaiian/Pacific Islander; AIAN = American Indian/Alaska Native; and TOM = Two or More Races.

Figure A-6 provides available data on each recruitment step for mission critical occupations.

Figure A-6: Mission Critical Occupations by Recruitment Steps FY 2015

	Men	Women	White	Black	Hispanic	Asian	NHPI	AIAN	TOM
0905 General Attorney									
Applied	60.6%	39.4%	50.3%	19.8%	13.9%	13.3%	0.1%	1.4%	1.1%
Qualified	60.5%	39.5%	51.9%	18.7%	13.5%	13.3%	0.1%	1.4%	1.1%
Referred	59.2%	40.8%	52.0%	18.3%	13.3%	14.0%	0.2%	1.1%	1.2%
Selected	50.0%	50.0%	61.0%	12.2%	4.9%	19.5%	0.0%	0.0%	2.4%
0510 Accounting									
Applied	57.2%	42.8%	35.9%	25.7%	17.0%	19.1%	0.2%	0.7%	1.4%
Qualified	56.2%	43.8%	36.0%	25.2%	15.2%	20.9%	0.2%	0.7%	1.7%
Referred	59.9%	40.1%	41.4%	21.8%	11.7%	23.8%	0.0%	0.0%	1.3%
Selected	48.1%	51.9%	40.7%	3.7%	18.5%	37.0%	0.0%	0.0%	0.0%
1831 Securities Compliance Examining									
Applied	65.4%	34.6%	45.1%	21.9%	21.2%	8.9%	0.3%	0.7%	1.8%
Qualified	65.1%	34.9%	46.3%	20.5%	21.1%	9.7%	0.3%	0.6%	1.4%
Referred	68.1%	31.9%	52.8%	16.0%	18.4%	11.7%	0.0%	0.6%	6.7%
Selected	65.4%	34.6%	61.5%	7.7%	11.5%	19.2%	0.0%	0.0%	0.0%
0110 Economist									
Applied	69.9%	30.1%	46.3%	17.8%	11.4%	21.9%	0.3%	1.6%	0.6%
Qualified	70.2%	29.8%	50.3%	19.3%	9.3%	19.3%	0.6%	0.0%	1.2%
Referred	69.6%	30.4%	45.7%	13.0%	10.9%	30.4%	0.0%	0.0%	0.0%
Selected	55.6%	44.4%	44.4%	0.0%	11.1%	44.4%	0.0%	0.0%	0.0%

Source: OPM's USA Staffing Quarterly Data File. NHPI = Native Hawaiian/Pacific Islander; AIAN = American Indian/Alaska Native; and TOM = Two or More Races.

Figure A-7: Applications by Selected Occupation, Gender, Race, and Ethnicity Compared to CLF
FY 2015

	Men	Women	White	Black	Hispanic	Asian	NHPI	AIAN	TOM
FY 2015 Total Applications	57.8%	42.2%	36.3%	33.0%	15.4%	12.3%	0.1%	1.0%	1.8%
National CLF	51.9%	48.1%	72.4%	12.0%	10.0%	3.9%	0.1%	1.1%	0.5%
0905 General Attorney	60.6%	39.4%	50.3%	19.8%	13.9%	13.3%	0.1%	1.4%	1.1%
Occupational CLF	66.7%	33.3%	86.4%	4.7%	4.4%	3.6%	0.0%	0.5%	0.4%
0510 Accounting	57.2%	42.8%	35.9%	25.7%	17.0%	19.1%	0.2%	0.7%	1.4%
Occupational CLF	39.9%	60.1%	76.0%	8.1%	6.1%	8.6%	0.1%	0.6%	0.5%
2210 Information Technology Management	78.5%	21.5%	34.6%	24.4%	13.5%	24.1%	0.1%	1.9%	1.4%
Occupational CLF	70.4%	29.6%	73.1%	11.1%	7.6%	6.7%	0.2%	0.8%	0.6%
0301 Miscellaneous Administration and Program	36.7%	63.3%	70.9%	12.5%	8.7%	6.2%	0.1%	1.0%	0.6%
Occupational CLF	36.7%	63.3%	70.9%	12.5%	8.7%	6.2%	0.1%	1.0%	0.6%
1831 Securities Compliance Examining	65.4%	34.6%	45.1%	21.9%	21.2%	8.9%	0.3%	0.7%	1.8%
Occupational CLF	54.7%	45.3%	72.4%	12.3%	6.7%	7.7%	0.0%	0.4%	0.5%
0343 Management and Program Analysis	50.4%	49.6%	25.7%	47.0%	16.2%	7.7%	0.0%	0.6%	2.9%
Occupational CLF	58.4%	41.6%	81.6%	6.8%	4.6%	5.8%	0.1%	0.6%	0.5%
0110 Economist	69.9%	30.1%	46.3%	17.8%	11.4%	21.9%	0.3%	1.6%	0.6%
Occupational CLF	67.1%	32.9%	81.0%	5.5%	5.2%	7.5%	0.1%	0.6%	0.2%
0950 Paralegal Specialist	34.3%	65.7%	33.7%	42.6%	13.6%	6.8%	0.0%	0.7%	2.5%
Occupational CLF	16.1%	83.9%	75.2%	9.5%	10.5%	3.4%	0.1%	0.7%	0.6%
0201 Human Resources Management	48.8%	51.2%	28.5%	52.2%	12.4%	3.6%	0.4%	0.8%	2.0%
Occupational CLF	39.7%	60.3%	74.6%	10.4%	9.5%	4.2%	0.1%	0.7%	0.5%
1102 Contracting	53.9%	46.1%	28.0%	44.7%	15.5%	8.2%	0.3%	0.9%	2.4%
Occupational CLF	46.2%	53.8%	80.0%	8.5%	7.1%	3.1%	0.1%	0.8%	0.4%
0501 Financial Administration and Program	54.2%	45.8%	27.6%	38.6%	18.0%	13.5%	0.2%	0.6%	1.6%
Occupational CLF	43.7%	56.3%	71.1%	12.3%	9.8%	4.9%	0.1%	1.2%	0.5%
1160 Financial Analysis	66.2%	33.8%	37.1%	26.7%	14.0%	21.0%	0.2%	0.4%	0.6%
Occupational CLF	67.1%	32.9%	76.0%	7.5%	5.1%	10.5%	0.1%	0.3%	0.5%
0318 Secretary	19.0%	81.0%	21.8%	38.6%	29.1%	7.3%	0.0%	0.5%	2.7%
Occupational CLF	4.0%	96.0%	77.8%	9.2%	9.1%	2.3%	0.1%	1.0%	0.5%
0340 Program Management	71.8%	28.2%	41.1%	32.4%	16.2%	7.9%	0.2%	1.2%	1.0%
Occupational CLF	36.7%	63.3%	70.9%	12.5%	8.7%	6.2%	0.1%	1.0%	0.6%
1501 Archivist	72.1%	27.9%	39.5%	20.4%	11.3%	26.3%	0.0%	0.5%	1.9%
Occupational CLF	52.7%	47.3%	75.9%	7.3%	4.9%	10.1%	0.3%	0.8%	0.7%
0080 Security Specialist	83.3%	16.7%	44.2%	32.3%	15.1%	3.5%	0.0%	1.9%	3.0%
Occupational CLF	36.7%	63.3%	70.9%	12.5%	8.7%	6.2%	0.1%	1.0%	0.6%
0203 Human Resources Assistant	26.7%	73.3%	15.1%	68.6%	8.4%	4.3%	0.0%	1.0%	2.7%
Occupational CLF	17.2%	82.8%	63.0%	18.8%	12.8%	3.4%	0.1%	1.4%	0.5%
0399 Admin & Office Support Student (STEP)	52.9%	47.1%	35.7%	35.7%	13.9%	12.2%	0.0%	1.3%	1.3%
Occupational CLF	24.5%	75.5%	70.0%	14.3%	10.1%	3.6%	0.2%	1.2%	0.6%
2003 Supply Program Management	70.9%	29.1%	22.9%	52.4%	19.4%	3.5%	0.0%	0.4%	1.3%
Occupational CLF	65.2%	34.8%	69.8%	15.8%	8.1%	4.0%	0.4%	1.2%	0.6%
0511 Auditing	59.5%	40.5%	28.1%	41.1%	15.1%	10.8%	0.0%	1.6%	3.2%
Occupational CLF	39.9%	60.1%	76.0%	8.1%	6.1%	8.6%	0.1%	0.6%	0.5%
0560 Budget Analyst	39.0%	61.0%	27.4%	47.8%	11.5%	10.2%	0.0%	0.6%	2.5%
Occupational CLF	36.5%	63.5%	68.0%	16.1%	6.7%	7.0%	0.2%	1.1%	0.9%
1811 Criminal Investigating	79.6%	20.4%	48.3%	17.0%	21.8%	8.2%	0.0%	2.0%	2.7%
Occupational CLF	76.3%	23.7%	73.1%	11.8%	11.2%	2.1%	0.1%	1.1%	0.5%
1035 Public Affairs	45.8%	54.2%	47.8%	34.5%	14.2%	1.8%	0.0%	0.0%	1.8%
Occupational CLF	35.7%	64.3%	81.2%	7.8%	6.5%	3.3%	0.1%	0.7%	0.5%
1082 Writing and Editing	41.2%	58.8%	55.4%	20.5%	14.3%	5.4%	0.0%	1.8%	2.7%
Occupational CLF	43.1%	56.9%	86.8%	5.3%	3.5%	2.9%	0.0%	1.1%	0.4%
1530 Statistician	75.4%	24.6%	44.3%	34.4%	4.9%	13.1%	0.0%	3.3%	0.0%
Occupational CLF	52.7%	47.3%	75.9%	7.3%	4.9%	10.1%	0.3%	0.8%	0.7%

Source: OPM's USA Staffing Quarterly Data File; CLF data from Census. NHPI = Native Hawaiian/Pacific Islander; AIAN = American Indian/Alaska Native; and TOM = Two or More Races. Some occupations are excluded due to sample size.

Appendix B: Diversity Partners

Name
Hispanic Association of Colleges and Universities (HACU)
National Society of Hispanic MBA's (NSHMBA)
National Society of Hispanic MBA's (NSHMBA-DC)
White House Initiative on HBCU's
Association of Latino Professionals in Finance and Accounting (ALPFA)
D.C. Diverse Partners Network, Inc. (DDPN)
Hispanic Bar Association of the District of Columbia (HBA-DC)
Hispanic National Bar Association (HNBA)
National Association of Asian MBAs (Ascend NAAMBA)
National Association of Black Accountants (NABA)
National Association of Black Accountants (NABA) – DC
National Bar Association (NBA)
National Bar Association Greater Washington Area Chapter (GWAC)
National Black MBA Association, DC Chapter (NBMBA)
Ascend (ASCEND)
South Asian Bar Association of Washington, DC (SABA-DC)
Thurgood Marshall College Fund (TMCF)

Appendix C: FY 2015 Outreach Events

Event Name	Date
University of Miami - Fall 2014 Career Fair	October 1, 2014
Corporate Counsel Women of Color Annual Career Strategies Conference	October 10, 2014
National Association of Women MBAs 2014 Conference and Career Fair	October 11, 2014
George Washington University – The Chinese Finance Association Presentation	October 16, 2014
Thurgood Marshall College Fund Webinar - Careers that Count	October 16, 2014
Florida International University, Center for the Humanities in an Urban Environment Presentation	October 21, 2104
Florida International University Rulemaking for Women Lawyers Presentation	November 3, 2014
National Asian Pacific American Bar Association Annual Convention	November 6, 2014
2014 Ascend National Association of Asian MBAs Conference and Career Fair	November 7, 2014
Thurgood Marshall College Fund 2014 Leadership Institute	November 10, 2014
National Association of Black Accountants - Women of NABA Brunch	November 15, 2014
San Diego Initiative	November 17, 2014
Toigo Women in Leadership Groundbreakers Summit	December 11, 2014
American Bar Association Legal Career Development Expo	January 15, 2015
University of South Carolina – Black Law Students Association and Women in Law Association Presentation	January 28, 2015
Florida International University School of Law Public Interest Fair	January 29, 2015
Women's Bar Association of DC - Acing the Application Presentation	February 3, 2015
Association of Latino Professionals for America (ALPFA) Presentation	February 5, 2015
Thurgood Marshall College Fund Webinar - Internships - OHR	February 5, 2015
National Association of Securities Professionals Mentors Luncheon and Career Symposium	February 6, 2015
The League of United Latin American Citizens National Legislative Conference	February 11, 2015
Santa Clara Law 11th Annual Diversity Gala	February 12, 2015
Nova Southeastern University School of Law Public Interest Fair	February 19, 2015
Washington Bar Association of DC 12th Annual Career Fair	February 21, 2015
Wellesley College Career Fair	February 25, 2015
Wayne State University Career Fair	February 25, 2015
University of Michigan Career Fair	February 25, 2015
National Bar Association 28th Annual Corporate Counsel Conference	February 26, 2015
Delta Sigma Theta/Torch of Wisdom Foundation Presentation	February 26, 2015
Alabama State University Presentation	February 27, 2015
Georgetown Aspiring Minority Business Leaders and Entrepreneurs Diversity Dialogue Conference	February 27, 2015
Saint Mary's College of California, An Interview with Women in Federal Public Service	March 4, 2015
Professional Diversity Network, St. Louis Diversity Career Fair	March 10, 2015
Hispanic National Bar Association 6th Annual Corporate Counsel Conference	March 18, 2015
Thurgood Marshall College Fund Webinar - Internships - Accountants	March 25, 2015
Women in Technology International Virtual Career Fair	March 25, 2015
SEC Student Shadowing Program	March 26, 2015
National Society for Hispanic Professionals LatPro Diversity Job Fair - New York	April 1, 2015
Hispanic Bar Association of DC Career Fair	April 2, 2015
Harvard Latino Law, Policy, and Business Conference	April 3, 2015

Event Name	Date
Federal Bar Association Indian Law Conference	April 9, 2015
Native American Finance Officers Association Conference	April 20, 2015
Trinity University Career Week: Resume Clinic Employer Expo Design Your Career Path	April 23, 2015
Thurgood Marshall College Fund Webinar - Securities Compliance Examiners	May 5, 2015
Spelman College Women of Color Leadership Conference	May 13, 2015
National Society for Hispanic Professionals LatPro Diversity Job Fair - Denver	May 14, 2015
United Negro College Fund Student Gateway to Leadership Program	May 27, 2015
National Association of Black Accountants 2015 NABA National Convention & Expo	June 10, 2015
NYRO Accountants, Attorneys, and Examiners Open House Networking and Information Session	June 10, 2015
North American South Asian Bar Association 2015 Annual Conference	June 11, 2015
National Association of Securities Professionals Annual Pension and Financial Services Conference	June 15, 2015
Minority Corporate Counsel Association Creating Pathways to Diversity Conference	June 25, 2015
National Association for the Advancement of Colored People 106th Annual NAACP Convention	July 11, 2015
National Bar Association Annual Convention	July 19, 2015
National Urban League 2015 National Urban League Conference	July 29, 2015
National LGBT Bar Association Lavender Law Conference and Career Fair	August 5, 2015
Pan-Asian Leaders (ASCEND) National Conference	August 29, 2015
SEC Disability Invitational Hiring Event	September 1, 2015
Hispanic National Bar Association Annual Convention	September 2, 2015
Savannah State University "Evening with Business Professionals"	September 3, 2015
2015 NSHMBA DC Annual Career Management Program	September 11, 2015
Hawaii Outreach Initiative	September 15, 2015
Congressional Black Caucus "Expanding Access to Investment Capital at CBC Week Tech. Festival"	September 16, 2015
National Black MBA Association Annual Conference and Expo	September 22, 2015
Corporate Counsel Women of Color Career Strategies Conference	September 23, 2015
Professional Diversity Network, Dallas Diversity Career Fair	September 24, 2015
Howard University School of Law Brown Bag - SEC Student Internships	September 29, 2015

Source: Office of Minorities and Women Inclusion

Appendix D: Composition of Occupations by Gender, Race, and Ethnicity

Job Series	Men	Women	White	Black	Hispanic	Asian	NHPI	AIAN	TOM
FY 2015 Total Workforce	54.1%	45.9%	66.5%	16.3%	5.0%	11.3%	0.1%	0.4%	0.4%
National CLF	51.9%	48.1%	72.4%	12.0%	10.0%	3.9%	0.1%	1.1%	0.5%
0905 General Attorney	56.9%	43.1%	79.4%	7.0%	3.8%	9.3%	0.1%	0.3%	0.2%
Occupational CLF	66.7%	33.3%	86.4%	4.7%	4.4%	3.6%	0.0%	0.5%	0.4%
0510 Accounting	57.4%	42.6%	71.7%	8.5%	6.1%	13.2%	0.0%	0.3%	0.2%
Occupational CLF	39.9%	60.1%	76.0%	8.1%	6.1%	8.6%	0.1%	0.6%	0.5%
2210 Information Technology Management	73.5%	26.5%	44.4%	24.0%	7.2%	21.5%	0.4%	1.8%	0.7%
Occupational CLF	70.4%	29.6%	73.1%	11.1%	7.6%	6.7%	0.2%	0.8%	0.6%
0301 Miscellaneous Administration and Program	26.4%	73.6%	35.5%	50.0%	7.9%	4.5%	0.8%	0.0%	1.2%
Occupational CLF	36.7%	63.3%	70.9%	12.5%	8.7%	6.2%	0.1%	1.0%	0.6%
1831 Securities Compliance Examining	71.6%	28.4%	70.3%	8.1%	5.0%	16.2%	0.0%	0.0%	0.5%
Occupational CLF	54.7%	45.3%	72.4%	12.3%	6.7%	7.7%	0.0%	0.4%	0.5%
0343 Management and Program Analysis	31.3%	68.8%	43.0%	44.5%	4.7%	4.7%	0.0%	0.8%	2.3%
Occupational CLF	50.4%	49.6%	25.7%	47.0%	16.2%	7.7%	0.0%	0.6%	2.9%
0110 Economist	65.2%	34.8%	66.1%	2.7%	3.6%	26.8%	0.0%	0.9%	0.0%
Occupational CLF	69.9%	30.1%	46.3%	17.8%	11.4%	21.9%	0.3%	1.6%	0.6%
0950 Paralegal Specialist	13.3%	86.7%	48.9%	32.2%	8.9%	7.8%	0.0%	1.1%	1.1%
Occupational CLF	16.1%	83.9%	75.2%	9.5%	10.5%	3.4%	0.1%	0.7%	0.6%
0201 Human Resources Management	25.0%	75.0%	39.3%	48.2%	5.4%	5.4%	0.0%	1.8%	0.0%
Occupational CLF	39.7%	60.3%	74.6%	10.4%	9.5%	4.2%	0.1%	0.7%	0.5%
1102 Contracting	48.1%	51.9%	42.3%	36.5%	7.7%	9.6%	0.0%	1.9%	1.9%
Occupational CLF	46.2%	53.8%	80.0%	8.5%	7.1%	3.1%	0.1%	0.8%	0.4%
0303 Miscellaneous Clerk and Assistant	40.0%	60.0%	25.0%	72.5%	0.0%	2.5%	0.0%	0.0%	0.0%
Occupational CLF	24.5%	75.5%	70.0%	14.3%	10.1%	3.6%	0.2%	1.2%	0.6%
0501 Financial Administration and Program	23.1%	76.9%	33.3%	56.4%	5.1%	5.1%	0.0%	0.0%	0.0%
Occupational CLF	43.7%	56.3%	71.1%	12.3%	9.8%	4.9%	0.1%	1.2%	0.5%
1160 Financial Analysis	76.9%	23.1%	56.4%	12.8%	2.6%	28.2%	0.0%	0.0%	0.0%
Occupational CLF	67.1%	32.9%	76.0%	7.5%	5.1%	10.5%	0.1%	0.3%	0.5%
0318 Secretary	2.6%	97.4%	21.1%	63.2%	7.9%	7.9%	0.0%	0.0%	0.0%
Occupational CLF	4.0%	96.0%	77.8%	9.2%	9.1%	2.3%	0.1%	1.0%	0.5%
0340 Program Management	58.3%	41.7%	91.7%	4.2%	4.2%	0.0%	0.0%	0.0%	0.0%
Occupational CLF	36.7%	63.3%	70.9%	12.5%	8.7%	6.2%	0.1%	1.0%	0.6%
1801 General Insp. Invest. and Comp.	66.7%	33.3%	52.4%	28.6%	4.8%	9.5%	0.0%	0.0%	4.8%
Occupational CLF	53.6%	46.4%	73.2%	11.1%	8.7%	5.0%	0.2%	1.1%	0.6%
0986 Legal Assistant	15.8%	84.2%	15.8%	68.4%	10.5%	5.3%	0.0%	0.0%	0.0%
Occupational CLF	25.9%	74.1%	74.9%	10.1%	9.4%	3.9%	0.1%	1.2%	0.5%
1001 General Arts and Information	11.1%	88.9%	50.0%	33.3%	5.6%	11.1%	0.0%	0.0%	0.0%
Occupational CLF	55.0%	45.0%	84.4%	3.3%	6.0%	4.3%	0.1%	1.4%	0.5%
0511 Auditing	66.7%	33.3%	60.0%	20.0%	6.7%	13.3%	0.0%	0.0%	0.0%
Occupational CLF	39.9%	60.1%	76.0%	8.1%	6.1%	8.6%	0.1%	0.6%	0.5%
0080 Security Specialist	53.3%	46.7%	53.3%	46.7%	0.0%	0.0%	0.0%	0.0%	0.0%
Occupational CLF	36.7%	63.3%	70.9%	12.5%	8.7%	6.2%	0.1%	1.0%	0.6%
0399 Admin & Office Support Student Trainee (STEP)	57.1%	42.9%	28.6%	35.7%	14.3%	14.3%	0.0%	0.0%	7.1%
Occupational CLF	24.5%	75.5%	70.0%	14.3%	10.1%	3.6%	0.2%	1.2%	0.6%
1811 Criminal Investigating	69.2%	30.8%	61.5%	23.1%	7.7%	7.7%	0.0%	0.0%	0.0%
Occupational CLF	76.3%	23.7%	73.1%	11.8%	11.2%	2.1%	0.1%	1.1%	0.5%
0203 Human Resources Assistant	9.1%	90.9%	9.1%	90.9%	0.0%	0.0%	0.0%	0.0%	0.0%
Occupational CLF	17.2%	82.8%	63.0%	18.8%	12.8%	3.4%	0.1%	1.4%	0.5%
0904 Law Clerk	63.6%	36.4%	63.6%	18.2%	0.0%	18.2%	0.0%	0.0%	0.0%
Occupational CLF	66.7%	33.3%	86.4%	4.7%	4.4%	3.6%	0.0%	0.5%	0.4%
0560 Budget Analyst	55.6%	44.4%	44.4%	55.6%	0.0%	0.0%	0.0%	0.0%	0.0%
Occupational CLF	36.5%	63.5%	68.0%	16.1%	6.7%	7.0%	0.2%	1.1%	0.9%

Appendix D (Cont'd)

Job Series	Men	Women	White	Black	Hispanic	Asian	NHPI	AIAN	TOM
1701 General Education and Training	44.4%	55.6%	88.9%	11.1%	0.0%	0.0%	0.0%	0.0%	0.0%
Occupational CLF	62.5%	37.5%	79.5%	8.0%	7.1%	4.1%	0.1%	0.5%	0.7%
1802 Compliance Inspection and Support	25.0%	75.0%	62.5%	25.0%	12.5%	0.0%	0.0%	0.0%	0.0%
Occupational CLF	43.1%	56.9%	86.8%	5.3%	3.5%	2.9%	0.0%	1.1%	0.4%
1515 Operations Research Analyst	50.0%	50.0%	50.0%	16.7%	0.0%	33.3%	0.0%	0.0%	0.0%
Occupational CLF	51.4%	48.6%	74.4%	11.8%	6.4%	6.3%	0.2%	0.5%	0.5%
1082 Writing and Editing	33.3%	66.7%	83.3%	0.0%	0.0%	16.7%	0.0%	0.0%	0.0%
Occupational CLF	43.1%	56.9%	86.8%	5.3%	3.5%	2.9%	0.0%	1.1%	0.4%

Source: FPPS retrieved on November 9, 2015. CLF data from Census retrieved on January 4, 2016. NHPI = Native Hawaiian/Pacific Islander; AIAN = American Indian/Alaska Native, and TOM = Two or More Races. Mission Critical Occupations highlighted in red. Some occupations are excluded due to PII.

Appendix E: Supervisors and Managers Diversity FY 2012 – FY 2015

SK-15 Supervisors and Managers

	Total	Men	Women	White	Black	Hispanic	Asian	NHPI	AIAN	TOM
FY 2012	253	171	82	186	27	11	26	1	2	0
	100.0%	67.6%	32.4%	73.5%	10.7%	4.3%	10.3%	0.4%	0.8%	0.0%
FY 2013	268	179	89	193	31	10	31	1	1	1
	100.0%	66.8%	33.2%	72.0%	11.6%	3.7%	11.6%	0.4%	0.4%	0.4%
FY 2014	298	200	98	211	37	12	34	1	2	1
	100.0%	67.1%	32.9%	70.8%	12.4%	4.0%	11.4%	0.3%	0.7%	0.3%
FY 2015	318	211	107	225	38	12	38	1	4	1
	100.0%	66.4%	33.6%	70.8%	11.9%	3.8%	11.9%	0.3%	1.3%	0.3%
Percent Change	25.7%	23.4%	30.5%	21.0%	40.7%	9.1%	46.2%	0.0%	100.0%	0.0%

Source: FPPS retrieved on November 9, 2015. NHPI = Native Hawaiian/Pacific Islander; AIAN = American Indian/Alaska Native, and TOM = Two or More Races.

SK-17 Supervisors and Managers

	Total	Men	Women	White	Black	Hispanic	Asian	NHPI	AIAN	TOM
FY 2012	349	209	140	297	21	11	19	1	0	0
	1	0.599	0.401	0.851	0.06	0.032	0.054	0.003	0	0
FY 2013	343	200	143	277	25	15	23	1	2	0
	100%	58.30%	41.70%	80.80%	7.30%	4.40%	6.70%	0.30%	0.60%	0.00%
FY 2014	358	205	153	294	24	15	23	1	1	0
	100%	57.30%	42.70%	82.10%	6.70%	4.20%	6.40%	0.30%	0.30%	0.00%
FY 2015	370	214	156	301	27	16	24	1	1	0
	100.0%	57.8%	42.2%	81.4%	7.3%	4.3%	6.5%	0.3%	0.3%	0.0%
Percent Change	6.0%	2.4%	11.4%	1.3%	28.6%	45.5%	26.3%	0.0%	0.0%	0.0%

Source: FPPS retrieved on November 9, 2015. NHPI = Native Hawaiian/Pacific Islander; AIAN = American Indian/Alaska Native, and TOM = Two or More Races.