

United States Securities and Exchange Commission
Annual Equal Employment Opportunity Program Status Report



Fiscal Year 2011

Filed with U.S. Equal Employment Opportunity Commission

Pursuant to EEOC Management Directive 715

EEOC FORM 715-01

FY 2011 SEC Annual EEO Program Report

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EEOC FORM 715-01 PARTS A - D	U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT			
For period covering October 1, 2010 to September 30, 2011.				
PART A Department or Agency Identifying Information	1. Agency		1. United States Securities and Exchange Commission	
	1.a. 2 nd level reporting component		None	
	1.b. 3 rd level reporting component		None	
	1.c. 4 th level reporting component		None	
	2. Address		2. 100 F Street NE	
	3. City, State, Zip Code		3. Washington, District of Columbia, 20549	
	4. CPDF Code	5. FIPS code(s)	4. CPDF Code SE00	5. FIPS Code 8840
PART B Total Employment	1. Enter total number of permanent full-time and part-time employees		3,783	
	2. Enter total number of temporary employees		43	
	3. Enter total number employees paid from non-appropriated funds		0	
	4. TOTAL EMPLOYMENT [add lines B 1 through 3]		3,826	
PART C Agency Official(s) Responsible For Oversight of EEO and Related Program(s)	1. Head of Agency Official Title		1. Mary L. Schapiro, Chairman	
	2. Agency Head Designee		2. Alta G. Rodriguez, Director Office of Equal Employment Opportunity (Office of EEO)	
	3. Principal EEO Director/Official Official Title/series/grade		3. Alta G. Rodriguez, Director, Office of EEO	
	4. Title VII Affirmative EEO Program Official		4. Alta G. Rodriguez, Director, Office of EEO	
	5. Section 501 Affirmative Action Program Official		5. Alta G. Rodriguez, Director, Office of EEO	
	6. Complaint Processing Program Manager		6. Alta G. Rodriguez, Director, Office of EEO	
	7. Other Responsible Officials		7. Lacey Dingman, Director, Office of Human Resources	

**EEOC FORM 715-01
PARTS A – D**

EEOC FORMS and Documents Included With This Report			
*Executive Summary [FORM 715-01 PART E], that includes segments listed:	X	*Optional Annual Self-Assessment Checklist Against Essential Elements [FORM 715-01PART G]	X
Brief paragraph describing the agency's mission and mission-related functions		*EEO Plan To Attain the Essential Elements of a Model EEO Program [FORM 715-01PART H] for each programmatic essential element requiring improvement	X
Summary of results of agency's annual self-assessment against MD-715 "Essential Elements"		*EEO Plan To Eliminate Identified Barrier [FORM 715-01 PART I] for each identified barrier	X
Summary of Analysis of Work Force Profiles including net change analysis and comparison to RCLF		*Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals With Targeted Disabilities for agencies with 1,000 or more employees [FORM 715-01 PART J]	X
Summary of EEO Plan objectives planned to eliminate identified barriers or correct program deficiencies		*Copy of Workforce Data Tables as necessary to support Executive Summary and/or EEO Plans	X
Summary of EEO Plan action items implemented or accomplished		*Copy of data from 462 Report as necessary to support action items related to Complaint Processing Program deficiencies, ADR effectiveness, or other compliance issues.	NA
*Statement of Establishment of Continuing Equal Employment Opportunity Programs [FORM 715-01 PART F]	X	*Copy of Facility Accessibility Survey results as necessary to support EEO Action Plan for building renovation projects	NA
*Copies of relevant EEO Policy Statement(s) and/or excerpts from revisions made to EEO Policy Statements	X	*Organizational Chart	X

**EEOC FORM 715-01
PART E**

EXECUTIVE SUMMARY

**United States Securities and Exchange Commission
October 1, 2010, to September 30, 2011.**

I. Mission of the SEC

The mission of the U.S. Securities and Exchange Commission (SEC or Commission) is to protect investors, maintain fair, orderly, and efficient markets, and facilitate capital formation.

The SEC monitors a securities industry comprised of more than 35,000 registrants, including approximately 10,000 publicly-traded companies; 11,000 investment advisers; 7,500 mutual funds; 5,000 broker-dealers; 500 transfer agents; 15 national securities exchanges; 9 clearing agencies; and 10 credit rating agencies.

The SEC's core values are integrity, accountability, effectiveness, teamwork, fairness, and commitment to excellence. In order to accomplish its mission most effectively and efficiently, the SEC consists of five presidentially-appointed Commissioners who have staggered five-year terms. One of them is designated by the President as Chairman of the Commission – the agency's Chief Executive. In 2009, President Barack Obama designated Chairman Mary L. Schapiro as the Commission's Chief Executive.

The SEC is organized into five main divisions (Corporation Finance; Enforcement; Investment Management; Trading and Markets; and Risk, Strategy, and Financial Innovation) and 18 operational offices. The Commission's headquarters is located in Washington, D.C., and there are 11 regional offices located throughout the country. As of September 30, 2011, the SEC employed 3,826 full-time employees (FTEs), consisting of 3,783 permanent employees and 43 temporary employees. *See Table A1.*

II. Model EEO Program Assessment

A. Demonstrated Commitment from Agency Leadership

Chairman Mary L. Schapiro's clear commitment to equal employment opportunity (EEO) and Diversity and Inclusion (D&I) is evident in her message to all employees:

"As we work toward fulfilling our mission of protecting investors, maintaining fair, orderly, and efficient markets, and facilitating capital formation, I want to express my commitment to strengthening and maintaining a high-quality work environment that fully utilizes the talents and capabilities of every individual, from all backgrounds, walks of life, and organizational levels. We must dedicate ourselves to promoting and ensuring diversity, inclusion, and equal employment opportunity (EEO) for all employees and applicants for employment regardless of race, color, sex, sexual orientation, national origin, religion, age, genetic information or disability. These protections must continue to be provided and enforced in an atmosphere free of retaliation or reprisal."

Further, each Commissioner at the agency actively sponsors one or more of the nine Employee Resource Groups. Eight of these Employee Resource Groups are also sponsored by the Office of EEO (OEEO), as part of the SEC's EEO Special Emphasis Program. The remaining Employee Resource Group, which is the Veteran's Committee, is sponsored by the Office of Human Resources (OHR). Division Directors and Office Heads participate in OEEO events held throughout the year as part of the agency's ongoing Special Emphasis Programs and encourage employees to participate in these activities. An annual EEO Award is presented to show the Commission's special appreciation for those members of the staff who have significantly contributed to the advancement of equal employment and promotion opportunities for minorities and those with disabilities at the SEC or in their communities. In FY 2011, the SEC presented EEO Awards to the SEC Women's Committee and an employee from both the Atlanta and New York regional offices.

B. Integration of EEO into the Agency's Strategic Mission

The agency's Strategic Plan lists as Goal 4, the need to attract a highly effective and diverse workforce, and states, in pertinent part:

Goal 4: Enhance the Commission's performance through effective alignment and management of human, information, and financial capital.

Outcome 4.1: The SEC maintains a work environment that attracts, engages, and retains a technically proficient and diverse workforce that can excel and meet the dynamic challenges of market oversight.

Outcome 4.2: The SEC retains a diverse team of world-class leaders who provide motivation and strategic direction to the SEC workforce.

In support of this strategic goal and objectives, the SEC has developed ongoing partnerships and alliances with professional organizations to engage their membership and inform them about employment opportunities at the SEC. In FY 2011, these organizations included, the Washington, DC Chapters of the: Association of Latino

Professionals in Finance and Accounting; National Association of Black Accountants; Hispanic National Bar Association; Asian Pacific American Bar Association; National Black MBA's; and National Association of Asian MBA's. The SEC leverages these mutually beneficial alliances to reach a broader and more diverse pool of applicants for employment at the Commission. In addition, in FY2011, the SEC adopted a 5-year Disability Employment Plan to improve the agency's ability to attract, engage, hire, and retain individuals with disabilities.

Further, as required by Section 342 of the Dodd-Frank Wall Street Reform and Consumer Protection Act (Dodd-Frank Act), the SEC established the Office of Minority and Women Inclusion, to among other things, develop and execute programs and initiatives to enhance the diversity of the agency's workforce and agency contractors and subcontractors.

C. Management and Program Accountability

The EEO Director reports directly to the Chairman of the SEC. The OEEO staff is composed of seven (7) Attorneys, including the Director and a newly hired Deputy Director; an EEO Specialist; and a contract Administrative Assistant. OEEO program functions include counseling, alternative dispute resolution, investigation and final adjudication processes. Further, as mentioned above, OEEO coordinates with Employee Resource Groups to deliver Special Observance Programs to employees at headquarters and in the regions. OEEO delivers training in EEO via a "Lunch and Learn" series and various print materials. Consistent with the Notification and Federal Employee Antidiscrimination and Retaliation Act of 2002 (No FEAR Act), OEEO informs new employees of their rights and remedies under antidiscrimination laws and whistleblower protection laws within 90 days of their appointment. OEEO provides headquarters employees training on EEO and D&I topics. Regional office employees receive EEO and D&I training through interactive sessions, lectures, and seminars, some of which are broadcast via video teleconferences.

In FY 2012, the SEC will launch a Learning Management System (LMS) to deliver a variety of online training courses related to SEC business lines, as well as training and career development. The LMS will also track course completion. No FEAR Act training will be the first online training provided under the LMS to all employees.

As required by the No FEAR Act, the SEC posts EEO complaint processing data on its internal and public websites. In addition, although not required to do so, in FY 2011, the SEC posted its FY 2010 Annual EEO Program Report on its public website. Finally, all SEC managers and supervisors are evaluated on various competencies, two of which include EEO and D&I elements.

D. Proactive Prevention of Unlawful Discrimination

As part of our proactive prevention efforts, the SEC publishes EEO policies covering harassment prevention, reasonable accommodation, and religious discrimination on its internal website. In FY 2011, the SEC redesigned its EEO posters to provide employees and applicants for employment notice of their EEO rights and highlight the 45-day time limit for contacting an EEO Counselor. These posters are prominently displayed at headquarters and regional offices in high-traffic areas where applicants for employment as well as employees can easily view them. On its public website, the SEC publishes

information on its Disability Program Office and reasonable accommodation procedures, as well as the SEC's EEO policies and information about OEEEO and the EEO complaint process. All electronic information is accessible to users in compliance with section 508 of the Rehabilitation Act. Further, the SEC's premises are accessible to persons with physical disabilities in compliance with the Architectural Barriers Act. Finally, to examine whether any barriers to equal employment opportunities exist for the workforce, in FY 2011, the SEC contracted with a vendor to provide a comprehensive 5-year barrier analysis.

E. Efficiency

In FY 2011, all EEO counseling matters were completed within the regulatory time limits set by the Equal Employment Opportunity Commission (EEOC), and one was settled using the alternative dispute resolution process. The SEC uses collateral duty EEO Counselors to provide EEO counseling and contract EEO Counselors, when needed.

In FY 2011, formal EEO complaints filed totaled nine (9) – four (4) complainants were applicants and five (5) complainants were employees. The five (5) employees who filed complaints comprised only 0.13% of the SEC's workforce.

The average processing time for issuing final agency decisions in FY 2011 was 47.43 days. This average reflects formal complaints that were filed between FY 2009 and FY 2011. Comparing average EEO investigation processing times annually, there was a 10% decrease from 195 days in FY 2010, to 175 days in FY 2011.

The SEC continues to achieve efficiencies in complaints processing by using the Micropact application called i-Complaints. This web-based system tracks complaint processing in real time and from the date that an individual contacts an EEO Counselor until the SEC issues a final agency decision, if any. This web-based system not only increases efficiency but also increases data security and ensures continuity of operations.

F. Responsiveness and Legal Compliance

The SEC has conducted an annual self-assessment of Section 717 and Section 501 programs against the essential elements, as prescribed by EEOC's Management Directive 715 (MD-715). If an essential element was not fully compliant with the standards of EEOC MD-715, a further evaluation was conducted and, as appropriate, EEO Plans for Attaining the Essential Elements of a Model EEO Program are included with this EEO Program Status Report.

The agency has also analyzed its workforce profiles and conducted preliminary barrier analyses aimed at detecting whether any personnel policy, procedure, or practice is operating to disadvantage any employee group based on race, ethnicity, sex or disability. EEO Plans to eliminate identified barriers, as appropriate, are included with this EEO Program Status Report.

III. Summary Analysis of Workforce Profiles and Barrier Analysis

A. Total SEC Workforce

At the beginning of FY 2011, the SEC's total workforce was 3,897 employees. By the end of the fiscal year, the SEC's workforce had decreased to 3,826 employees or by 2%. See Tables A1, A8 and A14.

The SEC hires from all regions of the United States. For purposes of this report, the benchmark used for examining our workforce demographics is the national workforce or Civilian Labor Force (CLF). The following table highlights the participation rates for demographic groups¹ in the CLF, as shown in the 2000 U.S. Census.

2000 CLF %	All	Male	Female
White	72.77	39.03	33.74
Hispanic or Latino	10.6	6.17	4.52
African American	10.5	4.84	5.66
Asian	3.63	1.92	1.71
Two or More Races	1.64	0.88	0.76
American Indian/Alaskan Native	0.66	0.34	0.32
Native Hawaiian/Other Pacific Islander	0.11	0.06	0.05

In comparison, the demographic groups represented in the SEC's total workforce are as follows:

2011 Total SEC %	All	Male	Female
White	68.54	40.02	28.52
Hispanic or Latino	4.78	2.43	2.35
African American	16.68	4.97	11.71
Asian	9.25	4.21	5.04
Two or More Races	0.39	0.13	0.26
American Indian/Alaskan Native	0.26	0.13	0.13
Native Hawaiian/Other Pacific Islander	0.10	0.05	0.05

Notably, Hispanic, American Indian/Alaskan Native, and Native Hawaiian/Other Pacific Islander employees are represented at the SEC below their availability in the CLF (by -5.82%, -0.40, and -0.01, respectively).

In FY 2011, employees who self-identified as having a targeted disability comprised less than 1% of the SEC's workforce. See Table B1.

The CLF does not provide data to assess disability statistics comparable to the race, ethnicity and sex data highlighted above. The benchmark for employment of individuals with disabilities is based on the Office of Personnel Management's guidance issued

¹ In accordance with EEOC's regulations, 29 C.F.R. §1614.601, this report only analyzes workforce demographics with respect to race, ethnicity, sex and disability.

pursuant to Executive Order 13548. That guidance requires federal agencies to establish Disability Employment Plans consistent with the new Federal government goal of hiring 100,000 additional individuals with disabilities over the next 5 years, including those with targeted disabilities.² The SEC’s Disability Employment Plan (Disability Plan) for FY 2011 – FY 2016 establishes the following goals: 6% of all new hires will be individuals with disabilities and 1.5% of all new hires will be individuals with targeted disabilities. See *Disability Plan* at p.12.

B. New Hires

In FY 2011, the SEC hired 189 permanent employees distributed as shown in the table below.

<i>From Table A8 New Hires</i>		All	Hispanic		White		African American		Asian	
			Male	Female	Male	Female	Male	Female	Male	Female
Permanent Hires	#	189	5	2	82	58	11	11	8	8
	%	97.9	2.7	1.1	43.4	30.7	5.8	5.8	4.2	4.2
Total workforce	#	3,826	93	90	1531	1091	190	448	161	193
	%	99.25	2.4	2.4	40.0	28.5	5.0	11.7	4.2	5.0
2000 CLF	%	97.59	6.2	4.5	39.0	33.7	4.8	5.7	1.9	1.7

Three demographic groups that are not highlighted in this table are each below 1% of the SEC’s workforce with respect to hires: Native Hawaiian/Other Pacific Islander (Males - 0.53, Females - 0.0); American Indian/Alaskan Native (Males - 0.0%, Females - 0.53%); and Two or More Races (Males - 0.0%). See *Table A8 for more data on these three demographic groups*. As for data on hires with a targeted disability, there were two permanent employees hired during FY 2011 who had a targeted disability. See *Table B8*.

C. Major Occupations: Attorneys and Accountants

Attorneys and Accountants are the SEC’s major occupational groups. In FY 2011, the SEC employed 1,634 attorneys (approximately 43% of the total SEC workforce) and 977 accountants (approximately 26% of the total SEC workforce). See *Table A6*. Comparison demographics for these two occupational groups are highlighted below.

1. Attorneys

In FY 2011, Female attorneys (inclusive of Hispanic, White, African American, and Asian Female attorneys) comprised a total of 42.5 % of the SEC’s workforce, exceeding their representation in the civilian workforce of attorneys of 28.7%. Similarly, African American and Asian Male attorneys at the SEC were represented above their attorney CLF (by +1.6% and +1.5%, respectively). Trending the other direction, Hispanic or Latino Male attorneys at the SEC represented 2.0% of all attorneys, slightly lower than their representation of 2.1% in the civilian workforce of attorneys. White Male attorneys

² There are nine targeted disabilities: total deafness, total vision loss, partial paralysis, complete paralysis, epilepsy, severe intellectual disability, psychiatric disability, and dwarfism.

at the SEC represented 48.0% of all attorneys at the SEC, while they represent 65.2% of the civilian workforce of attorneys.

Attorneys

Major Occupation	Total	All		Hispanic or Latino		White		African American		Asian	
		M	F	M	F	M	F	M	F	M	F
SEC Attorneys #	1,634	939	695	33	27	784	530	59	54	60	78
SEC Attorneys %	100	57.5	42.5	2.0	1.7	48.0	32.4	3.6	3.3	3.7	4.8
Attorneys CLF %	100	71.3	28.7	2.1	1.2	65.2	23.9	2.0	1.9	1.2	1.0

2. Accountants

With the exception of White Female and African American Female accountants, all demographic groups were employed in numbers close to (Hispanic Females) or above (White Males, Hispanic Males, African American Males, and Asians) their availability in the civilian workforce of accountants. White Female accountants represent 43% of the civilian workforce of accountants but only comprise 28% of the SEC’s accountants. This has consistently been the largest occupational disparity between the SEC workforce and the civilian workforce of accountants. African American Female accountants represent 5.3% of the accounting CLF but only 4.7% of the SEC’s accountants.

Accountants

Major Occupation	Total	All		Hispanic or Latino		White		African American		Asian	
		M	F	M	F	M	F	M	F	M	F
SEC Accountants #	977	565	412	31	29	451	273	28	46	53	62
SEC Accountants %	100	57.8	42.2	3.2	3.0	46.2	27.9	2.9	4.7	5.4	6.4
Accounting CLF %	100	43	57	2.0	3.1	35.1	42.8	2.6	5.3	2.7	4.7

See Table A6.

D. Supervisory and Management Demographics

Typically, the internal feeder pools for supervisory and management positions at the SEC are as follows: SK-14 to SK-15; SK-15 to SK-17; and SK-17 to Senior Officers (SO)³. At the SEC, SK-16s are typically non-supervisory positions. In general, the participation rates for employees in supervisory and management positions (SK-17 and SO) is lower than their participation rates in the respective feeder pools for the following demographic groups: All Females, Hispanic Females, African Americans and Asians.

³ SOs are equivalent to Senior Executive Service (SES) employees.

Supervisory and Management Demographics

SEC Pay Level	TOTAL	All		Hispanic or Latino		White		African American		Asian	
		M	F	M	F	M	F	M	F	M	F
SO #	125	85	40	5	1	73	38	2	1	3	0
SO %	100	68	32	4	0.8	58.4	30.4	1.6	0.8	2.4	0
SK 17 #	334	201	133	7	4	177	103	9	13	7	11
SK 17 %	100	60.2	39.8	2.1	1.2	53.0	30.8	2.7	3.9	2.1	3.3
SK 16 #	376	228	148	6	5	196	121	8	12	16	9
SK 16 %	100	60.6	39.4	1.6	1.3	52.1	32.2	2.1	3.2	4.3	2.4
SK 15 #	294	192	102	9	4	148	73	14	16	18	9
SK 15 %	100	65.3	34.7	3.1	1.4	50.3	24.8	4.8	5.4	6.1	3
SK 14 #	1687	912	775	46	41	715	524	62	90	86	113
SK 14 %	100	54.1	45.9	2.7	2.4	42.4	31.1	3.7	5.3	5.1	6.7

See Table A4-1.

IV. Summary of Objectives Planned to Correct Program Deficiencies for FY 2012

In its FY 2011 report, the SEC identified a number of primary objectives to improve its EEO Program. These included: obtaining applicant flow data; conducting barrier analyses; providing EEO training using a Learning Management System to track employee compliance with mandatory training programs; and assessing regional office compliance with EEO requirements. The SEC made progress on many of these objectives in FY 2011.

The SEC continues to strive to obtain applicant flow and upward mobility/promotion data in FY 2012. The SEC will work with the Office of Personnel Management (OPM), USA Jobs, and vendors to obtain current and reliable applicant flow data. Once the SEC has access to such data, the EEO Office will be better equipped to periodically examine workforce demographics and other qualitative data to analyze whether there are barriers to equal employment opportunity at the Commission.

In addition to these objectives, the SEC will:

- Make concerted efforts to increase the number of hires with severe/targeted disabilities and fully engage them into the SEC workforce.
- More frequently communicate to all employees (particularly, managers and supervisors) the Commission’s EEO Policy, the resources available through the Disability Employment Program and the SEC’s reasonable accommodation procedures.
- Provide updated training to supervisors on their responsibilities to provide reasonable accommodation for employees with disabilities (Rehabilitation Act of 1973) and for religious practices and beliefs (Title VII of the Civil Rights Act of 1964).
- Deliver mandatory training to all employees as required by the No FEAR Act.

- Develop supplemental training on EEO and D&I topics for all employees.

V. Summary of FY 2011 Accomplishments

A. Recruitment and Hiring

In FY 2011, the SEC made a concerted effort to expand the pool of diverse candidates for employment opportunities with the Commission. The SEC increased the number of diversity-related partnerships and alliances with professional associations and educational organizations in order to recruit diverse career professionals. The SEC held quarterly meetings with representatives from the following organizations:

- Association of Latino Professionals in Finance and Accounting;
- National Association of Black Accountants;
- National Black MBA Association;
- National Association of Asian MBAs;
- South Asian Bar Association;
- Hispanic National Bar Association;
- Hispanic Bar-DC; and
- Greater Washington Area Chapter of the National Bar Association.

Leveraging these alliances, the SEC invited the membership of these organizations to a recruitment event that the SEC hosted at Headquarters in June 2011. The SEC also held a similar recruitment event at its Philadelphia Regional Office.

The SEC also sponsored conferences, provided speakers, and/or recruited applicants for employment at numerous venues throughout the calendar year, including:

- The 2011 Congressional Black Caucus (CBC) *“For the People” Jobs Initiative* in Atlanta, Miami, and Los Angeles;
- Association of Latino Professionals in Finance and Accounting Annual Convention;
- Hispanic National Bar Association Annual Convention;
- National Black MBA Association’s DC Chapter Pre-Conference Career Expo;
- National Association of Asian MBAs Annual Leadership Conference;
- National LGBT Bar Association Lavender Law Conference;
- Corporate Counsel Women of Color 7th Annual Career Strategies Conference;
- National Association of Black Accountants 35th Annual Eastern Region Student Conference;
- U.S. Business Leadership Network Disability in the Workplace, Marketplace and Supply Chain Annual Conference;
- Hispanic Heritage Foundation LOFT Youth Awards regional ceremony;
- Securities Industry and Financial Markets Association Annual Meeting;
- Securities Industry and Financial Markets Association Diversity Roundtable;
- National Asian Pacific American Bar Association Annual Convention;

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- Hispanic Bar Association of DC 34th Annual Equal Justice Awards Reception; and
- Federal Bar Association of DC Indian Law Conference.

Furthermore, as part of its talent pipeline development efforts, the SEC developed and implemented a number of critical initiatives, including:

- Hosting a Leadership, Career and Financial Planning seminar for high school, college and graduate students, in partnership with the Hispanic Heritage Foundation, the Asian and Pacific Islander American Scholarship Fund, and the Thurgood Marshall College Fund;
- Hosting the Hispanic Heritage Foundation's LOFT Institute Actionable Leadership Summit, which trained and equipped 50 selected Latino college students from 35 colleges and 15 states to make a measurable, positive impact in their classrooms, communities, and in the U.S. workforce;
- Partnering with the National Academy of Finance to host a Student Shadowing Program for over 200 high school students who learned more about the securities and financial services industry (and the work of the Commission) by "shadowing" SEC professionals for a day; and
- Continuing to support the SEC-sponsored securities law course at Florida International University School of Law taught by SEC staff volunteers.

B. Employee Engagement: Diversity & Inclusion Programs for Employees

All employees are encouraged to participate in Employee Resource Groups sponsored by the SEC. These groups provide networking, mentoring and outreach opportunities to all interested employees; sponsor cultural and educational programs; support the SEC's D&I efforts; and make programmatic recommendations to the EEO Director. Each group has an SEC Commissioner as a sponsor and receives program support from OEEO and/or OHR.

Nine groups were active in FY 2011:

- African American Council;
- American Indian Heritage Committee;
- Asian Pacific American Committee;
- Caribbean American Heritage Committee;
- Disability Issues Advisory Committee;
- Hispanic Employment Committee;
- Lesbian, Gay, Bisexual, and Transgender Committee;
- Veteran's Committee; and
- Women's Committee.

In FY 2011, the SEC observed numerous Heritage, History and Awareness months with events held in regional offices and at Headquarters, and where possible, these programs were video-cast throughout the Commission.

The SEC also piloted a project in two regional offices designed to reduce conflict between supervisors and non-supervisors that can lead to discord, miscommunication,

and ultimately allegations of employment discrimination. The project included discussions and training of employees and managers on effective interaction skills necessary to enhance the workplace environment and maximize employee engagement and performance.

C. Training & Leadership Development

The SEC provided numerous opportunities for employees to acquire the skills and certifications needed to succeed in their positions as well as in positions with supervisory or management responsibilities. OHR provided classroom-style and e-Learning programs and offered an extensive range of learning opportunities in subject matter areas, e.g., courses on Hedge Funds, Mutual Funds, Credit Derivatives, etc. In addition, OHR also developed and launched leadership development programs for supervisors, and offered all employees opportunities to learn about a number of leadership topics from guest speakers and authors, through the *Leading Author* series.

The SEC's EEO Office also provided training to employees and supervisors on the following topics:

- Diversity, EEO and Preventing EEO-Based Harassment;
- Tips for Managers on how to manage a diverse workforce;
- Advanced training to gain a better appreciation of diverse perspectives;
- Hiring Do's and Don'ts for Hiring Committees; and
- Unconscious Bias (via well-known and respected expert, Howard Ross).

D. Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals with Targeted Disabilities

In April 2011, the SEC submitted its 5-year Disability Employment Plan to the Office of Personal Management. As part of the plan, the SEC committed that 1.5% of all new hires would be individuals with targeted disabilities, and 6% of all new hires would be individuals with other disabilities.

OHR accomplished a number of objectives to achieve these goals. Most notably, OHR established a Schedule A policy, including a written process and procedures for hiring applicants with severe disabilities. In addition, the Disability Program Officer provided training to all HR specialists and senior managers throughout the Agency on Schedule A and disabled veteran hiring authorities.

The SEC participated in a number of hiring and recruiting activities to attract individuals with targeted disabilities. Of the 189 permanent employees hired in FY 2011, two (2) individuals (or 1.05% of new hires) self-identified as having a targeted disability. Of the 234 employees who separated during FY 2011, two (2) individuals (or 1.67% of those who voluntarily separated from the SEC) self-identified as having a targeted disability. Unfortunately, as a result of limited hiring and the separation of the two employees, the SEC's workforce of permanent employees with targeted disabilities dropped incrementally (from 1.02% in FY 2010 to 0.98% in FY 2011).

See Tables B1, B8 and B14.

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The SEC's Disability Employment Program reports the following achievements for FY 2011:

- The SEC offered a financial literacy course at Gallaudet University (the only university in which all programs and services are specifically designed for deaf and hard-of-hearing students).
- The SEC's Disability Program Officer served on external focus group discussions on disability recruitment and hiring at the invitation of the Partnership for Public Service and the Office of Personnel Management; recruited individuals with disabilities on behalf of the Workforce Recruitment Program; and presented workshops at the annual Perspectives on Employment of Persons with Disabilities Conference.
- The SEC awarded a new contract to provide reader services to its blind employees.
- The SEC dedicated a full-time OIT Specialist to meet the assessment, training and troubleshooting needs of employees with disabilities who use assistive technology products.
- The SEC developed tracking mechanisms and a monthly report to monitor disability hiring activity and progress towards meeting its hiring goals.
- The SEC's Employee Resource Groups, including its Diversity and Inclusion Council, Disability Issues Advisory Committee and Veteran's Committee, were recognized as "*Innovative Ideas*" in OPM's review of the SEC's Disability Employment Plan.

See Tables B1, B8 and B14.

**U.S. Equal Employment Opportunity Commission
FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT**

715-01 PART F

CERTIFICATION of ESTABLISHMENT of CONTINUING EQUAL EMPLOYMENT OPPORTUNITY PROGRAMS

I, Alta G. Rodriguez, EEO Director, Senior Officer, am the Principal EEO Director/Official for the United States Securities and Exchange Commission.

The agency has conducted an annual self-assessment of Section 717 and Section 501 programs against the essential elements as prescribed by EEO MD-715. If an essential element was not fully compliant with the standards of EEO MD-715, a further evaluation was conducted and, as appropriate, EEO Plans for Attaining the Essential Elements of a Model EEO Program are included with this Federal Agency Annual EEO Program Status Report.

The agency has also analyzed its work force profiles and conducted barrier analyses aimed at detecting whether any management or personnel policy, procedure or practice is operating to disadvantage any group based on race, national origin, gender or disability. EEO Plans to Eliminate Identified Barriers, as appropriate, are included with this Federal Agency Annual EEO Program Status Report.

I certify that proper documentation of this assessment is in place and is being maintained for EEOC review upon request.

Signed by Alta G. Rodriguez	3/1/12
Signature of Principal EEO Director/Official Certifies that this Federal Agency Annual EEO Program Status Report is in compliance with EEO MD-715.	Date
Signed by Mary L. Schapiro	3/1/12
Signature of Agency Head or Agency Head Designee	Date

Note: Next page is Part H-1

**715-01 PART H - 1
EEO Plan to Attain the Essential Elements of a Model EEO Program**

United States Securities and Exchange Commission 2011		FY
STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:	Applicant flow data was not included in FY 2011 workforce analysis.	
OBJECTIVE:	Obtain FY 2012 applicant flow data to conduct a trends analysis.	
RESPONSIBLE OFFICIAL:	Alta G. Rodriguez, Director, Office of EEO	
DATE OBJECTIVE INITIATED:		10/30/2011
TARGET DATE FOR COMPLETION OF OBJECTIVE:		9/30/2012
Overview		
<p>The USA Jobs 3.0 system collects demographic data as part of a candidate's standard system profile. As a candidate submits his or her application, he or she can voluntarily include his/her demographic data as part of the USA Jobs application. To the extent that SEC applicants opt into this process, the demographic data retrieved from this process will better inform the agency's efforts to attract a more diverse applicant pool for SEC positions and assess whether the recruitment process contains barriers to equal opportunities for any demographic group.</p>		
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE		TARGET DATE
Benchmark the practices at other small agencies for obtaining applicant flow data.		6/30/2012
Develop a pilot program in selected offices and divisions using alternative sources of data related to applicant flow in the major occupations (attorneys and accountants).		7/30/2012
Evaluate the impact of using Excepted Service and other hiring authorities on obtaining applicant flow data for attorneys and accountants.		9/30/2012

**715-01 PART H - 2
EEO Plan to Attain the Essential Elements of a Model EEO Program**

United States Securities and Exchange Commission 2011		FY
STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:	The SEC did not train all employees in FY 2011 on rights and remedies under anti-discrimination laws and whistleblower protection laws.	
OBJECTIVE:	The SEC will deliver No FEAR Act training to all employees in FY 2012, electronically and will deliver ongoing training via interactive training sessions.	
RESPONSIBLE OFFICIAL(s):	Alta G. Rodriguez, Director, Office of EEO	
DATE OBJECTIVE INITIATED:		10/1/2011
TARGET DATE FOR COMPLETION OF OBJECTIVE:		9/30/2012 and ongoing
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE		TARGET DATE
Complete migration of all employees into the SEC's Learning Management System (LMS).		3/30/2012
Issue notice to all employees requiring each to complete No FEAR Act training.		9/30/2013
Deliver on-line No FEAR Act training to all employees.		9/30/2014
Instruct newly-hired employees to complete on-line No FEAR Act training within first 90 days on duty.		6/30/2012 - 9/30/2012
Track employees' completion of on-line No FEAR Act training in FY 2012.		09/30/2012 and ongoing
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE		
<ul style="list-style-type: none"> • Conducted market research into available online No FEAR Act Training and identified product providing best value to the SEC • Acquired training through Interagency acquisition • Modified training for SEC employees • Completed acquisition of Learning Management System to deliver and track employee completion of training • Migrated supervisory employees into the LMS 		

**715-01 PART H - 3
EEO Plan to Attain the Essential Elements of a Model EEO Program**

United States Securities and Exchange Commission 2011		FY
STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:	The SEC has not assessed regional offices' efforts to "achieve a model EEO program and eliminate discrimination under Title VII and the Rehabilitation Act." See EEOC Management Directive 715.	
OBJECTIVE:	The SEC will conduct assessments in the regional offices beginning in FY 2012	
RESPONSIBLE OFFICIAL(s):	Alta G. Rodriguez, Director, Office of EEO	
DATE OBJECTIVE INITIATED:		10/1/2011
TARGET DATE FOR COMPLETION OF OBJECTIVE:		9/30/2012 and ongoing
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE		TARGET DATE
The SEC will conduct assessments in the regional offices beginning in FY 2012.		9/30/2012
In collaboration with regional offices and OHR, the EEO Director will evaluate results of assessments and develop action items as appropriate in FY 2013.		9/30/2013
The regional offices will implement action items as appropriate beginning in FY 2014.		9/30/2014
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE		
This objective was established in FY 2011; however, the SEC did not have sufficient resources to begin regional office assessments in FY 2011. The objective is therefore modified to reflect new target dates.		

**715-01 PART H - 4
EEO Plan to Attain the Essential Elements of a Model EEO Program**

United States Securities and Exchange Commission 2011		FY
STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:	Supervisors and/or hiring officials need updated and periodic training related to the hiring, promotion, and reasonable accommodation of individuals with disabilities.	
OBJECTIVE:	All supervisors and/or hiring officials will be trained on their responsibilities with respect to hiring, promoting and reasonably accommodating individuals with disabilities.	
RESPONSIBLE OFFICIAL(s):	Lacey Dingman, Director, Office of Human Resources Alta G. Rodriguez, Director, Office of EEO	
DATE OBJECTIVE INITIATED:		10/1/2011
TARGET DATE FOR COMPLETION OF OBJECTIVE:		9/30/2012 and ongoing
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE		TARGET DATE
The SEC will inform supervisors and/or hiring officials of their responsibilities related to the employment of individuals with disabilities by providing mandatory training and periodically disseminating information related to interviewing, hiring, and accommodating and promoting employees with disabilities – in particular those with targeted disabilities.		9/30/2012
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE		
Supervisors and/or hiring officials in the SEC's largest organization (Division of Enforcement) were trained on their responsibilities under the Rehabilitation Act, as amended by the ADA and the ADA Amendments Act and the SEC's Disability Employment Plan. Training to continue in FY 2012 in the Division of Enforcement.		

**PART I -1
EEO Plan To Eliminate Identified Barrier**

United States Securities and Exchange Commission		FY 2011
<p>STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER: Provide a brief narrative describing the condition at issue. How was the condition recognized as a potential barrier?</p>	<p>In general, the percentage of all Females in supervisory and management positions is lower than their percentages in the respective feeder pools.</p> <p>The percentage of African Americans, Asians, and Hispanic Females in supervisory and management positions is lower than their percentages in the respective feeder pools.</p>	
<p>BARRIER ANALYSIS: Provide a description of the steps taken and data analyzed to determine cause of the condition.</p>	<p>The SEC analyzed FY 2011 Data in Table A4-1P Participation Rates Across SK Grades.</p>	
<p>STATEMENT OF IDENTIFIED BARRIER: Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.</p>	<p>Although there was no barrier identified for these triggers, the SEC notes that the percentage of women, African Americans, Asians, and Hispanic Females in supervisory and management positions is lower than their percentages in the respective feeder pools.</p>	
<p>OBJECTIVES: State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.</p>	<p>Analyze applicant flow data for women, African Americans, Asians, and Hispanic Females. Review policies, practices and procedures used by selecting officials and managers to determine the existence of any barriers to hiring or promoting women, African Americans, Asians, and Hispanic Females into supervisory and management positions.</p>	
<p>RESPONSIBLE OFFICIAL(s):</p>	<p>Alta G. Rodriguez, Director, Office of EEO</p>	
DATE OBJECTIVE INITIATED:		12/1/2010
TARGET DATE FOR COMPLETION OF OBJECTIVE:		9/30/2012
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE		TARGET DATE
<p>Upon the conclusion of the barrier analysis conducted in FY2012, the SEC will review the barrier analysis results and recommendations, and will develop appropriate action items.</p>		9/30/2012
<p>The SEC will begin implementing action items.</p>		9/30/2012
REPORT OF ACCOMPLISHMENTS		
<p>The SEC contracted with a vendor to conduct a barrier analysis of SEC personnel policies, practices and procedures to determine whether any barriers in hiring and/or promotion account for observed statistical differences noted in Table A4-1P.</p>		

**PART I - 2
EEO Plan To Eliminate Identified Barrier**

United States Securities and Exchange Commission		FY 2011
<p>STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER: Provide a brief narrative describing the condition at issue. How was the condition recognized as a potential barrier?</p>	The participation rates of individuals with targeted disabilities in the SEC workforce dropped to slightly below 1%.	
<p>BARRIER ANALYSIS: Provide a description of the steps taken and data analyzed to determine cause of the condition.</p>	The SEC analyzed disability data in Tables B1 and B8 and in Part J.	
<p>STATEMENT OF IDENTIFIED BARRIER: Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.</p>	Although there was no barrier identified for this trigger, the SEC notes that the percentage of individuals with targeted disabilities in the SEC workforce has not increased. Under Executive Order (EO) 13548, the Federal government has set a goal of hiring 100,000 additional individuals with disabilities over the next 5 years, including those with targeted disabilities. In April 2011, the SEC submitted its 5-year Disability Employment Plan to the Office of Personal Management.* As part of the plan, the SEC committed that 1.5% of all new hires would be individuals with targeted disabilities, and 6% of all new hires would be individuals with other disabilities.	
<p>OBJECTIVES: State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.</p>	Increase the number of individuals with severe/targeted disabilities hired and effectively integrate them into the SEC workforce.	
<p>RESPONSIBLE OFFICIAL(S):</p>	Alta G. Rodriguez, Director, Office of EEO Lacey Dingman, Director, Office of Human Resources	
DATE OBJECTIVE INITIATED:		09/30/2010
TARGET DATE FOR COMPLETION OF OBJECTIVE:		09/30/2012
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE		TARGET DATE
See Part H- 4 for Planned Activities Toward Completion of Objective		09/30/2012
REPORT OF ACCOMPLISHMENTS See Part H-4 for Report of Accomplishments.		

**PART I - 3
EEO Plan To Eliminate Identified Barrier**

United States Securities and Exchange Commission		FY 2011
<p>STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER: Provide a brief narrative describing the condition at issue. How was the condition recognized as a potential barrier?</p>	White Female accountants and White Male attorneys were employed at the SEC at levels below their CLF availability.	
<p>BARRIER ANALYSIS: Provide a description of the steps taken and data analyzed to determine cause of the condition.</p>	The SEC analyzed data in Table A6 comparing SEC major occupations to the Civilian Labor Force.	
<p>STATEMENT OF IDENTIFIED BARRIER: Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.</p>	Although there was no barrier identified for this trigger, the SEC notes that White Female accountants and White Male attorneys were employed at the SEC at levels below their CLF availability.	
<p>OBJECTIVES: State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.</p>	Analyze data to determine the existence of any barriers to hiring impacting White Female accountants and White Male attorneys.	
RESPONSIBLE OFFICIAL(s):	Lacey Dingman, Director, Office of Human Resources Alta G. Rodriguez, Director, Office of EEO	
DATE OBJECTIVE INITIATED:	09/30/2010	
TARGET DATE FOR COMPLETION OF OBJECTIVE:	09/30/2012	
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE	TARGET DATE	
Obtain applicant flow data for attorneys and accountants.	9/30/2012	
REPORT OF ACCOMPLISHMENTS		
The SEC contracted with a vendor to conduct a barrier analysis of SEC personnel policies, practices and procedures to determine whether any barriers in hiring and/or and or promotion account for observed statistical differences noted in <i>Table A 6</i> .		

**PART I - 4
EEO Plan To Eliminate Identified Barrier**

United States Securities and Exchange Commission		FY 2011
<p>STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER: Provide a brief narrative describing the condition at issue. How was the condition recognized as a potential barrier?</p>	The 2000 CLF is 10.7% Hispanic while the SEC workforce is 4.78% Hispanic.	
<p>BARRIER ANALYSIS: Provide a description of the steps taken and data analyzed to determine cause of the condition.</p>	<p>Data analyzed: Total Workforce compared to CLF in Table A1. In FY 2011, the net change in the percentage of SEC Hispanic employees rose for Males from 2.26% in FY 2010 to 2.43% in FY 2011 (constituting a net change of 5.68%), and remained flat for Females (<i>Table A1</i>). Only 7 of the 189 permanent hires in FY 2011 were Hispanic, while 7 Hispanic employees separated from the Commission. <i>Tables A8 and A14</i>.</p>	
<p>STATEMENT OF IDENTIFIED BARRIER: Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition.</p>	Although there was no barrier identified for this trigger, the SEC notes that the percentage of Hispanic employees at the SEC (4.78%) remains well below the CLF (10.7%) and only 3.7% of employees hired in FY 2011 were Hispanic.	
<p>OBJECTIVES: State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.</p>	Analyze recruitment, hiring and promotion data to determine the existence of any barriers to hiring and retaining Hispanics	
RESPONSIBLE OFFICIAL(s):	Lacey Dingman, Director, Office of Human Resources Alta G. Rodriguez, Director, Office of EEO	
DATE OBJECTIVE INITIATED:		09/30/2010
TARGET DATE FOR COMPLETION OF OBJECTIVE:		09/30/2012
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE		TARGET DATE
Obtain applicant flow statistics from online applications processed through USA Jobs and Korn-Ferry Future Steps.		9/30/2012
REPORT OF ACCOMPLISHMENTS		
The SEC contracted a vendor to conduct a barrier analysis of SEC personnel policies, practices and procedures to determine whether any barriers in hiring and/or promotion account for low participation rates of Hispanic employees.		

**PART J
Plan for the Recruitment, Hiring, and Advancement of Individuals
With Targeted Disabilities**

Part J - 1	1. Agency	1. Securities and Exchange Commission				
Part J - 2 Employment Trend and Special Recruitment for Individuals With Targeted Disabilities						
Enter Actual Number at the Beginning of FY.		... End of FY.		Net Change	
	#	%	#	%	#	Rate of Change%
Work Force - Permanent	3,824	100.00%	3,783	100.00%	-41	-1.07%
Reportable Disability	150	3.92%	145	3.89%	-7	-2.0%
Targeted Disability*	39	1.02%	37	0.98%	-2	-5.13%
* If the rate of change for persons with targeted disabilities is not equal to or greater than the rate of change for the total workforce, a barrier analysis should be conducted (see below).						
1. Total Number of Applications Received From Persons With Targeted Disabilities during the reporting period:					>2	
2. Total Number of Selections of Individuals with Targeted Disabilities during the reporting period:					2	

Part J - 3 Participation Rates in Agency Employment Programs									
	Total	Reportable Disability Only		Targeted Disability Only		Disability Not Identified		No Disability	
		# or \$	%	# or \$	%	# or \$	%	# or \$	%
Competitive Promotions	293	10	3.41	3	1.02	15	5.12	265	90.44
Non-Competitive Promotions	299	12	4.01	3	1.0	16	5.35	268	89.63
Employee Recognition & Awards	2,851	88	3.09	20	0.7	107	3.75	2636	92.46
Time-Off Awards (Total hours awarded)	18,023	585	3.25	104	0.58	765	4.24	16,569	91.93
Cash Awards (total \$\$\$ awarded)	\$2,355,618	\$58,738	2.49	\$14,550	0.62	\$90,201	3.83	\$2,192,129	93.06

Part J - 4

Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals With Targeted Disabilities

Agencies with 1,000 or more permanent employees are to use the space provided below to describe the strategies and activities that will be undertaken during the coming fiscal year to maintain a special recruitment program for individuals with targeted disabilities and to establish specific goals for the employment and advancement of such individuals. For these purposes, targeted disabilities may be considered as a group. Agency goals should be set and accomplished in such a manner as will effect measurable progress from the preceding fiscal year. Agencies are encouraged to set a goal for the hiring of individuals with targeted disabilities that is at least as high as the anticipated losses from this group during the next reporting period, with the objective of avoiding a decrease in the total participation rate of employees with disabilities.

Part J - 5

Goals, Objectives and Strategies

Goals, objectives and strategies described should focus on internal as well as external sources of candidates and include discussions of activities undertaken to identify individuals with targeted disabilities who can be (1) hired; (2) placed in such a way as to improve possibilities for career development; and (3) advanced to a position at a higher level or with greater potential than the position currently occupied.

The SEC's goals, objectives and strategies are described in the SEC Disability Employment Plan appended to this report. The goal for hiring is as follows: 1.5% of all individuals hired in FY 2012 will have targeted disabilities.

Equal Employment Opportunity Policies

Equal Employment Opportunity (EEO) Policies

Chairman Mary L. Schapiro was sworn in as the new Chairman of the Securities and Exchange Commission on January 27, 2009. Chairman Schapiro signed revised EEO policies within 9 months of her appointment. The policies were distributed by email to all employees at the SEC and posted on the SEC's intranet.

In addition, posters with the full text of the policies are displayed on bulletin boards in public areas throughout the SEC's headquarters building and in all the SEC's Regional Offices.

Chairman's Message

As we work toward fulfilling our mission of protecting investors, maintaining fair, orderly, and efficient markets, and facilitating capital formation, I want to express my commitment to strengthening and maintaining a high-quality work environment that fully utilizes the talents and capabilities of every individual, from all backgrounds, walks of life, and organizational levels. We must dedicate ourselves to promoting and ensuring diversity, inclusion, and equal employment opportunity (EEO) for all employees and applicants for employment regardless of race, color, sex, sexual orientation, national origin, religion, age, genetic information or disability. These protections must continue to be provided and enforced in an atmosphere free of retaliation or reprisal.

The SEC takes all allegations of discrimination, retaliation, and harassment seriously, and managers are expected to respond to any reported concerns promptly and appropriately. All employees are accountable for compliance with EEO laws and policies and ensuring our colleagues are treated with dignity, respect and professionalism. However, our commitment must go far beyond compliance with anti-discrimination laws. We must also foster an open, inclusive and transparent setting where all ideas are encouraged and employees work together to advance our mission.

Together, we can build a stronger SEC, which treats all employees fairly, equitably, respectfully, and in a non-discriminatory manner. Together, we will improve efficiency, foster innovation, and model accountability, resulting in a greater capacity to serve our nation and the investing public. Together, we will make the SEC the "Employer of Choice".

The SEC's Equal Employment Opportunity Policies

EEO Policy

It has been, and continues to be, the policy of the SEC to provide equality of opportunity to all employees and applicants for employment without regard to race, color, religion, sex, sexual orientation, national origin, genetic information, age, or disability. In addition, the SEC will continue to ensure that employees and applicants can work free from

retaliation for participating in the Equal Employment Opportunity (EEO) process or opposing discriminatory actions or practices.

Equal employment opportunity principles govern all aspects of the Commission's personnel policies, practices, and operations. All phases of employment, including, but not limited to, recruitment, hiring, evaluation, promotion, transfer, assignment, training, benefits, and separation shall be conducted in compliance with equal employment opportunity laws and regulations.

All employees play an important role in maintaining an environment of equal opportunity, and must treat all colleagues with respect and professionalism. Managers and supervisors, at all levels, share with the EEO Office the responsibility of promoting and ensuring equal employment opportunity throughout the Commission.

Preventing EEO-Based Harassment (PEHP) Policy

The SEC prohibits harassment (offensive or unwelcome conduct) on any of the following equal employment opportunity (EEO) bases: race, color, sex (including, but not limited to, conduct that may be sexual in nature), age, religion, national origin, disability, genetic information, sexual orientation, or in retaliation for engaging in protected EEO activity.

Purpose and Scope

The SEC will address and put an immediate end to conduct of which it is aware, whether verbal, written, or physical, that is offensive (i.e., degrading, derogatory, or demeaning) or unwelcome (from a subjective as well as objective point of view) on any EEO basis, before it rises to the level of illegal harassment. EEO-based harassment may be illegal where: (1) enduring the conduct is a condition of continued employment or is the basis of a decision affecting the terms, conditions, or privileges of employment; or (2) the conduct is sufficiently severe or pervasive to create a hostile work environment.

Lack of intent to offend or harass does not excuse the conduct.

Among other things, this policy prohibits the use of SEC equipment (including, but not limited to, computers) or networks, to access or distribute offensive material, including, but not limited to, sexually explicit, pornographic, sexist or racist material.

This policy applies in places where SEC employees and contractors work, and at SEC-sanctioned activities and events, including those outside of the workplace. As a cautionary note, please be advised that some personal relationships (romantic and otherwise) involving SEC employees, particularly managers/supervisors and their subordinates, may raise EEO-based harassment concerns. For example: (1) such relationships may create perceptions of favoritism that lead to allegations of a hostile work environment; (2) romantic overtures, in and of themselves, may be offensive or unwelcome; and (3) even consensual relationships, once they end, may give rise to alleged harassment.

NOTE: An inquiry under the PEHP is separate from, and may be conducted simultaneously with, the EEO complaint process under 29 CFR §1614. An inquiry under the PEHP process does not satisfy an employee's responsibility to initiate EEO counseling within 45 days of an act of discrimination or retaliation under the EEO complaint process, should the employee choose to pursue an EEO complaint.

Responsibilities of Employees

Individuals who believe they are victims of, or have witnessed, conduct which is offensive or unwelcome on an EEO basis, must immediately report the conduct preferably no later than three business days from the date of the incident to any SEC manager/supervisor and/or the EEO Office. The sooner the SEC is made aware of the incident, the sooner the issue can be addressed.

Responsibilities of Managers/Supervisors

Managers/Supervisors must immediately contact the EEO Office upon becoming aware of conduct that might be inconsistent with this policy. Failure to do so may result in discipline or other corrective action.

Responsibilities of the EEO Office and the Office of Human Resources

The EEO Office, in coordination with management and the Office of Human Resources, will conduct a prompt and impartial inquiry into conduct that may violate the PEHP.

The EEO Office will make sure that obligations under the PEHP are explained to the involved parties.

The EEO Office will make sure that the behavior considered objectionable is explained to the alleged wrongdoer.

SEC employees must cooperate with any such inquiry.

Retaliation against anyone who participates in the PEHP inquiry process or opposes alleged harassment is strictly prohibited.

Discipline, including removal or other corrective action, will be taken, as appropriate.

Confidentiality

Reports of offensive or unwelcome conduct on an EEO basis and related information should be kept confidential to the extent permitted by law and shared only on a need-to-know basis. Unauthorized disclosures of confidential information may result in disciplinary action.

Additional Information

More information about the SEC's policies and processes on preventing EEO-based harassment is available on the Insider, under the EEO Office link at www.sec.gov, or by calling the EEO office at (202) 551-6040. TTY users should call the Federal Relay Service at (1800) 877-8339 to be connected with the EEO office at (202) 551-6040.

Diversity and Inclusion Policy

The diversity of our workforce enriches the agency and enhances the breadth and range of talent we, as a team, bring to our mission on behalf of investors. We know that we no longer live and work in an insular marketplace. Indeed our work here affects - and is affected by - the worldwide economy and global events. The world's increasingly apparent interconnectedness entails increased and more effective interactions among employees from diverse cultures, beliefs, and backgrounds. It requires that we become more creative and open to other perspectives - something that happens most naturally in a diverse workplace.

Diversity and Inclusion at the SEC encompasses Diversity of Experience (e.g., occupations, training-levels, socioeconomic/geographic backgrounds, family/lifestyle, school affiliations, and personal/professional experiences), Diversity of Thought (e.g., work-styles, personality types, and skill-sets), and Diversity of Demographic Groups (e.g., age, religion, gender, national origin, race, ethnicity, color, disability, sexual orientation, and veteran's status).

Inclusion is about creating an environment that celebrates people's differences and, in doing so, inspires innovative ideas, practical solutions, and team-building. The SEC seeks to achieve a work environment in which all individuals are recognized for their unique qualities, skills, and abilities and can apply them fully toward the success of the SEC.

At its essence, diversity and inclusion means fully embracing the human network, in all its multiplicity, fostering creativity and talent in the workplace and allowing more effective engagement with each other. While it is important to acknowledge and appreciate our differences, we must also recognize our shared goal of professional excellence and our commitment to protecting the investing public.

In support of diversity and inclusion, the SEC has developed a diversity-based performance measure that evaluates the diversity efforts of managers/supervisors.

The SEC's Organizational Structure for FY 2011

The SEC's leadership includes a Chairman and four Commissioners located at the SEC's headquarters in Washington, DC, with the following staff support structure. Divisions and Offices reporting to the Office of the Chairman include:

Five Divisions:

- Corporation Finance
- Enforcement
- Investment Management
- Risk, Strategy and Financial Innovation
- Trading and Markets

Eighteen Offices:

- Administrative Law Judges
- Administrative Services
- Chief Accountant
- Compliance Inspections and Examinations
- Chief Operating Officer
- Equal Employment Opportunity
- Financial Management
- Freedom of Information and Record Management Services
- General Counsel
- Human Resources
- Information Technology
- International Affairs
- Inspector General
- Investor Education and Advocacy
- Legislative and Intergovernmental Affairs
- Minority and Women Inclusion
- Public Affairs
- Secretary

The SEC's Regional Offices report to both Division of Enforcement and Office of Compliance Inspections and Examinations:

- Atlanta Regional Office
- Boston Regional Office
- Chicago Regional Office
- Denver Regional Office
- Fort Worth Regional Office
- Los Angeles Regional Office
- Miami Regional Office
- New York Regional Office
- Philadelphia Regional Office
- Salt Lake City Regional Office
- San Francisco Regional Office