

**U.S. Securities and Exchange Commission
Annual Equal Employment Opportunity Program Status Report**



Fiscal Year 2013

**Filed with the U.S. Equal Employment Opportunity Commission Pursuant to EEOC
Management Directive 715**

**U.S. Securities and Exchange Commission (SEC)
FY 2013 Annual EEO Program Status Report**

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For period covering October 1, 2012, to September 30, 2013.

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, N.E.	
	3. City, State, Zip Code		3. Washington, District of Columbia 20549	
	4. CPDF Code	5. FIPS code(s)	4. SE00	5. 8840
PART B Total Employment	1. Enter total number of permanent full-time and part-time employees			1. 3,982
	2. Enter total number of temporary employees			2. 156
	3. Enter total number employees paid from non-appropriated funds			3. 0
	4. TOTAL EMPLOYMENT [add lines B 1 through 3]			4. 4,138
PART C Agency Official(s) Responsible For Oversight of EEO and Related Program(s)	1. Head of Agency Official Title		1. Mary Jo White Chair	
	2. Agency Head Designee		2. Alta G. Rodriguez, Director, Office of Equal Employment Opportunity (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 Pamela A. Gibbs, Director, Office of Minority and Women Inclusion	

**EEOC FORM
715-01
PARTS A - D
U.S. Equal Employment Opportunity Commission
FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT**

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

U.S. Securities and Exchange Commission
October 1, 2012, to September 30, 2013.

EXECUTIVE SUMMARY

I. Mission of the U.S. Securities and Exchange Commission

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 oversees the key participants in the securities world, including securities exchanges, securities broker-dealers, investment advisers, municipal advisors, clearing agents, transfer agents, mutual funds and exchange-traded funds. The SEC monitors a securities industry comprised of more than 25,000 market participants, including over 11,000 investment advisers, almost 10,000 mutual funds, 4,450 broker-dealers, 450 transfer agents, as well as the Public Company Accounting Oversight Board (PCAOB), Financial Industry Regulatory Authority (FINRA), Municipal Securities Rulemaking Board (MSRB), the Securities Investor Protection Corporation (SIPC), and the Financial Accounting Standards Board (FASB). The SEC also has responsibility for reviewing the disclosures and financial statements of approximately 9,000 reporting companies, and has new or expanded responsibilities over the derivatives markets, an additional 2,500 exempt reporting advisers to hedge fund and other private funds, more than 1,000 municipal advisors, 10 registered credit rating agencies, and 7 registered clearing agencies.

The SEC's core values are integrity, commitment to excellence, effectiveness, fairness, accountability, and teamwork. The SEC consists of five (5) presidentially-appointed Commissioners who have staggered five-year terms. One of them is designated by the President as Chair of the Commission. On April 10, 2013, Mary Jo White was sworn in as the 31st Chair of the SEC.

The SEC is organized into five (5) divisions (Corporation Finance, Enforcement, Economic and Risk Analysis, Investment Management and Trading and Markets) and 23 offices. The Commission's Headquarters is located in Washington, DC (Home Office), and there are 11 Regional Offices located throughout the country. As of September 30, 2013, the SEC had 4,138 full-time employees, including 3,982 permanent employees and 156 temporary employees. See *Table A1*.

II. Model EEO Program Assessment

A. Demonstrated Commitment from Agency Leadership

The SEC's commitment to equal employment opportunity (EEO) is evident in Chair White's Equal Employment Opportunity Policy, dated July 10, 2013, which reads, in part:

Our success in accomplishing the SEC's mission of protecting investors, maintaining fair, orderly, and efficient markets, and facilitating capital formation depends on you and your commitment to being fully engaged in what we do. As Chair of the SEC, I am committed to providing you with a work environment that helps to achieve this goal - a work environment that is respectful, inclusive, and allows you to contribute to the best of your ability.

It is for this reason that we must all support our country's equal employment opportunity (EEO) laws. These laws apply to the SEC's personnel policies, practices, and procedures, including but not limited to: recruitment, hiring, promotions, separations, performance evaluations, training and career development, assignment of duties, details, reassignments, compensation, awards, and benefits. In addition, our nation's EEO laws cover all employees, applicants for employment, and former employees, regardless of their race, color, national origin, sex (including pregnancy, gender identity, and transgender status), sexual orientation, religion, age (40 years or more), genetic information and disability.

Each of us must support an individual's right to participate in the EEO process and/or right to oppose employment practices which are perceived as discriminatory in the workplace without fear of retaliation. I firmly believe that we can all contribute to making the SEC a model EEO employer. Each of us has the responsibility to ensure that discrimination and harassment are not tolerated in our work environment. When workplace disputes arise, we must seek to resolve these disputes at the earliest opportunity; to do otherwise would undermine the collegial work environment that all of us expect at the Commission....

Thank you for your earnest efforts to make the promise of equal employment opportunity a reality.

As further evidence of top leadership's commitment to equality of opportunity, the Chair and each Commissioner at the agency actively sponsor one or more of the nine (9) Employee Resource Groups (ERGs). The Office of EEO (OEEO) has oversight responsibility for eight (8) of the ERGs as part of the SEC's EEO Special Emphasis Programs. The remaining ERG, the Veteran's Committee, is sponsored by the Office of Human Resources (OHR). The SEC's division and office directors are supportive of the ERGs and encourage employees to participate in ERG events and activities held throughout the year.

In addition, each year, the Chair presents a Diversity and Inclusion Award to a member of the SEC's staff or a group of staff members to show the Commission's special appreciation for employees who contribute significantly to the advancement of diversity efforts at the SEC or in their communities. The 2013 Diversity and Inclusion Award recipient was the Boston Regional Office Diversity Committee.

The SEC also demonstrates its commitment to diversity and equal employment opportunity through the efforts of its Office of Minority and Women Inclusion (OMWI), which was established in 2011, pursuant to Section 342 of the Dodd-Frank Wall Street Reform and Consumer Protection Act (Dodd-Frank Act). The SEC's OMWI Director reports to the Chair of the agency. OMWI is responsible for all matters relating to diversity in management, employment and business activities at the SEC. The OMWI Director is required to develop standards for the equal employment opportunity and diversity of the workforce and senior management of the SEC, the increased 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.¹ Since its inception, OMWI has initiated an array of programs and initiatives to enhance diversity and inclusion throughout the SEC's workforce and business activities.

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

The SEC's Strategic Plan for Fiscal Year (FY) 2010-2015 underscores the agency's commitment to attract and retain a highly-effective and diverse workforce. The plan includes the following language:

Strategic 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.²

In furtherance of the strategic plan, the SEC developed and maintains partnerships and alliances with diverse institutions, professional organizations and associations. The SEC leverages these alliances to reach a broader and more diverse pool of applicants for employment at the Commission. In FY 2013, these organizations included, among others: Association of Latino Professionals in Finance and Accounting; Pan-Asian Leaders in Finance and Accounting; Hispanic Bar Association of the District of Columbia; Hispanic National Bar Association; National Association of Asian MBAs; National Association of Black Accountants; National Bar Association; National Bar Association Greater Washington DC Chapter; National Black MBA Association; South Asian Bar Association of Washington, DC; Women's Bar Association of the District of Columbia; Diverse Partners Network; the Thurgood Marshall College Fund; and the Hispanic Heritage Foundation.

The SEC is also focused on providing employment opportunities for individuals with disabilities. To further this effort, in 2011, the SEC implemented a 5-year Disability Employment Plan (Disability Plan). The purpose of the Disability Plan is to improve the agency's ability to attract, engage, hire, and retain individuals with disabilities. Since implementation of the Disability Plan, the number of SEC permanent employees with disabilities increased, from 178 in FY 2012 to 204 in FY 2013. Also, the number of SEC permanent employees with targeted disabilities increased from 33 in FY 2012 to 39 in FY 2013. See *Table B1*.

¹ See Section 342(b)(2)(A)-(C).

² The draft SEC Strategic Plan for fiscal year 2014-2018 has updated strategic objectives for strategic goal 4.

Strategic Objective 4.1: The SEC promotes a results-oriented work environment that attracts, engages, and retains a technically proficient and diverse workforce, including leaders who provide motivation and strategic direction.

Strategic Objective 4.2: The SEC encourages a collaborative environment across divisions and offices and leverages technology and data to fulfill its mission more effectively and efficiently.

Strategic Objective 4.3: The SEC maximizes the use of agency resources by continually improving agency operations and bolstering internal controls.

C. Management and Program Accountability

The OEEO Director reports directly to the Chair of the SEC. In FY 2013, the OEEO staff consisted of six (6) Attorneys, including the Director and a Deputy Director; an EEO Specialist; and a Program Support Specialist. OEEO compliance program functions include counseling, alternative dispute resolution, investigation and final adjudication processes. Further, OEEO coordinates with Employee Resource Groups to deliver Special Emphasis Observance Programs to employees in the SEC's Home and Regional Offices.

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 employees training on EEO-related topics through interactive sessions, lectures, and seminars. Training is delivered in-person or broadcast via video teleconferences, depending on budgetary restrictions.

The OEEO leverages the talents of agency employees in the Home Office and Regional Offices who, in addition to performing their primary duties and responsibilities, volunteer to serve as EEO counselors in a collateral duty capacity (collateral duty EEO Counselors). In FY 2013, collateral duty EEO Counselors attended quarterly training sessions hosted by the OEEO in addition to their mandatory 8-hour refresher course training requirement delivered by experts from the U.S. Equal Employment Opportunity Commission. In FY 2013, OEEO recruited seven additional collateral duty EEO Counselors from both the SEC's Home Office and its Regional Offices.

The SEC engaged in numerous actions to promote accountability of its EEO program during FY 2013. As required by the No FEAR Act, the SEC posted EEO complaint processing data on its internal and public websites. In FY 2013, for the third consecutive year, the SEC posted its FY 2012 Annual EEO Program Report on its internal and public websites in a 508-compliant format. Finally, SEC managers and supervisors were also evaluated on various competencies, including EEO and diversity & inclusion 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 permissible religious expression on its internal website. On its internal and public websites, the SEC publishes information on the EEO complaint process, EEO policies, and the roles and responsibilities of OEEO. EEO posters are placed in high-traffic areas in SEC buildings and offices to provide employees and applicants for employment with notice of their EEO rights and to highlight the 45-day time limit for contacting an EEO Counselor or OEEO. In addition, in FY 2013, the OEEO launched a newsletter, *EEO Perspectives*, to: 1) message information on EEO-related topics; 2) showcase the many contributions of SEC employees from various backgrounds; and 3) better engage all SEC employees to participate in EEO programs and initiatives.

OEEO also provides the following training and educational opportunities: EEO Basics; Sexual Orientation and Transgender Issues; Preventing EEO-Based Harassment; EEO Hiring Do's and Don'ts for Hiring Officials and Hiring Committees; Reasonable Accommodation and Religious

Accommodation; Civil Treatment; and Skills for Managing Workplace Conflict (Strength Deployment Inventory). Additionally, OEEEO makes cutting-edge webinar trainings on current EEO-related topics available to collateral duty EEO Counselors and counterparts from the Office of Human Resources and Office of General Counsel.

Electronic information is accessible to SEC users in compliance with Section 508 of the Rehabilitation Act. The SEC's premises are also accessible to persons with physical disabilities in compliance with the Architectural Barriers Act.

E. Efficiency

In FY 2013, 48 counseling matters were initiated; 19 formal EEO complaints were filed, including two complaints from repeat filers; and two Final Agency Decisions of no discrimination were issued. The common bases for the formal EEO complaints filed were: reprisal, age, sex and race. The common issues for the formal EEO complaints filed were: evaluations and terms/conditions of employment.

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). Where the agency found non-compliance with the MD-715 requirements, we developed a plan for addressing the gaps as further discussed in Part H of this report. *See EEO Plan for Attaining the Essential Elements of a Model EEO Program.*

The agency has also analyzed its workforce profiles to identify any triggers that may require further inquiry as to the existence of any barriers to equal employment opportunities for any employee group based on race, ethnicity, sex or disability. The SEC's 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

In FY 2013, the SEC's total workforce (permanent and temporary employees) was 4,138 employees. Of this total workforce, 3,982 were permanent employees, with 2,117 males (53.16%) and 1,865 females (46.84%). There were 411 new permanent hires and 227 voluntary separations of permanent employees. *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 groups in the CLF, as reflected in the 2010 U.S. Census.³

2010 CLF %	All	Male	Female
White	72.36	38.33	34.03
Hispanic or Latino	9.96	5.17	4.79
African American	12.02	5.49	6.53
Asian	3.90	1.97	1.93
Two or More Races	.54	.26	.28
American Indian/Alaskan Native	1.08	.55	.53
Native Hawaiian/Other Pacific Islander	.14	.07	.07

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

FY 2013 SEC Permanent Workforce %	All	Male	Female
White	68.05	40.68	27.37
Hispanic or Latino	4.37	2.24	2.13
African American	16.83	5.15	11.68
Asian	10.20	4.85	5.35
Two or More Races	.16	.03	.13
American Indian/Alaskan Native	.33	.20	.13
Native Hawaiian/Other Pacific Islander	.08	.03	.05

See Table A1.

In FY 2013, employees who self-identified as having a targeted disability comprised 0.98% or approximately 1% of the SEC's permanent workforce. See Table B1.

B. New Hires

In FY 2013, the SEC hired 411 permanent employees distributed as shown in the table below.

From Table A8 New Hires		All	Hispanic		White		African American		Asian	
			Male	Female	Male	Female	Male	Female	Male	Female
Permanent Hires	#	411	5	6	181	97	22	41	30	26
	%	100	1.22	1.46	44.04	23.60	5.35	9.98	7.30	6.33
Total Permanent workforce	#	3982	89	85	1620	1090	205	465	193	213
	%	100	2.24	2.13	40.68	27.37	5.15	11.68	4.85	5.35
2010 CLF	%	100	5.17	4.79	38.33	34.03	5.49	6.53	1.97	1.93

See Tables A1 and A8.

Three demographic groups that are not highlighted in this table each represent less than 1% of the SEC's new hires: Native Hawaiian/Other Pacific Islander (Males: 0%, Females: 0%);

³ For ease of reference, all numbers in this narrative are rounded to the nearest hundredth.

American Indian/Alaskan Native (Males: 0%, Females: 0.24%); and Two or More Races (Males: 0%, Females: 0.49%). See *Table A8* for more data on these three demographic groups.

In FY 2013, the SEC hired 27 permanent employees with a disability, two of whom have a targeted disability. The CLF does not provide benchmark data on disability statistics. Instead, the benchmark for employment of individuals with disabilities is based on the Office of Personnel Management’s guidance issued pursuant to Executive Order 13548. That guidance requires federal agencies to establish Disability Employment Plans consistent with the Federal government goal of hiring 100,000 additional individuals with disabilities, including those with targeted disabilities. There are nine targeted disabilities: total deafness; total vision loss; partial paralysis; complete paralysis; missing limbs/extremities; epilepsy; severe intellectual disability; psychiatric disability; and dwarfism. See *Table B8*.

C. Major Occupations: Attorneys and Accountants

Attorneys and accountants are the SEC’s major occupational groups. In FY 2013, the SEC employed 1,733 permanent attorneys (approximately 44% of the total SEC permanent workforce) and 948 permanent accountants (approximately 24% of the total SEC permanent workforce). See *Table A6*. Comparison demographics for these two occupational groups are highlighted below.

1. Attorneys

In FY 2013, female attorneys comprised a total of 41.78% of the SEC’s attorney workforce. This exceeds the representation of female attorneys in the civilian workforce of 33.30% by 8.48%. Similarly, the representation of African American attorneys in the SEC workforce is 7.04%, while the total CLF representation of African American attorneys (male and female) is 4.73%. Asian attorneys represent 8.89% of the SEC’s attorney workforce and 3.56% of the CLF. See *Table A6*.

Trending in the other direction, Hispanic or Latino male attorneys at the SEC represented 1.62% of all attorneys, lower than their representation of 2.52% in the civilian workforce of attorneys. White male attorneys represent the greatest difference, as they represent 49.16% of all attorneys at the SEC, while they represent 59.68% of the civilian workforce of attorneys, a difference of 10.52%. See *Table A6*.

Attorneys	Total	All		Hispanic or Latino		White		African American		Asian	
		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
SEC Attorneys #	1733	1009	724	28	24	852	546	59	63	67	87
SEC Attorneys %	100	58.22	41.78	1.62	1.38	49.16	31.51	3.40	3.64	3.87	5.02
Attorneys CLF %	100	66.70	33.30	2.52	1.85	59.68	26.68	2.13	2.60	1.82	1.74

2. Accountants

Female accountants represent 43.78% of the accountants at the SEC, and 60.09% of accountants in the CLF. In contrast, male accountants represent 56.22% of the accountants at the SEC, and only 39.91% of the CLF. See *Table A6*.

Most demographic groups were employed in numbers close to (Hispanic females and African American females) or slightly above (Hispanic males, African American males, and Asian males and females) their availability in the civilian workforce of accountants. The White male accountant demographic group at the SEC represents 44.41% of SEC accountants, exceeding their representation of 31.79% in the CLF. In contrast, White female accountants represent 44.23% of the civilian workforce of accountants but only comprise 28.48% of the SEC's accountants. This has consistently been the largest occupational difference between the SEC workforce and the civilian workforce of accountants. See *Table A6*.

Accountants	Total	All		Hispanic or Latino		White		African American		Asian	
		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
SEC Accountants #	948	533	415	30	25	421	270	32	51	48	68
SEC Accountants %	100	56.22	43.78	3.16	2.64	44.41	28.48	3.38	5.38	5.06	7.17
Accountant CLF %	100	39.91	60.09	2.19	3.93	31.79	44.23	2.49	5.66	3.06	5.49

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 Officer (SO). Highlighted below is the demographic composition of the SEC's supervisory and management workforce. In general, the representation of employees in supervisory and management positions (SK-17 and SO) is lower than their representation in the respective feeder pools for the following demographic groups: Hispanic females, African Americans and Asian males.

Notably, of all SK-14 employees (1,737), females represent 45.83% (or, 796 employees) while males represent 54.17% (or, 941 employees). However, at the SK-15 level there are 317 total employees with males making up 67.82% (or, 215 employees) and females comprising 32.18% (or, 102 employees). This means there are twice as many male SK-15s than female SK-15s. This difference between males and females persists in the SK-17 and SO levels. White males comprise the highest percentage in SK-15 (53.31%), SK-17 (51.59%), and SO levels (57.94%). Of the male SOs, 89.02% are White; of the male SK-17s, 86.89% are White; and of the male SK-15s, 78.60% are White. Similarly, of the female SOs, 84.09% are White; of the female SK-17s, 72.34% are White; and of the female SK-15s, 66.66% are White. See *Table A4-1*.

SEC Level	TOTAL	All		Hispanic or Latino		White		African American		Asian	
		M	F	M	F	M	F	M	F	M	F
SO #	126	82	44	2	1	73	37	3	4	3	2
SO %	100	65.08	34.92	1.59	0.79	57.94	29.37	2.38	3.17	2.38	1.59
SK 17 #	347	206	141	9	6	179	102	8	17	9	14
SK 17 %	100	59.37	40.63	2.59	1.73	51.59	29.39	2.31	4.90	2.59	4.03
SK 15 #	317	215	102	6	6	169	68	15	19	23	8
SK 15 %	100	67.82	32.18	1.89	1.89	53.31	21.45	4.73	5.99	7.26	2.52
SK 14 #	1737	941	796	49	41	724	525	71	100	92	127
SK 14 %	100	54.17	45.83	2.82	2.36	41.68	30.22	4.09	5.76	5.30	7.31

In FY 2013, Asian female SOs increased from zero to two, reflecting positive growth from previous years. There were additional gains in multiple demographic groups at the SK-17 level as compared to FY 2012. Female representation increased by one (from 140 to 141). Hispanic representation increased by four (from 11 to 15). Asian representation increased by five (from 18 to 23). And, African American representation increased by four (from 21 to 25). See *Table A3-1 and A4-1*.

IV. Summary of Objectives Planned for Improvement

In the SEC's FY 2012 report, the Commission identified a number of primary objectives to improve its EEO Program. These included: obtaining applicant flow data; conducting barrier analyses; providing supervisors and hiring officials periodic training related to the hiring promotion, reasonable accommodation of individuals with disabilities; and assessing regional office compliance with EEO requirements.

In FY 2013, the EEO Director conducted regional assessments of all eleven Regional Offices and met with each Regional Office's leaders. Also in FY 2013, the SEC continued to deliver training to supervisors and hiring officials on hiring, promoting and providing reasonable accommodations to individuals with disabilities. The SEC hosted a program with the Computer/Electronic Accommodations Program (CAP) that allowed employees to try various assistive technologies (e.g., voice recognition software, alternative keyboards, and digital recording pens) geared towards helping employees better perform at work and at home. This program included a seminar on the differences between Section 504 of the Rehabilitation Act (reasonable accommodations for federal employees with disabilities) and Section 508 of the Rehabilitation Act (IT accessibility requirements for employees who use assistive technology).

The SEC continued to work on conducting the barrier analyses and obtaining applicant flow data. OEEEO initiated market research on vendors that have the necessary capability to provide reliable applicant flow data. With this data, the OEEEO will be better equipped to examine workforce demographics and other qualitative data to analyze whether there are barriers to equal employment opportunity at the Commission. These efforts will continue in FY 2014.

In addition to these objectives, OEEO, the SEC's Office of Human Resources, and/or OMWI, as appropriate, intend to:

- Make concerted efforts to increase the number of hires with severe/targeted disabilities and fully engage them into the SEC workforce.
- More frequently remind all employees (particularly, managers and supervisors) of the Commission's EEO Policy, the resources available through the Disability Employment Program and the SEC's reasonable accommodation procedures.
- Deliver Deaf and Cultural Awareness training on American Sign Language in the workplace and intercultural communication.
- Leverage the *EEO Perspectives* newsletter to profile successful SEC colleagues with disabilities and provide awareness and education on a number of disability-related topics.
- Provide updated training to supervisors on their responsibilities to provide reasonable accommodation for employees with disabilities (Rehabilitation Act of 1973).
- Continue to promote Schedule A hiring and develop an awareness campaign for hiring managers on Schedule A hiring.
- Benchmark and analyze disability/employment programs with similarly-sized federal agencies and identify opportunities to enhance our program.
- Leverage partnerships with both the SEC Veterans Committee and the SEC Disability Issues Advisory Committee.
- Increase the number of positions posted to disability job boards/sites.
- Continue to benchmark and analyze the agency's workforce and hiring data for women and minorities at all levels, and for specific mission critical occupations, as compared to the federal workforce and the securities and financial services industry.
- Broaden proactive prevention training efforts to include workplace conflict and alternative dispute resolution.
- Continue to provide a variety of training opportunities on Diversity & Inclusion topics for all employees.

V. Summary of FY 2013 Accomplishments

A. Recruitment and Hiring

During FY 2013, the SEC also sponsored, hosted, and/or participated in more than thirty (30) diversity outreach events with the goal of establishing or maintaining relationships with minority-serving professional associations, organizations and institutions. These included, but were not limited to:

- 5th Annual Asian MBA Leadership Conference & Career Expo
- ASCEND Pan-Asian Leaders National Convention
- Association of Latino Professionals in Finance and Accounting Annual Convention
- Congressional Black Caucus Annual Legislative Conference
- Corporate Counsel Women of Color Annual Conference
- Federal Bar Association – Public Service Career Fair
- Harvard Latino Law, Policy, and Business 2013 Conference
- Hispanic National Bar Association Annual Convention

- Leadership Council on Legal Diversity
- LGBT Bar Association Lavender Law Conference
- Minority Corporate Counsel Association (MCCA) Annual Diversity Conference
- National Asian Pacific American Bar Association Annual Convention
- National Association of Asian MBAs Annual Conference
- National Association of Black Accountants Annual Conference
- National Association of Securities Professionals (NASP) Annual Conference
- National Bar Association National Convention
- National Black MBA Association Annual Conference
- National Historically Black Colleges and Universities Week 2013 Conference
- National Society of Hispanic Professionals Job Fair
- National Urban League 2013 Conference
- Native American Finance Officers Association Annual Conference
- Robert Toigo Foundation – Groundbreakers Women in Leadership Forum
- Spelman College – LEADS Leadership and Women of Color Conference
- United Negro College Fund – Gateway to Leadership (finance students)
- Urban Financial Services Coalition's 39th Annual International Summit
- Vault/Minority Corporate Counsel Association 8th Annual Legal Diversity Career Fair
- Washington Bar Association's 10th Annual Career Fair

Leveraging these alliances, the SEC has successfully increased the visibility of the agency demonstrating that the SEC seeks the best talent and embraces diversity and inclusion at all levels within the agency.

The SEC attended the following FY 2013 diversity-focused recruitment events:

- 9th Annual Minority Mentoring Picnic
- American Society of Women Accountants, Annual Meeting
- Association of Latino Professionals in Finance and Accounting Career Fair
- Cook County Bar Association Minority Career Fair
- Federal Bar Association, Indian Law Conference
- LatPro/National Society of Hispanic Professional Career Fair (Chicago, New York, and Washington, DC)
- Lavender Law 2013 Career Fair
- National Asian Pacific American Bar Association
- National Association of Black Accountants
- National Society of Hispanic MBAs Career Expo
- National Society of Hispanic Professionals
- NSHMBA Multicultural + Multigenerational Forum
- Recruit Military Career Fair (Quantico, VA and Washington, DC)
- Women in Technology Career Fair

The SEC worked with these organizations year-round on recruiting and professional development activities. These relationships were also leveraged to post more than 70 paid job advertisements on national sites and to facilitate an array of activities and/or engagement opportunities. In

collaboration with the Office of EEO and the Office of Human Resources, OMWI sponsored, hosted, and attended annual conferences and career networking sessions, and arranged speaking opportunities for SEC staff at events with an aim of promoting the SEC as an employer of choice to women and men of all backgrounds.

The SEC has developed relationships with numerous minority- and women-focused groups and will continue to attend future recruitment events as we continuously target diverse applicants and the best talent.

Further, the SEC continues to foster relationships with educational organizations. During the past fiscal year, the SEC:

- Continued to support the SEC-sponsored securities law course at Florida International University School of Law taught by SEC staff volunteers;
- Hosted students from the United Negro College Fund's (UNCF) Gateway to Leadership program at SEC Headquarters;
- Conducted on-campus outreach at several minority-serving institutions providing students with information about the SEC and various internship/job opportunities with the agency;
- Promoted internship opportunities to students at Historically Black Colleges and Universities (HBCUs), Hispanic Serving Institutions (HSIs), and other minority-serving institutions; and
- Partnered with inner-city high schools and the National Academy of Finance to host a Student Shadowing Program for over 250 high school students who learned more about the securities and financial services industry, the work of the Commission, and career paths by "shadowing" SEC professionals for two days.

Finally, the SEC appointed a dedicated staff member to serve as the agency Selective Placement Program Coordinator (SPPC) and Veteran Employment Program Manager. The SPPC serves as an Office of Human Resource representative and resource to the agency's Disability Issues Advisory Committee, Veteran's Committee, and Women's Committee and attends their meetings. The SEC has:

- Registered with the Employer Assistance and Resource Network (EARN) - an organization to help employers recruit, hire, retain and advance individuals with disabilities;
- Registered with eFedLink.org which is an organization designed to support all federal managers and human resources personnel, to advance the hiring and advancement of persons with disabilities in the federal government;
- Registered with the Department of Labor's Office of Disability Employment to receive news and initiatives on disability hiring;
- Registered with the Workforce Recruitment Program (WRP) as a resource to search for available disabled students;
- Registered with OPM's MAX site for use of their disability hiring database; and
- Attended OPM webinars on disability hiring and duties of the SPPC.

OHR works closely, through bi-weekly meetings, with OMWI to collaborate on recruitment strategies and recruitment/outreach event attendance. OHR also finalized the Disabled Veterans

Action Plan for FY 2014 in accordance with 5 CFR 720, subpart C – Disabled Veterans Affirmative Action Program (DVAAP).

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 EEO Programs and Diversity & Inclusion 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 2013:

- African American Council
- American Indian Heritage Committee
- Asian Pacific American Committee
- Caribbean American Heritage Committee
- Disability Issues Advisory Committee
- Hispanic and Latino Opportunity, Leadership, and Advocacy Committee
- Lesbian, Gay, Bisexual, and Transgender Committee
- Veteran's Committee
- Women's Committee

In FY 2013, the SEC observed numerous heritage, history and awareness months with events held in Regional Offices and at the Home Office. When possible, these programs were video-cast throughout the Commission.

C. Training & Leadership Development

The SEC provided numerous opportunities for employees to acquire the skills and certifications needed to succeed in their positions and to progress in their careers. 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, and Credit Derivatives, etc. OHR also developed and launched leadership development programs for new supervisors to provide them a 2-day in-depth training entitled, LD 307, Fundamentals of Human Resource Management, which included training on equal employment opportunity laws, reasonable accommodations for employees, and a detailed overview of human resource management policies and procedures and related SEC policies. For Senior Officers, OHR developed and delivered a series of leadership seminars designed to provide them leadership best practices. Courses included: Managing and Leading During Times of Uncertainty; Leading Transitions; Leading Culture Change; and Sustaining Employee Morale. Further information on building leadership skills and opportunities to learn about a number of leadership topics was made available to all employees through the Leading Author series. Under this program, authors from a variety of disciplines gave lectures and shared their career paths and strategies for career success.

The OEEO also provided training to employees and supervisors on the following:

- EEO Basics
- Preventing EEO-Based Harassment and Transgender Issues
- EEO Hiring Do's and Don'ts for Hiring Committees and Officials
- Civil Treatment and Respect
- Strength Deployment Inventory - Conflict Management

The SEC's OMWI delivered Diversity and Inclusion training for all employees examining issues of unconscious bias and how it impacts the workplace. The training was the same workshop offered by the Office of Personnel Management to SES-level managers throughout the federal government. Sessions were offered at Headquarters and Regional Offices. Each session was led by Laura Liswood, author of the book, "The Loudest Duck: Moving Beyond Diversity While Embracing Differences to Achieve Success at Work." For managers, the workshop provided the tools needed to be more aware of, and skillful at, managing diversity and inclusion. For employees, it offered insights needed to recognize and discuss the dynamics of diversity and inclusion in the workplace, creating opportunities for improving understanding, problem-solving, and teamwork to create a high-performing and innovative workplace.

Certification of Establishment of Continuing Equal Employment Opportunity Programs

EEOC FORM 715-01 PART F		U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT	
CERTIFICATION of ESTABLISHMENT of CONTINUING EQUAL EMPLOYMENT OPPORTUNITY PROGRAMS			
I,	Alta G. Rodriguez, EEO Director / 0905 / SO	am the	
	(Insert name above)	(Insert official title/series/grade above)	
Principal EEO Director/Official for	U.S. Securities and Exchange Commission		
	(Insert Agency/Component Name above)		
<p>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.</p> <p>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.</p> <p>I certify that proper documentation of this assessment is in place and is being maintained for EEOC review upon request.</p>			
Signature of Principal EEO Director/Official		Date	
Certifies that this Federal Agency Annual EEO Program Status Report is in compliance with EEO MD-715.		04/04/14	
Signature of Agency Head or Agency Head Designee		Date	
[Signature]		4/4/14	

Equal Employment Opportunity Policy



Our success in accomplishing the SEC's mission of protecting investors, maintaining fair, orderly, and efficient markets, and facilitating capital formation depends on you and your commitment to being fully engaged in what we do. As Chair of the SEC, I am committed to providing you with a work environment that helps to achieve this goal—a work environment that is respectful, inclusive, and allows you to contribute to the best of your ability.

It is for this reason that we must all support our country's equal employment opportunity (EEO) laws. These laws apply to the SEC's personnel policies, practices, and procedures, including but not limited to: recruitment, hiring, promotions, separations, performance evaluations, training and career development, assignment of duties, details, reassignments, compensation, awards, and benefits. In addition, our nation's EEO laws cover all employees, applicants for employment, and former employees, regardless of their race, color, national origin, sex (including pregnancy, gender identity, and transgender status), sexual orientation, religion, age (40 years or more), genetic information and disability.

Each of us must support an individual's right to participate in the EEO process and/or right to oppose employment practices which are perceived as discriminatory in the workplace without fear of retaliation. I firmly believe that we can all contribute to making the SEC a model EEO employer. Each of us has the responsibility to ensure that discrimination and harassment are not tolerated in our work environment. When workplace disputes arise, we must seek to resolve these disputes at the earliest opportunity; to do otherwise would undermine the collegial work environment that all of us expect at the Commission.

Our managers and supervisors have additional responsibilities. They must fully participate in inquiries into allegations of discrimination, harassment and/or retaliation, as well as engage in alternative dispute resolution efforts.

For more information on your EEO rights and responsibilities, please contact the Office of EEO at 202-551-6040; SPIII, Suite 2900; or visit the EEO Office's webpage on The INSIDER at <http://intranet.sec.gov/divisions/offices/hqo/eeo/index.html>. If you believe you have been subjected to discrimination, harassment or retaliation in violation of our EEO laws or this policy, contact the EEO Office or an EEO Counselor within 45 calendar days of the employment action you deem to be discriminatory.

Thank you for your earnest efforts to make the promise of equal employment opportunity a reality.

A handwritten signature in blue ink that reads "Mary Jo White". The signature is written in a cursive style and is positioned above a horizontal line.

MARY JO WHITE

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.

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

United States Securities and Exchange Commission		FY 2013
STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:	Applicant flow data was not included in workforce analyses.	
OBJECTIVE:	Develop and implement a pilot program to capture and report applicant flow data to assist with conducting workforce analyses.	
RESPONSIBLE OFFICIAL:	Alta G. Rodriguez, Director, Office of EEO; Pamela Gibbs, Director, Office of Minority and Women Inclusion; and Lacey Dingman, Director, Office of Human Resources	
DATE OBJECTIVE INITIATED:	03/30/2013	
TARGET DATE FOR COMPLETION OF OBJECTIVE:	12/30/2015	
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 assist 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. For those applicants who do not opt into this process, the SEC will develop and implement a pilot program to ensure that all applicant flow data is collected, maintained, analyzed and reported, as appropriate.</p>		
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVES:	TARGET DATE	
Benchmark the practices at other small agencies for obtaining applicant flow data.	8/30/2013 - in progress	
Develop a pilot program in selected Divisions and Offices using alternative sources of data related to applicant flow in the major occupations (attorneys and accountants).	10/30/2013 - revised 12/30/14	
Evaluate applicant flow data obtained during the pilot (for attorneys and accountants) and identify resources and vehicles to implement a comprehensive applicant flow data process and mechanism used by the SEC.	9/30/2015 - revised	

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

United States Securities and Exchange Commission		FY 2013
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 2013.	
RESPONSIBLE OFFICIAL:	Alta G. Rodriguez, Director, Office of EEO	
DATE OBJECTIVE INITIATED:	10/1/2011	
TARGET DATE FOR COMPLETION OF OBJECTIVE:	9/30/2013 and ongoing	
MODIFIED PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVES:		TARGET DATE
The SEC will conduct assessments in the Regional Offices beginning in FY 2013 and continuing into FY 2014.		9/30/2014 - completed
In collaboration with Regional Offices, the EEO Director will evaluate results of assessments and develop action items as appropriate.		9/30/2014 - in progress
The Regional Offices will implement action items as appropriate beginning in FY 2014.		9/30/2014 - in progress
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE		
The EEO Office conducted EEO assessments of all eleven Regional Offices in FY 2013.		

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

United States Securities and Exchange Commission		FY 2013
STATEMENT of MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY:	The SEC has not assessed Headquarters Divisions' and 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 Headquarters Divisions Offices beginning in FY 2014.	
RESPONSIBLE OFFICIAL:	Alta G. Rodriguez, Director, Office of EEO	
DATE OBJECTIVE INITIATED:	6/30/2014	
TARGET DATE FOR COMPLETION OF OBJECTIVE:	9/30/2016 and ongoing every two (2) years	
MODIFIED PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVES:		TARGET DATE
The SEC will conduct assessments in the Headquarters' Divisions and Offices beginning in FY 2014 and continuing into FY 2016.		9/30/2016
In collaboration with Headquarters' Divisions and Offices, the EEO Director will evaluate results of assessments and develop action items as appropriate.		9/30/2016
The Headquarters' Divisions and Offices will implement action items as appropriate beginning in FY 2016.		9/30/2016

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

United States Securities and Exchange Commission		FY 2013
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:	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:	9/30/2013 and ongoing	
PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVES:	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, promoting and accommodating employees with disabilities – in particular those with targeted disabilities.	9/30/2013 and ongoing	
REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE		
New supervisors received training on reasonable accommodations for persons with disabilities (<i>LD 307, Fundamentals of Human Resource Management</i> and No FEAR Act training). Similarly, current SEC employees receive No FEAR Act training which includes a section on the requirement of reasonable accommodations for persons with disabilities. All SEC managers have access to All Things Management, which includes information on reasonable accommodations and other EEO-related topics.		

PART I
EEO Plan To Eliminate Identified Barrier

United States Securities and Exchange Commission

FY 2013

<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>The representation of individuals with targeted disabilities in the SEC workforce is slightly below 1%.</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 disability data in Tables B1 and B8 and in Part J.</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 by this trigger, the SEC notes that in FY 2013, the percentage of individuals with targeted disabilities was approximately 1%, which was the same as FY 2012.</p>
<p>OBJECTIVE: State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.</p>	<p>Increase the number of individuals with severe/targeted disabilities hired and effectively integrate them into the SEC workforce.</p>
<p>RESPONSIBLE OFFICIAL:</p>	<p>Alta G. Rodriguez, Director, Office of EEO Lacey Dingman, Director, Office of Human Resources</p>
<p>DATE OBJECTIVE INITIATED:</p>	<p>09/30/2010</p>
<p>TARGET DATE FOR COMPLETION OF OBJECTIVE:</p>	<p>09/30/2013 and ongoing</p>

PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:	TARGET DATE (Must be specific)
<p>Develop an awareness campaign for hiring managers to promote Schedule A Hiring authorities, continue to deliver Deaf and Cultural Awareness training to SEC employees, and continue to provide training to supervisors on their responsibilities to provide reasonable accommodations.</p>	<p>09/30/2014</p>
<p>Continue to deliver Disability Etiquette training and messaging for all employees.</p>	<p>09/30/2014</p>
<p>REPORT OF ACCOMPLISHMENTS</p>	
<p>In FY 2013, the SEC registered with various organizations to utilize disability hiring databases for recruitment and hiring efforts.</p>	

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

United States Securities and Exchange Commission

FY 2013

<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>White Female accountants and White Male attorneys were employed at the SEC at levels below their CLF availability. Female accountants represent 43.78% of the accountants at the SEC, and 60.09% of accountants in the CLF. White male attorneys represent 49.16% of all attorneys at the SEC, while they represent 59.68% of the civilian workforce of attorneys, a difference of 10.52%.</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 data in Table A6 comparing SEC major occupations to the 2010 Civilian Labor Force.</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 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>
<p>OBJECTIVE: State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.</p>	<p>Analyze data to determine the existence of any barriers to hiring, impacting White Female accountants and White Male attorneys.</p>
<p>RESPONSIBLE OFFICIALS:</p>	<p>Lacey Dingman, Director, Office of Human Resources Alta G. Rodriguez, Director, Office of EEO</p>
<p>DATE OBJECTIVE INITIATED:</p>	<p>09/30/2010</p>
<p>TARGET DATE FOR COMPLETION OF OBJECTIVE:</p>	<p>12/30/2015</p>

<p align="center">PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE:</p>	<p align="center">TARGET DATE (Must be specific)</p>
<p>Develop and implement a pilot program to capture and report applicant flow data to assist with conducting workforce analyses.</p>	<p align="center">12/30/2014</p>
<p>Obtain and analyze applicant flow data for attorneys and accountants to determine the existence of any barriers.</p>	<p align="center">09/30/2015 - revised</p>

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

United States Securities and Exchange Commission

FY 2013

<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>The 2010 CLF is 9.96% Hispanic while the SEC workforce is 4.35% Hispanic.</p>
<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 2013, the percentage of SEC Hispanic employees decreased for Males from 2.28% in FY 2012 to 2.20% in FY 2013, and for Females from 2.31% in FY 2012 to 2.15% in FY 2013 (<i>Table A1</i>). Only 12 of the 411 permanent hires in FY 2013 were Hispanic, while 13 Hispanic employees separated from the Commission, a net loss of 1 Hispanic employee. <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>	<p>Although there was no barrier identified for this trigger, the SEC notes that the percentage of Hispanic employees at the SEC (4.35%) remains well below the CLF (9.96%) and only 2.92% of total permanent employees hired in FY 2013 are Hispanic.</p>
<p>OBJECTIVE: State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition.</p>	<p>Analyze recruitment, hiring and promotion data to determine the existence of any barriers to hiring and retaining Hispanics.</p>
<p>RESPONSIBLE OFFICIAL:</p>	<p>Lacey Dingman, Director, Office of Human Resources and Alta G. Rodriguez, Director, Office of EEO</p>
<p>DATE OBJECTIVE INITIATED:</p>	<p>09/30/2010</p>
<p>TARGET DATE FOR COMPLETION OF OBJECTIVE:</p>	<p>09/30/2013 and ongoing</p>
<p>PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE</p>	<p>TARGET DATE (Must be specific)</p>
<p>Develop and implement a pilot program to capture and report applicant flow data to assist with conducting workforce analyses.</p>	<p>12/30/2014</p>
<p>Obtain applicant flow statistics from online applications for attorney and accountant positions.</p>	<p>9/30/2015 – revised</p>
<p>Analyze exit surveys/interviews to determine reasons for separations from the Commission.</p>	<p>9/30/2015 - revised</p>
<p>Leverage the Hispanic and Latino Opportunity, Leadership, and Advocacy Committee members to identify opportunities for improving retention of Hispanic employees.</p>	<p>10/30/2013 and ongoing</p>

Part J Special Recruitment Program for Individuals with Targeted Disabilities

Part J - I	1. Agency		1. Securities and Exchange Commission			
Part J - II Employment Trend and Special Recruitment for Individuals With Targeted Disabilities						
Enter Actual Number at the beginning of FY.		... end of FY.		Net Change	
	#	%	#	%	#	Ratio Change%
Workforce – Permanent	3785	100.00%	3982	100.00%	+197	5.20% (Net Change)
Reportable Disability	178	4.65%	204	5.12%	+26	0.42%
Targeted Disability*	33	0.87%	39	0.98%	+6	0.11%
* 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:					N/A	
2. Total Number of Selections of Individuals with Targeted Disabilities during the reporting period:					2	

See Table A1 and B1.

Part J - III Participation Rates in Agency Employment Programs

	Total	Reportable Disability Only		Targeted Disability Only		Disability Not Identified		No Disability	
		#	%	#	%	#	%	#	%
Time-Off Awards (Total hours awarded)	14,375	717	4.98	149	1.0	440	3.0	13,218	91.95
Cash Awards (total \$\$\$ awarded)	1,913,539	51,477	2.69	8,937	0.46	111,972	5.85	1,750,090	91.45

Part J - IV Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals With Targeted Disabilities

See attached report in Appendix 1: Disability Employment Plan FY 2011–2015.

Part J - V

Goals, Objectives and Strategies

- The SEC will continue to post our vacancies on targeted diverse and disability sites.
- OHR will review the agency Schedule A regulation for needed updates.
- The SEC will optimize recruiting efforts and dollars towards targeted recruitment.
- The SPPC will provide training and guidance on Schedule A hiring to managers and staffing specialists as needed.
- Establish a Working Group or alternative collaborative platform between OHR and OEEO to track and ensure goal attainment for this initiative.

The SEC's goal is to increase the percentage of individuals with targeted disabilities hired in FY 2014. See *attached report, Disability Employment Plan FY 2011–2015*.

SEC's Organizational Structure

The SEC's leadership includes a Chair and four (4) Commissioners located at the SEC's Headquarters in Washington, DC.

The SEC consists of five presidentially-appointed Commissioners, with staggered five-year terms. One of them is designated by the President as Chairman of the Commission — the agency's chief executive. The agency's functional responsibilities are organized into five (5) Divisions and 23 Offices, each of which is headquartered in Washington, DC. The Commission's staff is located in Washington, DC, and 11 Regional Offices throughout the country.

Divisions and Offices include:

Five Divisions:

- Corporation Finance
- Enforcement
- Investment Management
- Economic and Risk Analysis
- Trading and Markets

Twenty-three Offices:

- Acquisitions
- Administrative Law Judges
- Chair
- Chief Accountant
- Compliance Inspections and Examinations
- Credit Ratings
- Chief Operating Officer
- Equal Employment Opportunity
- Ethics Counsel
- Financial Management
- General Counsel
- Human Resources
- Information Technology
- International Affairs
- Inspector General
- Investor Advocate
- Investor Education and Advocacy
- Legislative and Intergovernmental Affairs
- Minority and Women Inclusion
- Municipal Securities
- Public Affairs
- Secretary
- Support Operations

The SEC's Regional Offices report to both the Division of Enforcement and the Office of Compliance Inspections and Examinations and operate within the authority of the Commission.

- 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

Table A1: Total Workforce - Distribution by Race/Ethnicity and Sex

SECURITIES AND EXCHANGE COMMISSION Pay Period from 201221 to 201321																			
Table A1: TOTAL WORKFORCE - Distribution by Race/Ethnicity and Sex																			
Employment Tenure	TOTAL WORKFORCE			RACE/ETHNICITY															
				Hispanic or Latino		Non- Hispanic or Latino								Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
						White		Black or African American		Asian									
All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	
TOTAL WORKFORCE - Permanent and Temporary																			
Prior FY	#	3942	2081	1861	90	91	1599	1097	200	453	181	207	1	3	9	5	1	5	
	%	100%	52.79%	47.21%	2.28%	2.31%	40.56%	27.83%	5.07%	11.49%	4.59%	5.25%	0.03%	0.08%	0.23%	0.13%	0.03%	0.13%	
Current FY	#	4138	2215	1923	91	89	1692	1117	215	480	206	223	1	4	9	5	1	5	
	%	100%	53.53%	46.47%	2.2%	2.15%	40.89%	26.99%	5.2%	11.6%	4.98%	5.39%	0.02%	0.10%	0.22%	0.12%	0.02%	0.12%	
Nat 2010 CLF	%	100%	51.86%	48.14%	5.17%	4.79%	38.33%	34.03%	5.49%	6.53%	1.97%	1.93%	0.07%	0.07%	0.55%	0.53%	0.26%	0.28%	
Difference	#	196	134	62	1	-2	93	20	15	27	25	16	0	1	0	0	0	0	
Ratio Change	%	0.00%	0.74%	-0.74%	-0.08%	-0.16%	0.33%	-0.83%	0.12%	0.11%	0.39%	0.14%	0.00%	0.02%	-0.01%	-0.01%	0.00%	-0.01%	
Net Change	%	4.97%	6.44%	3.33%	1.11%	-2.20%	5.82%	1.82%	7.50%	5.96%	13.81%	7.73%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%	
PERMANENT WORKFORCE																			
Prior FY	#	3785	1993	1792	88	85	1528	1060	194	441	173	194	1	2	8	5	1	5	
	%	100%	52.66%	47.34%	2.32%	2.25%	40.37%	28.01%	5.13%	11.65%	4.57%	5.13%	0.03%	0.05%	0.21%	0.13%	0.03%	0.13%	
Current FY	#	3982	2117	1865	89	85	1620	1090	205	465	193	213	1	2	8	5	1	5	
	%	100%	53.16%	46.84%	2.24%	2.13%	40.68%	27.37%	5.15%	11.68%	4.85%	5.35%	0.03%	0.05%	0.20%	0.13%	0.03%	0.13%	
Difference	#	197	124	73	1	0	92	30	11	24	20	19	0	0	0	0	0	0	
Ratio Change	%	0%	0.51%	-0.51%	-0.09%	-0.11%	0.31%	-0.63%	0.02%	0.03%	0.28%	0.22%	0.00%	0.00%	-0.01%	-0.01%	0.00%	-0.01%	
Net Change	%	5.20%	6.22%	4.07%	1.14%	0.00%	6.02%	2.83%	5.67%	5.44%	11.56%	9.79%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
TEMPORARY WORKFORCE																			
Prior FY	#	157	88	69	2	6	71	37	6	12	8	13	0	1	1	0	0	0	
	%	100%	56.05%	43.95%	1.27%	3.82%	45.22%	23.57%	3.82%	7.64%	5.1%	8.28%	0.00%	0.64%	0.64%	0.00%	0.00%	0.00%	
Current FY	#	156	98	58	2	4	72	27	10	15	13	10	0	2	1	0	0	0	
	%	100%	62.82%	37.18%	1.28%	2.56%	46.15%	17.31%	6.41%	9.62%	8.33%	6.41%	0.00%	1.28%	0.64%	0.00%	0.00%	0.00%	
Difference	#	-1	10	-11	0	-2	1	-10	4	3	5	-3	0	1	0	0	0	0	
Ratio Change	%	0%	6.77%	-6.77%	0.01%	-1.26%	0.93%	-6.26%	2.59%	1.97%	3.24%	-1.87%	0.00%	0.65%	0.00%	0.00%	0.00%	0.00%	
Net Change	%	-0.64%	11.36%	-15.94%	0.00%	-33.33%	1.41%	-27.03%	66.67%	25.00%	62.50%	-23.08%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	

Table A3-1: Occupational Categories – Distribution by Race/Ethnicity and Sex – Permanent Workforce

SECURITIES AND EXCHANGE COMMISSION Pay Period 201321																		
Table A3-1: Occupational Categories - Distribution by Race/Ethnicity and Sex - Permanent Workforce																		
Occupational Categories		TOTAL EMPLOYEES			RACE/ETHNICITY													
					Hispanic or Latino		Non- Hispanic or Latino											
							White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
#	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female
Executive/Senior Level Officials and Managers	#	126	82	44	2	1	73	37	3	4	3	2	0	0	1	0	0	0
	%	100%	65.08%	34.92%	1.59%	0.79%	57.94%	29.37%	2.38%	3.17%	2.38%	1.59%	0.00%	0.00%	0.79%	0.00%	0.00%	0.00%
Mid-Level Officials and Managers	#	347	206	141	9	6	179	102	8	17	9	14	0	1	1	1	0	0
	%	100%	59.37%	40.63%	2.59%	1.73%	51.59%	29.39%	2.31%	4.90%	2.59%	4.03%	0.00%	0.29%	0.29%	0.29%	0.00%	0.00%
First Level Officials and Managers	#	317	215	102	6	6	169	68	15	19	23	8	1	0	1	0	0	1
	%	100%	67.82%	32.18%	1.89%	1.89%	53.31%	21.45%	4.73%	5.99%	7.26%	2.52%	0.32%	0.00%	0.32%	0.00%	0.00%	0.32%
Total Officials and Managers	#	790	503	287	17	13	421	207	26	40	35	24	1	1	3	1	0	1
	%	100%	63.67%	36.33%	2.15%	1.65%	53.29%	26.20%	3.29%	5.06%	4.43%	3.04%	0.13%	0.13%	0.38%	0.13%	0.00%	0.13%
Professionals - Program Work	#	2229	1257	972	49	41	1013	683	81	98	109	145	0	1	5	2	0	2
	%	100%	56.39%	43.61%	2.20%	1.84%	45.45%	30.64%	3.63%	4.40%	4.89%	6.51%	0.00%	0.04%	0.22%	0.09%	0.00%	0.09%
Professionals - Business/Financial Admin	#	779	319	460	21	22	175	177	74	221	48	36	0	0	0	2	1	2
	%	100%	40.95%	59.05%	2.70%	2.82%	22.46%	22.72%	9.50%	28.37%	6.16%	4.62%	0.00%	0.00%	0.00%	0.26%	0.13%	0.26%
Administrative Support Workers	#	179	35	144	2	9	9	21	23	106	1	8	0	0	0	0	0	0
	%	100%	19.55%	80.45%	1.12%	5.03%	5.03%	11.73%	12.85%	59.22%	0.56%	4.47%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Table A3-2: Occupational Categories – Distribution by Race/Ethnicity and Sex

SECURITIES AND EXCHANGE COMMISSION Pay Period 201321																			
Table A3-2: Occupational Categories - Distribution by Race/Ethnicity and Sex																			
Occupational Categories	TOTAL EMPLOYEES			RACE/ETHNICITY															
				Hispanic or Latino		Non- Hispanic or Latino										American Indian or Alaska Native		Two or more races	
						White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander							
	All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female		
Executive/Senior Level Officials and Managers	#	126	82	44	2	1	73	37	3	4	3	2	0	0	1	0	0	0	
	%	100%	3.87%	2.36%	2.25%	1.18%	4.51%	3.39%	1.46%	0.86%	1.55%	0.94%	0.00%	0.00%	12.50%	0.00%	0.00%	0.00%	
Mid-Level Officials and Managers	#	347	206	141	9	6	179	102	8	17	9	14	0	1	1	1	0	0	
	%	100%	9.73%	7.56%	10.11%	7.06%	11.05%	9.36%	3.90%	3.66%	4.66%	6.57%	0.00%	50.00%	12.50%	20.00%	0.00%	0.00%	
First Level Officials and Managers	#	317	215	102	6	6	169	68	15	19	23	8	1	0	1	0	0	1	
	%	100%	10.16%	5.47%	6.74%	7.06%	10.43%	6.24%	7.32%	4.09%	11.92%	3.76%	100.00%	0.00%	12.50%	0.00%	0.00%	20.00%	
Total Officials and Managers	#	790	503	287	17	13	421	207	26	40	35	24	1	1	3	1	0	1	
	%	100%	23.76%	15.39%	19.10%	15.29%	25.99%	18.99%	12.68%	8.60%	18.13%	11.27%	100.00%	50.00%	37.50%	20.00%	0.00%	20.00%	
Professionals - Program Work	#	2229	1257	972	49	41	1013	683	81	98	109	145	0	1	5	2	0	2	
	%	100%	59.38%	52.12%	55.06%	48.24%	62.53%	62.66%	39.51%	21.08%	56.48%	68.08%	0.00%	50.00%	62.50%	40.00%	0.00%	40.00%	
Professionals - Business/Financial Admin	#	779	319	460	21	22	175	177	74	221	48	36	0	0	0	2	1	2	
	%	100%	15.07%	24.66%	23.60%	25.88%	10.80%	16.24%	36.10%	47.53%	24.87%	16.90%	0.00%	0.00%	0.00%	40.00%	100.00%	40.00%	
Administrative Support Workers	#	179	35	144	2	9	9	21	23	106	1	8	0	0	0	0	0	0	
	%	100%	1.65%	7.72%	2.25%	10.59%	0.56%	1.93%	11.22%	22.80%	0.52%	3.76%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Others (AD, AL, EX)	#	5	3	2	0	0	2	2	1	0	0	0	0	0	0	0	0	0	
	%	100%	0.14%	0.11%	0.00%	0.00%	0.12%	0.18%	0.49%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Total Workforce	#	3982	2117	1865	89	85	1620	1090	205	465	193	213	1	2	8	5	1	5	
	%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	

Table A4-1: Participation Rates for General Schedule Grades - Distribution by Race/Ethnicity and Sex - Permanent Workforce

SECURITIES AND EXCHANGE COMMISSION - Pay Period 201321																			
Table A4-1: Participation Rates for General Schedule Grades - Distribution by Race/Ethnicity and Sex - Permanent Workforce																			
Grade	TOTAL EMPLOYEES			RACE/ETHNICITY															
				Hispanic or Latino		Non- Hispanic or Latino								Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
						White		Black or African American		Asian									
All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	
SK-01	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-02	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-03	#	1	0	1	0	0	0	0	1	0	0	0	0	0	0	0	0	0	
	%	100%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-04	#	6	4	2	0	1	2	0	2	1	0	0	0	0	0	0	0	0	
	%	100%	66.67%	33.33%	0.00%	16.67%	33.33%	0.00%	33.33%	16.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-05	#	7	1	6	0	1	0	1	1	3	0	1	0	0	0	0	0	0	
	%	100%	14.29%	85.71%	0.00%	14.29%	0.00%	14.29%	14.29%	42.86%	0.00%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-06	#	19	5	14	0	0	2	2	3	11	0	1	0	0	0	0	0	0	
	%	100%	26.32%	73.68%	0.00%	0.00%	10.53%	10.53%	15.79%	57.89%	0.00%	5.26%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-07	#	104	18	86	2	8	5	14	10	60	1	4	0	0	0	0	0	0	
	%	100%	17.31%	82.69%	1.92%	7.69%	4.81%	13.46%	9.62%	57.69%	0.96%	3.85%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-08	#	31	4	27	0	0	1	4	3	21	0	2	0	0	0	0	0	0	
	%	100%	12.90%	87.10%	0.00%	0.00%	3.23%	12.90%	9.68%	67.74%	0.00%	6.45%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-09	#	69	23	46	1	0	10	10	10	33	2	2	0	0	0	0	0	1	
	%	100%	33.33%	66.67%	1.45%	0.00%	14.49%	14.49%	14.49%	47.83%	2.90%	2.90%	0.00%	0.00%	0.00%	0.00%	0.00%	1.45%	
SK-10	#	2	0	2	0	0	0	1	0	1	0	0	0	0	0	0	0	0	
	%	100%	0.00%	100.00%	0.00%	0.00%	0.00%	50.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-11	#	143	45	98	3	9	28	33	11	50	3	6	0	0	0	0	0	0	
	%	100%	31.47%	68.53%	2.10%	6.29%	19.58%	23.08%	7.69%	34.97%	2.10%	4.20%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-12	#	235	80	155	1	6	49	62	22	72	8	13	0	0	0	2	0	0	
	%	100%	34.04%	65.96%	0.43%	2.55%	20.85%	26.38%	9.36%	30.64%	3.40%	5.53%	0.00%	0.00%	0.00%	0.85%	0.00%	0.00%	
SK-13	#	429	246	183	11	4	169	102	35	55	31	20	0	0	0	0	0	2	
	%	100%	57.34%	42.66%	2.56%	0.93%	39.39%	23.78%	8.16%	12.82%	7.23%	4.66%	0.00%	0.00%	0.00%	0.00%	0.00%	0.47%	
SK-14	#	1737	941	796	49	41	724	525	71	100	92	127	0	0	4	2	1	1	
	%	100%	54.17%	45.83%	2.82%	2.36%	41.68%	30.22%	4.09%	5.76%	5.30%	7.31%	0.00%	0.00%	0.23%	0.12%	0.06%	0.06%	
SK-15	#	317	215	102	6	6	169	68	15	19	23	8	1	0	1	0	0	1	
	%	100%	67.82%	32.18%	1.89%	1.89%	53.31%	21.45%	4.73%	5.99%	7.26%	2.52%	0.32%	0.00%	0.32%	0.00%	0.00%	0.32%	
SK-16	#	406	246	160	5	2	208	127	11	17	21	13	0	1	1	0	0	0	
	%	100%	60.59%	39.41%	1.23%	0.49%	51.23%	31.28%	2.71%	4.19%	5.17%	3.20%	0.00%	0.25%	0.25%	0.00%	0.00%	0.00%	
SK-17	#	347	206	141	9	6	179	102	8	17	9	14	0	1	1	1	0	0	
	%	100%	59.37%	40.63%	2.59%	1.73%	51.59%	29.39%	2.31%	4.90%	2.59%	4.03%	0.00%	0.29%	0.29%	0.29%	0.00%	0.00%	
AL	#	3	1	2	0	0	1	2	0	0	0	0	0	0	0	0	0	0	
	%	100%	33.33%	66.67%	0.00%	0.00%	33.33%	66.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SO	#	126	82	44	2	1	73	37	3	4	3	2	0	0	1	0	0	0	
	%	100%	65.08%	34.92%	1.59%	0.79%	57.94%	29.37%	2.38%	3.17%	2.38%	1.59%	0.00%	0.00%	0.79%	0.00%	0.00%	0.00%	

Table A4-1: Participation Rates for General Schedule Grades - Distribution by Race/Ethnicity and Sex - Temporary Workforce

SECURITIES AND EXCHANGE COMMISSION - Pay Period 201321																			
Table A4-1: Participation Rates for General Schedule Grades - Distribution by Race/Ethnicity and Sex - Temporary Workforce																			
Grade	TOTAL EMPLOYEES			RACE/ETHNICITY															
				Hispanic or Latino		Non- Hispanic or Latino								Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
						White		Black or African American		Asian									
	All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female		
SK-01	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		
SK-01	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-02	#	1	0	1	0	0	0	0	1	0	0	0	0	0	0	0	0		
SK-02	%	100%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-03	#	2	1	1	0	0	0	0	0	1	1	0	0	0	0	0	0		
SK-03	%	100%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-04	#	11	4	7	0	1	2	3	1	2	1	0	0	0	0	0	0		
SK-04	%	100%	36.36%	63.64%	0.00%	9.09%	18.18%	27.27%	9.09%	18.18%	9.09%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-05	#	4	0	4	0	1	0	0	3	0	0	0	0	0	0	0	0		
SK-05	%	100%	0.00%	100.00%	0.00%	25.00%	0.00%	0.00%	0.00%	75.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-06	#	1	1	0	0	0	0	1	0	0	0	0	0	0	0	0	0		
SK-06	%	100%	100.00%	0.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-07	#	3	2	1	0	0	1	1	1	0	0	0	0	0	0	0	0		
SK-07	%	100%	66.67%	33.33%	0.00%	0.00%	33.33%	33.33%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-08	#	1	0	1	0	1	0	0	0	0	0	0	0	0	0	0	0		
SK-08	%	100%	0.00%	100.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-09	#	2	2	0	0	0	2	0	0	0	0	0	0	0	0	0	0		
SK-09	%	100%	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-10	#	3	0	3	0	0	0	1	0	2	0	0	0	0	0	0	0		
SK-10	%	100%	0.00%	100.00%	0.00%	0.00%	0.00%	33.33%	0.00%	66.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-11	#	14	8	6	0	0	6	5	2	1	0	0	0	0	0	0	0		
SK-11	%	100%	57.14%	42.86%	0.00%	0.00%	42.86%	35.71%	14.29%	7.14%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-12	#	9	6	3	0	1	3	1	1	1	2	0	0	0	0	0	0		
SK-12	%	100%	66.67%	33.33%	0.00%	11.11%	33.33%	11.11%	11.11%	11.11%	22.22%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-13	#	9	4	5	0	0	1	0	1	2	1	3	0	0	1	0	0		
SK-13	%	100%	44.44%	55.56%	0.00%	0.00%	11.11%	0.00%	11.11%	22.22%	11.11%	33.33%	0.00%	0.00%	11.11%	0.00%	0.00%		
SK-14	#	41	29	12	1	0	21	5	1	2	6	5	0	0	0	0	0		
SK-14	%	100%	70.73%	29.27%	2.44%	0.00%	51.22%	12.20%	2.44%	4.88%	14.63%	12.20%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-15	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		
SK-15	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-16	#	41	31	10	1	0	26	8	2	1	2	0	0	1	0	0	0		
SK-16	%	100%	75.61%	24.39%	2.44%	0.00%	63.41%	19.51%	4.88%	2.44%	4.88%	0.00%	0.00%	2.44%	0.00%	0.00%	0.00%		
SK-17	#	3	1	2	0	0	1	2	0	0	0	0	0	0	0	0	0		
SK-17	%	100%	33.33%	66.67%	0.00%	0.00%	33.33%	66.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
AD, ED	#	3	3	0	0	0	3	0	0	0	0	0	0	0	0	0	0		
AD, ED	%	100%	100.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SO, EX	#	8	6	2	0	0	6	1	0	0	0	0	1	0	0	0	0		
SO, EX	%	100%	75.00%	25.00%	0.00%	0.00%	75.00%	12.50%	0.00%	0.00%	0.00%	0.00%	12.50%	0.00%	0.00%	0.00%	0.00%		

Table A4-2: Participation Rates for General Schedule Grades - Distribution by Race/Ethnicity and Sex - Permanent Workforce

SECURITIES AND EXCHANGE COMMISSION - Pay Period 201321

Table A4-2: Participation Rates for General Schedule Grades - Distribution by Race/Ethnicity and Sex - Permanent Workforce

Grade	TOTAL EMPLOYEES		RACE/ETHNICITY															
			Hispanic or Latino		Non- Hispanic or Latino								Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
			male	female	White	Black or African American	Asian	male	female	male	female	male	female	male	female	male	female	
#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	
SK-01	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-02	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-03	#	1	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0
	%	0.03%	0.00%	0.05%	0.00%	0.00%	0.00%	0.00%	0.00%	0.22%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-04	#	6	4	2	0	1	2	0	2	1	0	0	0	0	0	0	0	0
	%	0.15%	0.19%	0.11%	0.00%	1.18%	0.12%	0.00%	0.98%	0.22%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-05	#	7	1	6	0	1	0	1	1	3	0	1	0	0	0	0	0	0
	%	0.18%	0.05%	0.32%	0.00%	1.18%	0.00%	0.09%	0.49%	0.65%	0.00%	0.47%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-06	#	19	5	14	0	0	2	2	3	11	0	1	0	0	0	0	0	0
	%	0.48%	0.24%	0.75%	0.00%	0.00%	0.12%	0.18%	1.46%	2.37%	0.00%	0.47%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-07	#	104	18	86	2	8	5	14	10	60	1	4	0	0	0	0	0	0
	%	2.61%	0.85%	4.61%	2.25%	9.41%	0.31%	1.28%	4.88%	12.90%	0.52%	1.88%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-08	#	31	4	27	0	0	1	4	3	21	0	2	0	0	0	0	0	0
	%	0.78%	0.19%	1.45%	0.00%	0.00%	0.06%	0.37%	1.46%	4.52%	0.00%	0.94%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-09	#	69	23	46	1	0	10	10	10	33	2	2	0	0	0	0	0	1
	%	1.73%	1.09%	2.47%	1.12%	0.00%	0.62%	0.92%	4.88%	7.10%	1.04%	0.94%	0.00%	0.00%	0.00%	0.00%	0.00%	20.00%
SK-10	#	2	0	2	0	0	0	1	0	1	0	0	0	0	0	0	0	0
	%	0.05%	0.00%	0.11%	0.00%	0.00%	0.00%	0.09%	0.00%	0.22%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-11	#	143	45	98	3	9	28	33	11	50	3	6	0	0	0	0	0	0
	%	3.59%	2.13%	5.25%	3.37%	10.59%	1.73%	3.03%	5.37%	10.75%	1.55%	2.82%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-12	#	235	80	155	1	6	49	62	22	72	8	13	0	0	0	2	0	0
	%	5.90%	3.78%	8.31%	1.12%	7.06%	3.02%	5.69%	10.73%	15.48%	4.15%	6.10%	0.00%	0.00%	0.00%	40.00%	0.00%	0.00%
SK-13	#	429	246	183	11	4	169	102	35	55	31	20	0	0	0	0	0	2
	%	10.77%	11.62%	9.81%	12.36%	4.71%	10.43%	9.36%	17.07%	11.83%	16.06%	9.39%	0.00%	0.00%	0.00%	0.00%	0.00%	40.00%
SK-14	#	1737	941	796	49	41	724	525	71	100	92	127	0	0	4	2	1	1
	%	43.62%	44.45%	42.68%	55.06%	48.24%	44.69%	48.17%	34.63%	21.51%	47.67%	59.62%	0.00%	0.00%	50.00%	40.00%	100.00%	20.00%
SK-15	#	317	215	102	6	6	169	68	15	19	23	8	1	0	1	0	0	1
	%	7.96%	10.16%	5.47%	6.74%	7.06%	10.43%	6.24%	7.32%	4.09%	11.92%	3.76%	100.00%	0.00%	12.50%	0.00%	0.00%	20.00%
SK-16	#	406	246	160	5	2	208	127	11	17	21	13	0	1	1	0	0	0
	%	10.20%	11.62%	8.58%	5.62%	2.35%	12.84%	11.65%	5.37%	3.66%	10.88%	6.10%	0.00%	50.00%	12.50%	0.00%	0.00%	0.00%
SK-17	#	347	206	141	9	6	179	102	8	17	9	14	0	1	1	1	0	0
	%	8.71%	9.73%	7.56%	10.11%	7.06%	11.05%	9.36%	3.90%	3.66%	4.66%	6.57%	0.00%	50.00%	12.50%	20.00%	0.00%	0.00%
AL	#	3	1	2	0	0	1	2	0	0	0	0	0	0	0	0	0	0
	%	0.08%	33.33%	66.67%	0.00%	0.00%	33.33%	66.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SO	#	126	82	44	2	1	73	37	3	4	3	2	0	0	1	0	0	0
	%	3.16%	3.87%	2.36%	2.25%	1.18%	4.51%	3.39%	1.46%	0.86%	1.55%	0.94%	0.00%	0.00%	12.50%	0.00%	0.00%	0.00%
TOTAL	#	3982	2117	1865	89	85	1620	1090	205	465	193	213	1	2	8	5	1	5
	%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%

Table A4-2: Participation Rates for General Schedule Grades - Distribution by Race/Ethnicity and Sex - Temporary Workforce

SECURITIES AND EXCHANGE COMMISSION - Pay Period 201321

Table A4-2: Participation Rates for General Schedule Grades - Distribution by Race/Ethnicity and Sex - Temporary Workforce

Grade	TOTAL EMPLOYEES			RACE/ETHNICITY																	
				Hispanic or Latino		Non- Hispanic or Latino										Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
						White	Black or African American	Asian		male	female	male	female	male	female						
All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female			
GS-01	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		
	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
GS-02	#	1	0	1	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0		
	%	0.64%	0.00%	1.72%	0.00%	0.00%	0.00%	0.00%	0.00%	6.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
GS-03	#	2	1	1	0	0	0	0	0	0	1	1	0	0	0	0	0	0	0		
	%	1.28%	1.02%	1.72%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	7.69%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
GS-04	#	11	4	7	0	1	2	3	1	2	1	1	0	0	0	0	0	0	0		
	%	7.05%	4.08%	12.07%	0.00%	25.00%	2.78%	11.11%	10.00%	13.33%	7.69%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
GS-05	#	4	0	4	0	1	0	0	0	3	0	0	0	0	0	0	0	0	0		
	%	2.56%	0.00%	6.90%	0.00%	25.00%	0.00%	0.00%	0.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
GS-06	#	1	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0		
	%	0.64%	1.02%	0.00%	0.00%	0.00%	0.00%	0.00%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
GS-07	#	3	2	1	0	0	1	1	1	0	0	0	0	0	0	0	0	0	0		
	%	1.92%	2.04%	1.72%	0.00%	0.00%	1.39%	3.70%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
GS-08	#	1	0	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0		
	%	0.64%	0.00%	1.72%	0.00%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
GS-09	#	2	2	0	0	0	2	0	0	0	0	0	0	0	0	0	0	0	0		
	%	1.28%	2.04%	0.00%	0.00%	0.00%	2.78%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
GS-10	#	3	0	3	0	0	0	1	0	2	0	0	0	0	0	0	0	0	0		
	%	1.92%	0.00%	5.17%	0.00%	0.00%	0.00%	3.70%	0.00%	13.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
GS-11	#	14	8	6	0	0	6	5	2	1	0	0	0	0	0	0	0	0	0		
	%	8.97%	8.16%	10.34%	0.00%	0.00%	8.33%	18.52%	20.00%	6.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
GS-12	#	9	6	3	0	1	3	1	1	1	2	0	0	0	0	0	0	0	0		
	%	5.77%	6.12%	5.17%	0.00%	25.00%	4.17%	3.70%	10.00%	6.67%	15.38%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
GS-13	#	9	4	5	0	0	1	0	1	2	1	3	0	0	1	0	0	0	0		
	%	5.77%	4.08%	8.62%	0.00%	0.00%	1.39%	0.00%	10.00%	13.33%	7.69%	30.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%		
GS-14	#	41	29	12	1	0	21	5	1	2	6	5	0	0	0	0	0	0	0		
	%	26.28%	29.59%	20.69%	50.00%	0.00%	29.17%	18.52%	10.00%	13.33%	46.15%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
GS-15	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0		
	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-16	#	41	31	10	1	0	26	8	2	1	2	0	0	1	0	0	0	0	0		
	%	26.28%	31.63%	17.24%	50.00%	0.00%	36.11%	29.63%	20.00%	6.67%	15.38%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SK-17	#	3	1	2	0	0	1	2	0	0	0	0	0	0	0	0	0	0	0		
	%	1.92%	1.02%	3.45%	0.00%	0.00%	1.39%	7.41%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
AD, ED	#	3	1	2	0	0	1	2	0	0	0	0	0	0	0	0	0	0	0		
	%	0.08%	33.33%	66.67%	0.00%	0.00%	33.33%	66.67%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
SO, EX	#	8	6	2	0	0	6	1	0	0	0	0	0	1	0	0	0	0	0		
	%	5.13%	6.12%	3.45%	0.00%	0.00%	8.33%	3.70%	0.00%	0.00%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
TOTAL	#	156	98	58	2	4	72	27	10	15	13	10	0	2	0	0	0	0	0		
	%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%		

Table A6: Participation Rates for Major Occupations - Distribution by Race/Ethnicity and Sex - Permanent Workforce

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Table A6: PARTICIPATION RATES FOR MAJOR OCCUPATIONS - Distribution by Race/Ethnicity and Sex - Permanent Workforce																			
Job Title/Series Agency Rate Occupational CLF	TOTAL EMPLOYEES			RACE/ETHNICITY															
				Hispanic or Latino		Non- Hispanic or Latino													
						White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races			
	All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female
0110 Economist	#	34	22	12	1	0	15	9	2	0	3	3	0	0	1	0	0	0	
	%	100%	64.71%	35.29%	2.94%	0.00%	44.12%	26.47%	5.88%	0.00%	8.82%	8.82%	0.00%	0.00%	2.94%	0.00%	0.00%	0.00%	
Occupational CLF	#	100%	67.07%	32.93%	3.34%	1.85%	55.79%	25.20%	2.84%	2.66%	4.46%	3.02%	0.00%	0.05%	0.47%	0.13%	0.18%	0.02%	
0510 Accountants	#	948	533	415	30	25	421	270	32	51	48	68	0	0	2	1	0	0	
	%	100%	56.22%	43.78%	3.16%	2.64%	44.41%	28.48%	3.38%	5.38%	5.06%	7.17%	0.00%	0.00%	0.21%	0.11%	0.00%	0.00%	
Occupational CLF	#	100%	39.91%	60.09%	2.19%	3.93%	31.79%	44.23%	2.49%	5.66%	3.06%	5.49%	0.02%	0.06%	0.19%	0.43%	0.17%	0.29%	
0905 General Attorney	#	1733	1009	724	28	24	852	546	59	63	67	87	0	1	3	2	0	1	
	%	100%	58.22%	41.78%	1.62%	1.38%	49.16%	31.51%	3.40%	3.64%	3.87%	5.02%	0.00%	0.06%	0.17%	0.12%	0.00%	0.06%	
Occupational CLF	#	100%	66.70%	33.30%	2.52%	1.85%	59.68%	26.68%	2.13%	2.60%	1.82%	1.74%	0.02%	0.01%	0.31%	0.23%	0.22%	0.18%	
1831 Securities Compliance Examining	#	178	123	55	5	2	98	35	4	9	16	8	0	0	0	0	0	1	
	%	100%	69.10%	30.90%	2.81%	1.12%	55.06%	19.66%	2.25%	5.06%	8.99%	4.49%	0.00%	0.00%	0.00%	0.00%	0.00%	0.56%	
Occupational CLF	#	100%	54.75%	45.25%	3.06%	3.65%	44.11%	28.34%	3.57%	8.71%	3.69%	3.96%	0.00%	0.00%	0.08%	0.31%	0.24%	0.27%	

Table A6: Participation Rates for Major Occupations - Distribution by Race/Ethnicity and Sex- Temporary Workforce

SECURITIES AND EXCHANGE COMMISSION Pay Period 201321																			
Table A6: PARTICIPATION RATES FOR MAJOR OCCUPATIONS - Distribution by Race/Ethnicity and Sex - Temporary Workforce																			
Job Title/Series Agency Rate Occupational CLF Rate	TOTAL EMPLOYEES			RACE/ETHNICITY															
				Hispanic or Latino	Non- Hispanic or Latino										Native Hawaiian or Other Pacific Islander	American Indian or Alaska Native		Two or more races	
					White	Black or African American		Asian		male	female	male	female	male		female	male	female	
	All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female		
0110 Economist	#	31	21	10	0	1	17	3	0	2	4	4	0	0	0	0	0	0	
	%	100%	67.74%	32.26%	0.00%	3.23%	54.84%	9.68%	0.00%	6.45%	12.90%	12.90%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Occupational CLF	#	100%	67.07%	32.93%	3.34%	1.85%	55.79%	25.20%	2.84%	2.66%	4.46%	3.02%	0.00%	0.05%	0.47%	0.13%	0.18%	0.02%	
0510 Accountants	#	19	15	4	0	0	13	4	1	0	1	0	0	0	0	0	0	0	
	%	100%	78.95%	21.05%	0.00%	0.00%	68.42%	21.05%	5.26%	0.00%	5.26%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Occupational CLF	#	100%	39.91%	60.09%	2.19%	3.93%	31.79%	44.23%	2.49%	5.66%	3.06%	5.49%	0.02%	0.06%	0.19%	0.43%	0.17%	0.29%	
0905 General Attorney	#	22	14	8	0	0	12	5	1	1	1	1	0	1	0	0	0	0	
	%	100%	63.64%	36.36%	0.00%	0.00%	54.55%	22.73%	4.55%	4.55%	4.55%	4.55%	0.00%	4.55%	0.00%	0.00%	0.00%	0.00%	
Occupational CLF	#	100%	66.70%	33.30%	2.52%	1.85%	59.68%	26.68%	2.13%	2.60%	1.82%	1.74%	0.02%	0.01%	0.31%	0.23%	0.22%	0.18%	
1831 Securities Compliance Examining	#	7	6	1	1	0	4	1	0	0	1	0	0	0	0	0	0	0	
	%	100%	85.71%	14.29%	14.29%	0.00%	57.14%	14.29%	0.00%	0.00%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Occupational CLF	#	100%	54.75%	45.25%	3.06%	3.65%	44.11%	28.34%	3.57%	8.71%	3.69%	3.96%	0.00%	0.00%	0.08%	0.31%	0.24%	0.27%	

Table A7: Hires for Major Occupations – Distribution by Race/Ethnicity and Sex – Permanent Workforce

SECURITIES AND EXCHANGE COMMISSION for Period (2012-10-01 TO 2013-09-30)																			
Table A7: HIRES FOR MAJOR OCCUPATIONS - Distribution by Race/Ethnicity and Sex - Permanent Workforce																			
Job Title/Series	TOTAL EMPLOYEES			RACE/ETHNICITY															
				Hispanic or Latino		Non- Hispanic or Latino													
						White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races			
Rate Occupational CLF	All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female
0110 Economist																			
	#	2	1	1	0	0	1	0	0	0	0	1	0	0	0	0	0	0	0
Accessions	%	100%	50.00%	50.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
CLF	#	100%	67.10%	32.90%	3.30%	1.90%	55.80%	25.20%	2.80%	2.70%	4.50%	3.00%	0.00%	0.10%	0.50%	0.10%	0.20%	0.00%	0.00%
0510 Accountants																			
	#	43	24	19	0	0	20	10	2	3	2	6	0	0	0	0	0	0	0
Accessions	%	100%	55.81%	44.19%	0.00%	0.00%	46.51%	23.26%	4.65%	6.98%	4.65%	13.95%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
CLF	#	100%	39.90%	60.10%	2.20%	3.90%	31.80%	44.20%	2.50%	5.70%	3.10%	5.50%	0.00%	0.10%	0.20%	0.40%	0.20%	0.30%	0.00%
0905 General Attorney																			
	#	152	91	61	2	2	82	46	2	7	5	5	0	0	0	1	0	0	0
Accessions	%	100%	59.87%	40.13%	1.32%	1.32%	53.95%	30.26%	1.32%	4.61%	3.29%	3.29%	0.00%	0.00%	0.00%	0.66%	0.00%	0.00%	0.00%
CLF	#	100%	66.70%	33.30%	2.50%	1.80%	59.70%	26.70%	2.10%	2.60%	1.80%	1.70%	0.00%	0.00%	0.30%	0.20%	0.20%	0.20%	0.00%
1831 Securities Compliance Examining																			
	#	45	33	12	1	1	31	8	0	1	1	2	0	0	0	0	0	0	0
Accessions	%	100%	73.33%	26.67%	2.22%	2.22%	68.89%	17.78%	0.00%	2.22%	2.22%	4.44%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
CLF	#	100%	54.70%	45.30%	3.10%	3.60%	44.10%	28.30%	3.60%	8.70%	3.70%	4.00%	0.00%	0.00%	0.10%	0.30%	0.20%	0.30%	0.00%

Table A7: Hires for Major Occupations – Distribution by Race/Ethnicity and Sex –Temporary Workforce

SECURITIES AND EXCHANGE COMMISSION For Period (2012-10-01 TO 2013-09-30)																			
Table A7: HIRES FOR MAJOR OCCUPATIONS - Distribution by Race/Ethnicity and Sex - Temporary Workforce																			
Job Title/Series Agency	TOTAL EMPLOYEES			RACE/ETHNICITY															
				Hispanic or Latino		Non- Hispanic or Latino								Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
						White		Black or African American		Asian									
Rate Occupational CLF	All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female
0110 Economist																			
	#	9	6	3	0	0	5	1	0	0	1	2	0	0	0	0	0	0	0
Accessions	%	100%	66.67%	33.33%	0.00%	0.00%	55.56%	11.11%	0.00%	0.00%	11.11%	22.22%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
CLF	#	100%	67.10%	32.90%	3.30%	1.90%	55.80%	25.20%	2.80%	2.70%	4.50%	3.00%	0.00%	0.10%	0.50%	0.10%	0.20%	0.00%	0.00%
0510 Accountants																			
	#	7	6	1	0	0	4	1	1	0	1	0	0	0	0	0	0	0	0
Accessions	%	100%	85.71%	14.29%	0.00%	0.00%	57.14%	14.29%	14.29%	0.00%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
CLF	#	100%	39.90%	60.10%	2.20%	3.90%	31.80%	44.20%	2.50%	5.70%	3.10%	5.50%	0.00%	0.10%	0.20%	0.40%	0.20%	0.30%	0.00%
0905 General Attorney																			
	#	9	6	3	0	0	5	2	1	0	0	0	0	1	0	0	0	0	0
Accessions	%	100%	66.67%	33.33%	0.00%	0.00%	55.56%	22.22%	11.11%	0.00%	0.00%	0.00%	0.00%	11.11%	0.00%	0.00%	0.00%	0.00%	0.00%
CLF	#	100%	66.70%	33.30%	2.50%	1.80%	59.70%	26.70%	2.10%	2.60%	1.80%	1.70%	0.00%	0.00%	0.30%	0.20%	0.20%	0.20%	0.20%
1831 Securities Compliance Examining																			
	#	3	3	0	1	0	1	0	0	0	1	0	0	0	0	0	0	0	0
Accessions	%	100%	100.00%	0.00%	33.33%	0.00%	33.33%	0.00%	0.00%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
CLF	#	100%	54.70%	45.30%	3.10%	3.60%	44.10%	28.30%	3.60%	8.70%	3.70%	4.00%	0.00%	0.00%	0.10%	0.30%	0.20%	0.30%	0.30%

Table A8: New Hires by Type of Appointment - Distribution by Race/Ethnicity and Sex

SECURITIES AND EXCHANGE COMMISSION For Period (2012-10-01 TO 2013-09-30)																		
Table A8: NEW HIRES BY TYPE OF APPOINTMENT - Distribution by Race/Ethnicity and Sex																		
Employment Tenure	TOTAL EMPLOYEES			RACE/ETHNICITY														
				Hispanic or Latino		Non- Hispanic or Latino												
						White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races		
	All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	
Permanent	#	411	238	173	5	6	181	97	22	41	30	26	0	0	0	1	0	2
	%	100%	57.91%	42.09%	1.22%	1.46%	44.04%	23.60%	5.35%	9.98%	7.30%	6.33%	0.00%	0.00%	0.00%	0.24%	0.00%	0.49%
Temporary	#	61	44	17	1	1	30	6	6	6	7	3	0	1	0	0	0	0
	%	100%	72.13%	27.87%	1.64%	1.64%	49.18%	9.84%	9.84%	9.84%	11.48%	4.92%	0.00%	1.64%	0.00%	0.00%	0.00%	0.00%
TOTAL	#	472	282	190	6	7	211	103	28	47	37	29	0	1	0	1	0	2
	%	100%	59.75%	40.25%	1.27%	1.48%	44.70%	21.82%	5.93%	9.96%	7.84%	6.14%	0.00%	0.21%	0.00%	0.21%	0.00%	0.42%
Nat 2010 CLF	%	100%	51.86%	48.14%	5.17%	4.79%	38.33%	34.03%	5.49%	6.53%	1.97%	1.93%	0.07%	0.07%	0.55%	0.53%	0.26%	0.28%

Table A13: Employee Recognition and Awards - Distribution by Race/Ethnicity and Sex – Permanent Workforce

SECURITIES AND EXCHANGE COMMISSION For Period (2012-10-01 TO 2013-09-30)

Table A13 - Employee Recognition and Awards - Distribution by Race/Ethnicity and Sex - Permanent Workforce

Type of Award	TOTAL EMPLOYEES			RACE/ETHNICITY														
				Non- Hispanic or Latino														
				Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races		
All	Male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female
Time-Off Awards - 1-9 hours																		
Total Time-Off Awards Given	#	533	240	293	10	11	189	179	23	74	15	27	0	0	3	2	0	0
	%	100%	45.03%	54.97%	1.88%	2.06%	35.46%	33.58%	4.32%	13.88%	2.81%	5.07%	0.00%	0.00%	0.56%	0.38%	0.00%	0.00%
Total Hours		3525	1670	1855	68	72	1316	1121	162	481	100	169	0	0	24	12	0	0
Average Hours		7	7	6	7	7	7	6	7	7	7	6	0	0	8	6	0	0
Time-Off Awards - 9+ hours																		
Total Time-Off Awards Given	#	565	259	306	12	15	213	201	9	58	24	31	0	0	1	1	0	0
	%	100%	45.84%	54.16%	2.12%	2.65%	37.70%	35.58%	1.59%	10.27%	4.25%	5.49%	0.00%	0.00%	0.18%	0.18%	0.00%	0.00%
Total Hours		10850	4874	5976	232	296	3966	3972	162	1064	490	628	0	0	24	16	0	0
Average Hours		19	19	20	19	20	19	20	18	18	20	20	0	0	24	16	0	0
Cash Awards - \$100 - \$500																		
Total Cash Awards Given	#	93	49	44	6	1	34	26	5	11	4	6	0	0	0	0	0	0
	%	100%	52.69%	47.31%	6.45%	1.08%	36.56%	27.96%	5.38%	11.83%	4.30%	6.45%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Total Amount		\$37,118	\$19,344	\$17,774	\$2,270	\$500	\$13,774	\$10,224	\$2,100	\$4,550	\$1,200	\$2,500	\$0	\$0	\$0	\$0	\$0	\$0
Average Amount		\$399	\$395	\$404	\$378	\$500	\$405	\$393	\$420	\$414	\$300	\$417	\$0	\$0	\$0	\$0	\$0	\$0
Cash Awards - \$501+																		
Total Cash Awards Given	#	821	482	339	23	20	402	217	23	62	32	37	0	0	2	2	0	1
	%	100%	58.71%	41.29%	2.80%	2.44%	48.96%	26.43%	2.80%	7.55%	3.90%	4.51%	0.00%	0.00%	0.24%	0.24%	0.00%	0.12%
Total Amount		\$1,876,421	\$1,190,121	\$686,300	\$44,090	\$28,016	\$1,008,517	\$487,251	\$52,304	\$102,578	\$83,535	\$65,365	\$0	\$0	\$1,675	\$1,090	\$0	\$2,000
Average Amount		\$2,286	\$2,469	\$2,024	\$1,917	\$1,401	\$2,509	\$2,245	\$2,274	\$1,654	\$2,610	\$1,767	\$0	\$0	\$838	\$545	\$0	\$2,000

Table A14: Separations by Type of Separation – Distribution by Race/Ethnicity and Sex – Permanent Workforce

SECURITIES AND EXCHANGE COMMISSION For Period (2012-10-01 TO 2013-09-30)																			
Table A14 - Separations by Type of Separation - Distribution by Race/Ethnicity and Sex - Permanent Workforce																			
Type of Separation	TOTAL EMPLOYEES			RACE/ETHNICITY															
				Hispanic or Latino		Non- Hispanic or Latino										American Indian or Alaska Native		Two or more races	
						White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander							
	All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female		
Voluntary	#	227	120	107	6	6	92	69	11	22	11	9	0	0	0	1	0	0	
	%	100%	52.86%	47.14%	2.64%	2.64%	40.53%	30.40%	4.85%	9.69%	4.85%	3.96%	0.00%	0.00%	0.00%	0.44%	0.00%	0.00%	
Involuntary	#	5	4	1	0	0	3	0	1	0	0	1	0	0	0	0	0	0	
	%	100%	80.00%	20.00%	0.00%	0.00%	60.00%	0.00%	20.00%	0.00%	0.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
RIF	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	
Total separation	#	232	124	108	6	6	95	69	12	22	11	10	0	0	0	1	0	0	
	%	100%	53.45%	46.55%	2.59%	2.59%	40.95%	29.74%	5.17%	9.48%	4.74%	4.31%	0.00%	0.00%	0.00%	0.43%	0.00%	0.00%	

Table A14: Separations by Type of Separation – Distribution by Race/Ethnicity and Sex –Temporary Workforce

SECURITIES AND EXCHANGE COMMISSION For Period (2012-10-01 TO 2013-09-30)

Table A14 - Separations by Type of Separation - Distribution by Race/Ethnicity and Sex - Temporary Workforce

Type of Separation		TOTAL EMPLOYEES			RACE/ETHNICITY													
					Hispanic or Latino		Non- Hispanic or Latino											
							White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or more races	
All	male	female	male	female	male	female	male	female	male	female	male	female	male	female	male	female		
Voluntary	#	40	20	20	1	2	15	13	2	1	2	4	0	0	0	0	0	
	%	100%	50.00%	50.00%	2.50%	5.00%	37.50%	32.50%	5.00%	2.50%	5.00%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Involuntary	#	1	0	1	0	0	0	0	0	0	0	1	0	0	0	0	0	
	%	100%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
RIF	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	
Total separation	#	41	20	21	1	2	15	13	2	1	2	5	0	0	0	0	0	
	%	100%	48.78%	51.22%	2.44%	4.88%	36.59%	31.71%	4.88%	2.44%	4.88%	12.20%	0.00%	0.00%	0.00%	0.00%	0.00%	

Table B1: Total Workforce - Distribution by Disability

SEC SECURITIES AND EXCHANGE COMMISSION Pay Period from 201221 to 201321															
Table B1 - Total Workforce - Distribution by Disability															
Employment Tenure	Total	Total by Disability Status					Detail for Targeted Disabilities								
		(04,05)	-1	(06-98)		(16,19)	(21,23,25)	(28,30,32-38)	(64-69)	(71-79)	-82	-90	-91	-92	
		No Disability	Not Identified	Disability	Targeted Disability	Deafness	Blindness	Missing Limbs/ Extremities	Partial Paralysis	Total Paralysis	Convulsive Disorder/ Epilepsy	Mental Retardation/ Severe Intellectual Disability	Mental Illness/ Psychiatric Disability	Distortion Limb- Spine/ Dwarfism	
TOTAL WORKFORCE - Permanent and Temporary															
Prior FY	#	3942	3569	183	190	37	8	5	2	3	3	6	1	8	1
	%	100%	90.54%	4.64%	4.82%	0.94%	0.20%	0.13%	0.05%	0.08%	0.08%	0.15%	0.03%	0.20%	0.03%
Current FY	#	4138	3732	195	211	41	8	5	2	3	3	7	1	11	1
	%	100%	90.19%	4.71%	5.10%	0.99%	0.19%	0.12%	0.05%	0.07%	0.07%	0.17%	0.02%	0.27%	0.02%
Federal Goal (FY09)	#					2.55%									
Difference	#	196	163	12	21	4	0	0	0	0	0	1	0	3	0
Ratio Change	%	0.00%	-0.35%	0.07%	0.28%	0.05%	-0.01%	-0.01%	0.00%	0.00%	0.00%	0.02%	0.00%	0.06%	0.00%
Net Change	%	4.97%	4.57%	6.56%	11.05%	10.81%	0.00%	0.00%	0.00%	0.00%	0.00%	16.67%	0.00%	37.50%	0.00%
PERMANENT WORKFORCE															
Prior FY	#	3785	3434	173	178	33	8	4	2	3	2	4	1	8	1
	%	100%	90.73%	4.57%	4.70%	0.87%	0.21%	0.11%	0.05%	0.08%	0.05%	0.11%	0.03%	0.21%	0.03%
Current FY	#	3982	3593	185	204	39	8	5	2	3	3	5	1	11	1
	%	100%	90.23%	4.65%	5.12%	0.98%	0.20%	0.13%	0.05%	0.08%	0.08%	0.13%	0.03%	0.28%	0.03%
Difference	#	197	159	12	26	6	0	1	0	0	1	1	0	3	0
Ratio Change	%	0.00%	-0.50%	0.08%	0.42%	0.11%	-0.01%	0.02%	0.00%	0.00%	0.02%	0.02%	0.00%	0.06%	0.00%
Net Change	%	5.20%	4.63%	6.94%	14.61%	18.18%	0.00%	25.00%	0.00%	0.00%	50.00%	25.00%	0.00%	37.50%	0.00%
TEMPORARY WORKFORCE															
Prior FY	#	157	135	10	12	4	0	1	0	0	1	2	0	0	0
	%	100%	85.99%	6.37%	7.64%	2.55%	0.00%	0.64%	0.00%	0.00%	0.64%	1.27%	0.00%	0.00%	0.00%
Current FY	#	156	139	10	7	2	0	0	0	0	0	2	0	0	0
	%	100%	89.10%	6.41%	4.49%	1.28%	0.00%	0.00%	0.00%	0.00%	0.00%	1.28%	0.00%	0.00%	0.00%
Difference	#	-1	4	0	-5	-2	0	-1	0	0	-1	0	0	0	0
Ratio Change	%	0.00%	3.12%	0.04%	-3.16%	-1.27%	0.00%	-0.64%	0.00%	0.00%	-0.64%	0.01%	0.00%	0.00%	0.00%
Net Change	%	0.64%	2.96%	0.00%	-41.67%	-50.00%	0%	-100.00%	0%	0%	100.00%	0.00%	0%	0%	0%

Table B3-1: Occupational Categories – Distribution by Disability [OPM Form 256 Self-Identification Codes]

SEC SECURITIES AND EXCHANGE COMMISSION Pay Period 201321															
Table B3-1: Occupational Categories - Distribution by Disability [OPM Form 256 Self-Identification Codes]															
Occupational Category	Total	Total by Disability Status				Detail for Targeted Disabilities									
		(04,05)	-1	(06-98)		(16,19)	(21,23,25)	(28,30,32-38)	(64-69)	(71-79)	-82	-90	-91	-92	
		No Disability	Not Identified	Disability	Targeted Disability	Deafness	Blindness	Missing Limbs/Extremities	Partial Paralysis	Total Paralysis	Convulsive Disorder/Epilepsy	Mental Retardation/Severe Intellectual Disability	Mental Illness/Psychiatric Disability	Distortion Limb-Spine/Dwarfism	
Executive/Senior Level Officials and Managers	#	126	107	14	4	1	0	0	0	0	1	0	0	0	
	%	100%	84.92%	11.11%	3.17%	0.79%	0.00%	0.00%	0.00%	0.00%	0.79%	0.00%	0.00%	0.00%	
Mid-Level Officials and Managers	#	347	324	11	10	2	0	0	0	0	0	1	0	1	
	%	100%	93.37%	3.17%	2.88%	0.58%	0.00%	0.00%	0.00%	0.00%	0.00%	0.29%	0.00%	0.29%	
First Level Officials and Managers	#	317	293	9	13	2	0	0	1	0	0	0	1	0	
	%	100%	92.43%	2.84%	4.10%	0.63%	0.00%	0.00%	0.32%	0.00%	0.00%	0.00%	0.32%	0.00%	
Total Officials and Managers	#	790	724	34	27	5	0	0	1	0	1	1	0	1	
	%	100%	91.65%	4.30%	3.42%	0.63%	0.00%	0.00%	0.13%	0.00%	0.13%	0.13%	0.00%	0.13%	
Professionals - Program Work	#	2229	2048	98	66	17	0	5	1	1	1	3	0	5	
	%	100%	91.88%	4.40%	2.96%	0.76%	0.00%	0.22%	0.04%	0.04%	0.04%	0.13%	0.00%	0.22%	
Professionals - Business/Financial Admin	#	779	675	43	50	11	4	0	0	2	0	1	0	4	
	%	100%	86.65%	5.52%	6.42%	1.41%	0.51%	0.00%	0.00%	0.26%	0.00%	0.13%	0.00%	0.51%	
Administrative Support Workers	#	179	142	10	21	6	4	0	0	0	0	0	1	1	
	%	100%	79.33%	5.59%	11.73%	3.35%	2.23%	0.00%	0.00%	0.00%	0.00%	0.00%	0.56%	0.56%	

Table B3-2: Occupational Categories – Distribution by Disability [OPM Form 265 Self-Identification Codes]

SEC SECURITIES AND EXCHANGE COMMISSION Pay Period 201321															
Table B3-2: Occupational Categories - Distribution by Disability [OPM Form 256 Self-Identification Codes]															
Occupational Category	Total	Total by Disability Status					Detail for Targeted Disabilities								
		(04,05)	-1	(06-98)			(16,19)	(21,23,25)	(28,30,32-38)	(64-69)	(71-79)	-82	-90	-91	-92
		No Disability	Not Identified	Disability	Targeted Disability	Deafness	Blindness	Missing Limbs/Extremities	Partial Paralysis	Total Paralysis	Convulsive Disorder/Epilepsy	Mental Retardation/Severe Intellectual Disability	Mental Illness/Psychiatric Disability	Distortion Limb-Spine/Dwarfism	
Executive/Senior Level Officials and Managers	#	126	107	14	5	1	0	0	0	0	1	0	0	0	0
	%	100%	2.98%	7.57%	2.45%	2.56%	0.00%	0.00%	0.00%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%
Mid-Level Officials and Managers	#	347	324	11	12	2	0	0	0	0	0	1	0		1
	%	100%	9.02%	5.95%	5.88%	5.13%	0.00%	0.00%	0.00%	0.00%	0.00%	20.00%	0.00%	0.00%	100.00%
First Level Officials and Managers	#	317	293	9	15	2	0	0	1	0	0	0	0	1	0
	%	100%	8.15%	4.86%	7.35%	5.13%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	9.09%	0.00%
Total Officials and Managers	#	790	724	34	32	5	0	0	1	0	1	1	0	1	1
	%	100%	20.15%	18.38%	15.69%	12.82%	0.00%	0.00%	50.00%	0.00%	33.33%	20.00%	0.00%	9.09%	100.00%
Professionals - Program Work	#	2229	2048	98	83	17	0	5	1	1	2	3	0	5	0
	%	100%	57.00%	52.97%	40.69%	43.59%	0.00%	100.00%	50.00%	33.33%	66.67%	60.00%	0.00%	45.45%	0.00%
Professionals - Business/Financial Admin	#	779	675	43	61	11	4	0	0	2	0	1	0	4	0
	%	100%	18.79%	23.24%	29.90%	28.21%	50.00%	0.00%	0.00%	66.67%	0.00%	20.00%	0.00%	36.36%	0.00%
Administrative Support Workers	#	179	142	10	27	6	4	0	0	0	0	0	1	1	0
	%	100%	3.95%	5.41%	13.24%	15.38%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100.00%	9.09%	0.00%
Others (AD, AL, EX)	#	5	4	0	1	0	0	0	0	0	0	0	0	0	0
	%	100%	0.11%	0.00%	0.49%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Total Workforce	#	3982	3593	185	204	39	8	5	2	3	3	5	1	11	1
	%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%

Table B4-1: Participation Rates for General Schedule Grades - Distribution by Disability - Permanent Workforce

SEC SECURITIES AND EXCHANGE COMMISSION - Pay Period 201321

Table B4-1: Participation Rates for General Schedule Grades - Distribution by Disability - Permanent Workforce

Occupational Category	Total	Total by Disability Status					Detail for Targeted Disabilities								
		(04,05)	-1	(06-98)		(16,19)	(21,23,25)	(28,30,32-38)	(64-69)	(71-79)	-82	-90	-91	-92	
		No Disability	Not Identified	Disability	Targeted Disability	Deafness	Blindness	Missing Limbs/Extremities	Partial Paralysis	Total Paralysis	Convulsive Disorder/Epilepsy	Mental Retardation / Severe Intellectual Disability	Mental Illness / Psychiatric Disability	Distortion Limb-Spine / Dwarfism	
SK-01	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-02	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-03	#	1	0	1	0	0	0	0	0	0	0	0	0	0	0
	%	100%	0.00%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-04	#	6	3	0	3	0	0	0	0	0	0	0	0	0	0
	%	100%	50.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-05	#	7	2	1	4	2	2	0	0	0	0	0	0	0	0
	%	100%	28.57%	14.29%	57.14%	28.57%	28.57%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-06	#	19	11	1	7	2	2	0	0	0	0	0	0	0	0
	%	100%	57.89%	5.26%	36.84%	10.53%	10.53%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-07	#	104	85	7	12	2	0	0	0	0	0	0	1	1	0
	%	100%	81.73%	6.73%	11.54%	1.92%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.96%	0.96%	0.00%
SK-08	#	31	29	2	0	0	0	0	0	0	0	0	0	0	0
	%	100%	93.55%	6.45%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-09	#	69	51	8	10	3	1	0	0	1	0	0	0	1	0
	%	100%	73.91%	11.59%	14.49%	4.35%	1.45%	0.00%	0.00%	1.45%	0.00%	0.00%	0.00%	1.45%	0.00%
SK-10	#	2	1	0	1	1	1	0	0	0	0	0	0	0	0
	%	100%	50.00%	0.00%	50.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-11	#	143	129	2	12	3	1	0	0	1	1	0	0	0	0
	%	100%	90.21%	1.40%	8.39%	2.10%	0.70%	0.00%	0.00%	0.70%	0.70%	0.00%	0.00%	0.00%	0.00%
SK-12	#	235	205	12	18	5	1	1	0	0	0	1	0	2	0
	%	100%	87.23%	5.11%	7.66%	2.13%	0.43%	0.43%	0.00%	0.00%	0.00%	0.43%	0.00%	0.85%	0.00%
SK-13	#	429	381	27	21	1	0	0	0	0	0	0	0	1	0
	%	100%	88.81%	6.29%	4.90%	0.23%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.23%	0.00%
SK-14	#	1737	1589	73	75	13	0	4	1	1	1	1	0	5	0
	%	100%	91.48%	4.20%	4.32%	0.75%	0.00%	0.23%	0.06%	0.06%	0.06%	0.06%	0.00%	0.29%	0.00%
SK-15	#	317	293	9	15	2	0	0	1	0	0	0	0	1	0
	%	100%	92.43%	2.84%	4.73%	0.63%	0.00%	0.00%	0.32%	0.00%	0.00%	0.00%	0.00%	0.32%	0.00%
SK-16	#	406	380	17	9	2	0	0	0	0	0	2	0	0	0
	%	100%	93.60%	4.19%	2.22%	0.49%	0.00%	0.00%	0.00%	0.00%	0.00%	0.49%	0.00%	0.00%	0.00%
SK-17	#	347	324	11	12	2	0	0	0	0	0	1	0	0	1
	%	100%	93.37%	3.17%	3.46%	0.58%	0.00%	0.00%	0.00%	0.00%	0.00%	0.29%	0.00%	0.00%	0.29%
AL	#	3	3	0	0	0	0	0	0	0	0	0	0	0	0
	%	100.00%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SO	#	126	107	14	5	1	0	0	0	0	1	0	0	0	0
	%	100.00%	84.92%	11.11%	3.97%	0.79%	0.00%	0.00%	0.00%	0.00%	0.79%	0.00%	0.00%	0.00%	0.00%

Table B4-1: Participation Rates for General Schedule Grades - Distribution by Disability - Temporary Workforce

SECURITIES AND EXCHANGE COMMISSION - Pay Period 201321															
Table B4-1: Participation Rates for General Schedule Grades - Distribution by Disability - Temporary Workforce															
Grade	#	Total by Disability Status				Detail for Targeted Disabilities									
		(04,05)	-1	(06-98)		(16,19)	(21,23,25)	(28,30,32-38)	(64-69)	(71-79)	-82	-90	-91	-92	
		No Disability	Not Identified	Disability	Targeted Disability	Deafness	Blindness	Missing Limbs/Extremities	Partial Paralysis	Total Paralysis	Convulsive Disorder/Epilepsy	Mental Retardation / Severe Intellectual Disability	Mental Illness / Psychiatric Disability	Distortion Limb-Spine / Dwarfism	
SK-01	#	0	0	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-02	#	1	1	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-03	#	2	2	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-04	#	11	10	0	1	0	0	0	0	0	0	0	0	0	
	%	100%	90.91%	0.00%	9.09%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-05	#	4	3	0	1	0	0	0	0	0	0	0	0	0	
	%	100%	75.00%	0.00%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-06	#	1	1	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-07	#	3	2	0	1	0	0	0	0	0	0	0	0	0	
	%	100%	66.67%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-08	#	1	1	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-09	#	2	2	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-10	#	3	3	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-11	#	14	11	1	2	1	0	0	0	0	0	1	0	0	
	%	100%	78.57%	7.14%	14.29%	7.14%	0.00%	0.00%	0.00%	0.00%	7.14%	0.00%	0.00%	0.00%	
SK-12	#	9	9	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-13	#	9	7	2	0	0	0	0	0	0	0	0	0	0	
	%	100%	77.78%	22.22%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-14	#	41	40	1	0	0	0	0	0	0	0	0	0	0	
	%	100%	97.56%	2.44%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-15	#	0	0	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-16	#	41	37	2	1	1	0	0	0	0	0	1	0	0	
	%	100%	90.24%	4.88%	2.44%	2.44%	0.00%	0.00%	0.00%	0.00%	2.44%	0.00%	0.00%	0.00%	
SK-17	#	3	2	1	0	0	0	0	0	0	0	0	0	0	
	%	100%	66.67%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
AD, ED	#	3	3	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SO, EX	#	8	5	3	0	0	0	0	0	0	0	0	0	0	
	%	100%	62.50%	37.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
TOTAL	#	156	139	10	7	2	0	0	0	0	0	2	0	0	
	%	100%	89.10%	6.41%	4.49%	1.28%	0.00%	0.00%	0.00%	0.00%	1.28%	0.00%	0.00%	0.00%	

Table B4-2: Participation Rates for General Schedule Grades - Distribution by Disability - Permanent Workforce

SECURITIES AND EXCHANGE COMMISSION - Pay Period 201321															
Table B4-2: Participation Rates for General Schedule Grades - Distribution by Disability - Permanent Workforce															
Grade	Total	Total by Disability Status					Detail for Targeted Disabilities								
		(04,05)	-1	(06-98)	Targeted	(16,19)	(21,23,25)	(28,30,32-38)	(64-69)	(71-79)	-82	-90	-91	-92	
		No Disability	Not Identified	Disability	Targeted Disability	Deafness	Blindness	Missing Limbs/Extremities	Partial Paralysis	Total Paralysis	Convulsive Disorder/Epilepsy	Mental Retardation / Severe Intellectual Disability	Mental Illness / Psychiatric Disability	Distortion Limb-Spine / Dwarfism	
SK-01	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-02	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-03	#	1	0	1	0	0	0	0	0	0	0	0	0	0	0
	%	0.03%	0.00%	0.54%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-04	#	6	3	0	3	0	0	0	0	0	0	0	0	0	0
	%	0.15%	0.08%	0.00%	1.47%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-05	#	7	2	1	4	2	2	0	0	0	0	0	0	0	0
	%	0.18%	0.06%	0.54%	1.96%	5.13%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-06	#	19	11	1	7	2	2	0	0	0	0	0	0	0	0
	%	0.48%	0.31%	0.54%	3.43%	5.13%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-07	#	104	85	7	12	2	0	0	0	0	0	0	1	1	0
	%	2.61%	2.37%	3.78%	5.88%	5.13%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	100.00%	9.09%	0.00%
SK-08	#	31	29	2	0	0	0	0	0	0	0	0	0	0	0
	%	0.78%	0.81%	1.08%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-09	#	69	51	8	10	3	1	0	0	1	0	0	0	1	0
	%	1.73%	1.42%	4.32%	4.90%	7.69%	12.50%	0.00%	0.00%	33.33%	0.00%	0.00%	0.00%	9.09%	0.00%
SK-10	#	2	1	0	1	1	1	0	0	0	0	0	0	0	0
	%	0.05%	0.03%	0.00%	0.49%	2.56%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-11	#	143	129	2	12	3	1	0	0	1	1	0	0	0	0
	%	3.59%	3.59%	1.08%	5.88%	7.69%	12.50%	0.00%	0.00%	33.33%	33.33%	0.00%	0.00%	0.00%	0.00%
SK-12	#	235	205	12	18	5	1	1	0	0	0	1	0	2	0
	%	5.90%	5.71%	6.49%	8.82%	12.82%	12.50%	20.00%	0.00%	0.00%	0.00%	20.00%	0.00%	18.18%	0.00%
SK-13	#	429	381	27	21	1	0	0	0	0	0	0	0	1	0
	%	10.77%	10.60%	14.59%	10.29%	2.56%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	9.09%	0.00%
SK-14	#	1737	1589	73	75	13	0	4	1	1	1	1	0	5	0
	%	43.62%	44.22%	39.46%	36.76%	33.33%	0.00%	80.00%	50.00%	33.33%	33.33%	20.00%	0.00%	45.45%	0.00%
SK-15	#	317	293	9	15	2	0	0	1	0	0	0	0	1	0
	%	7.96%	8.15%	4.86%	7.35%	5.13%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	9.09%	0.00%
SK-16	#	406	380	17	9	2	0	0	0	0	0	2	0	0	0
	%	10.20%	10.58%	9.19%	4.41%	5.13%	0.00%	0.00%	0.00%	0.00%	0.00%	40.00%	0.00%	0.00%	0.00%
SK-17	#	347	324	11	11	1	0	0	0	0	0	1	0	0	0
	%	8.71%	9.02%	5.95%	5.39%	2.56%	0.00%	0.00%	0.00%	0.00%	0.00%	20.00%	0.00%	0.00%	0.00%
AL	#	3	3	0	0	0	0	0	0	0	0	0	0	0	0
	%	0.08%	0.08%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SO	#	126	107	14	5	1	0	0	0	0	1	0	0	0	0
	%	3.16%	2.98%	7.57%	2.45%	2.56%	0.00%	0.00%	0.00%	0.00%	33.33%	0.00%	0.00%	0.00%	0.00%
TOTAL	#	3982	3593	185	204	39	8	5	2	3	3	5	1	11	1
	%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%

Table B4-2: Participation Rates for General Schedule Grades - Distribution by Disability - Temporary Workforce

SECURITIES AND EXCHANGE COMMISSION - Pay Period 201321															
Table B4-2: Participation Rates for General Schedule Grades - Distribution by Disability - Temporary Workforce															
Grade		Total by Disability Status				Detail for Targeted Disabilities									
		(04,05)	-1	(06-98)		(16,19)	(21,23,25)	(28,30,32-38)	(64-69)	(71-79)	-82	-90	-91	-92	
		No Disability	Not Identified	Disability	Targeted Disability	Deafness	Blindness	Missing Limbs/Extremities	Partial Paralysis	Total Paralysis	Convulsive Disorder/Epilepsy	Mental Retardation / Severe Intellectual Disability	Mental Illness / Psychiatric Disability	Distortion Limb-Spine / Dwarfism	
	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-01	#	1	1	0	0	0	0	0	0	0	0	0	0	0	0
SK-01	%	0.64%	0.72%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-02	#	2	2	0	0	0	0	0	0	0	0	0	0	0	0
SK-02	%	1.28%	1.44%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-03	#	11	10	0	1	0	0	0	0	0	0	0	0	0	0
SK-03	%	7.05%	7.19%	0.00%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-04	#	4	3	0	1	0	0	0	0	0	0	0	0	0	0
SK-04	%	2.56%	2.16%	0.00%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-05	#	1	1	0	0	0	0	0	0	0	0	0	0	0	0
SK-05	%	0.64%	0.72%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-06	#	3	2	0	1	0	0	0	0	0	0	0	0	0	0
SK-06	%	1.92%	1.44%	0.00%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-07	#	1	1	0	0	0	0	0	0	0	0	0	0	0	0
SK-07	%	0.64%	0.72%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-08	#	2	2	0	0	0	0	0	0	0	0	0	0	0	0
SK-08	%	1.28%	1.44%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-09	#	3	3	0	0	0	0	0	0	0	0	0	0	0	0
SK-09	%	1.92%	2.16%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-10	#	14	11	1	2	1	0	0	0	0	0	1	0	0	0
SK-10	%	8.97%	7.91%	10.00%	28.57%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%
SK-11	#	9	9	0	0	0	0	0	0	0	0	0	0	0	0
SK-11	%	5.77%	6.47%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-12	#	9	7	2	0	0	0	0	0	0	0	0	0	0	0
SK-12	%	5.77%	5.04%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-13	#	41	40	1	0	0	0	0	0	0	0	0	0	0	0
SK-13	%	26.28%	28.78%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-14	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0
SK-14	%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-15	#	41	37	2	1	1	0	0	0	0	0	1	0	0	0
SK-15	%	26.28%	26.62%	20.00%	14.29%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%
SK-16	#	3	2	1	0	0	0	0	0	0	0	0	0	0	0
SK-16	%	1.92%	1.44%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
AD, ED	#	3	3	0	0	0	0	0	0	0	0	0	0	0	0
AD, ED	%	1.92%	2.16%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SO, EX	#	8	5	3	0	0	0	0	0	0	0	0	0	0	0
SO, EX	%	5.13%	3.60%	30.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL	#	156	139	10	7	2	0	0	0	0	0	2	0	0	0
TOTAL	%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%

Table B6: Participation Rates for Major Occupations - Distribution by Disability - Permanent Workforce

SEC SECURITIES AND EXCHANGE COMMISSION Pay Period 201321															
Table B6: PARTICIPATION RATES FOR MAJOR OCCUPATIONS - Distribution by Disability - Permanent Workforce															
Occupational Category		Total	Total by Disability Status				Detail for Targeted Disabilities								
			(04,05)	-1	(06-98)	Targeted	(16,19)	(21,23,25)	(28,30,32-38)	(64-69)	(71-79)	-82	-90	-91	-92
			No Disability	Not Identified	Disability	Targeted Disability	Deafness	Blindness	Missing Limbs/Extremities	Partial Paralysis	Total Paralysis	Convulsive Disorder/Epilepsy	Mental Retardation/Severe Intellectual Disability	Mental Illness/Psychiatric Disability	Distortion Limb-Spine/Dwarfism
0110 Economist	#	34	31	3	0	0	0	0	0	0	0	0	0	0	
	%	100%	91.18%	8.82%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
0510 Accountants	#	948	876	31	41	5	0	0	1	0	0	2	0	2	
	%	100%	92.41%	3.27%	4.32%	0.53%	0.00%	0.00%	0.11%	0.00%	0.00%	0.21%	0.00%	0.21%	
0905 General Attorney	#	1733	1589	83	61	16	0	5	1	1	3	2	0	4	
	%	100%	91.69%	4.79%	3.52%	0.92%	0.00%	0.29%	0.06%	0.06%	0.17%	0.12%	0.00%	0.23%	
1831 Securities Compliance Examining	#	178	165	8	5	1	0	0	0	0	0	0	0	1	
	%	100%	92.70%	4.49%	2.81%	0.56%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.56%	

Table B6: Participation Rates for Major Occupations - Distribution by Disability - Temporary Workforce

SECURITIES AND EXCHANGE COMMISSION Pay Period 201321															
Table B6: PARTICIPATION RATES FOR MAJOR OCCUPATIONS - Distribution by Disability - Temporary Workforce															
Occupational Category	Total	Total by Disability Status				Detail for Targeted Disabilities									
		(04,05)	-1	(06-98)		(16,19)	(21,23,25)	(28,30,32-38)	(64-69)	(71-79)	-82	-90	-91	-92	
		No Disability	Not Identified	Disability	Targeted Disability	Deafness	Blindness	Missing Limbs/Extremities	Partial Paralysis	Total Paralysis	Convulsive Disorder/Epilepsy	Mental Retardation/Severe Intellectual Disability	Mental Illness/Psychiatric Disability	Distortion Limb-Spine/Dwarfism	
0110 Economist	#	31	30	1	0	0	0	0	0	0	0	0	0	0	0
	%	100%	96.77%	3.23%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
0510 Accountants	#	19	18	0	1	0	0	0	0	0	0	0	0	0	0
	%	100%	94.74%	0.00%	5.26%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
0905 General Attorney	#	22	18	3	1	1	0	0	0	0	0	1	0	0	0
	%	100%	81.82%	13.64%	4.55%	4.55%	0.00%	0.00%	0.00%	0.00%	0.00%	4.55%	0.00%	0.00%	0.00%
1831 Securities Compliance Examining	#	7	6	1	0	0	0	0	0	0	0	0	0	0	0
	%	100%	85.71%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Table B7: Hires for Major Occupations – Distribution by Disability – Permanent Workforce

SECURITIES AND EXCHANGE COMMISSION For Period (2012-10-01 TO 2013-09-30)															
Table B7: HIRES FOR MAJOR OCCUPATIONS - Distribution by Disability - Permanent Workforce															
Occupational Category	#	Total	Total by Disability Status				Detail for Targeted Disabilities								
			(04,05)	-1	(06-98)	Targeted	(16,19)	(21,23,25)	(28,30,32-38)	(64-69)	(71-79)	-82	-90	-91	-92
			No Disability	Not Identified	Disability	Disability	Deafness	Blindness	Missing Limbs/Extremities	Partial Paralysis	Total Paralysis	Convulsive Disorder / Epilepsy	Mental Retardation/ Severe Intellectual Disability	Mental Illness/ Psychiatric Disability	Distortion Limb-Spine/ Dwarfism
Accessions	#	2	2	0	0	0	0	0	0	0	0	0	0	0	0
Accessions	%	100%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
0510 Accountants															
Accessions	#	43	38	3	2	0	0	0	0	0	0	0	0	0	0
Accessions	%	100%	88.37%	6.98%	4.65%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
0905 General Attorney															
Accessions	#	152	134	13	5	0	0	0	0	0	0	0	0	0	0
Accessions	%	100%	88.16%	8.55%	3.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
1831 Securities Compliance Examining															
Accessions	#	45	42	1	2	0	0	0	0	0	0	0	0	0	0
Accessions	%	100%	93.33%	2.22%	4.44%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Table B7: Hires for Major Occupations – Distribution by Disability – Temporary Workforce

SECURITIES AND EXCHANGE COMMISSION For Period (2012-10-01 TO 2013-09-30)															
Table B7: HIRES FOR MAJOR OCCUPATIONS - Distribution by Disability - Temporary Workforce															
Occupational Category	Total	Total by Disability Status				Detail for Targeted Disabilities									
		(04,05) No Disability	-1 Not Identified	(06-98) Disability	Targeted Disability	(16,19) Deafness	(21,23,25) Blindness	(28,30,32-38) Missing Limbs/ Extremities	(64-69) Partial Paralysis	(71-79) Total Paralysis	-82 Convulsive Disorder/ Epilepsy	-90 Mental Retardation/ Severe Intellectual Disability	-91 Mental Illness/ Psychiatric Disability	-92 Distortion Limb- Spine/ Dwarfism	
0110 Economist															
Accessions	#	9	8	1	0	0	0	0	0	0	0	0	0	0	0
	%	100%	88.89%	11.11%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
0510 Accountants															
Accessions	#	7	7	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
0905 General Attorney															
Accessions	#	9	7	2	0	0	0	0	0	0	0	0	0	0	0
	%	100%	77.78%	22.22%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
1831 Securities Compliance Examining															
Accessions	#	3	2	1	0	0	0	0	0	0	0	0	0	0	0
	%	100%	66.67%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Table B8: New Hires by Type of Appointment - Distribution by Disability

SECURITIES AND EXCHANGE COMMISSION For Period (2012-10-01 TO 2013-09-30)															
Table B8: NEW HIRES BY TYPE OF APPOINTMENT - Distribution by Disability															
Type of Appointment	Total	Total by Disability Status				Detail for Targeted Disabilities									
		(04,05)	-1	(06-98)		(16,19)	(21,23,25)	(28,30,32-38)	(64-69)	(71-79)	-82	-90	-91	-92	
		No Disability	Not Identified	Disability	Targeted Disability	Deafness	Blindness	Missing Limbs/Extremities	Partial Paralysis	Total Paralysis	Convulsive Disorder/Epilepsy	Mental Retardation/Severe Intellectual Disability	Mental Illness/Psychiatric Disability	Distortion Limb-Spine/Dwarfism	
Permanent	#	411	356	28	27	2	0	0	0	0	0	0	0	0	
	%	100%	86.62%	6.81%	6.57%	0.49%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Temporary	#	61	54	7	0	0	0	0	0	0	0	0	0	0	
	%	100%	88.52%	11.48%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Total	#	472	410	35	27	2	0	0	0	0	0	0	2	0	
	%	100%	86.86%	7.42%	5.72%	0.42%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.42%	0.00%	

Table B13: Employee Recognition and Awards - Distribution by Disability – Permanent Workforce

SECURITIES AND EXCHANGE COMMISSION For Period (2012-10-01 TO 2013-09-30)															
Table B13 - Employee Recognition and Awards - Distribution by Disability - Permanent Workforce															
Employment Tenure	Total	Total by Disability Status					Detail for Targeted Disabilities								
		(04,05)	-1	(06-98)	Targeted Disability	(16,19)	(21,23,25)	(28,30,32-38)	(64-69)	(71-79)	-82	-90	-91	-92	
		No Disability	Not Identified	Disability		Deafness	Blindness	Missing Limbs/ Extremities	Partial Paralysis	Total Paralysis	Convulsive Disorder/ Epilepsy	Mental Retardation/ Severe Intellectual Disability	Mental Illness/ Psychiatric Disability	Distortion Limb- Spine/ Dwarfism	
Time-Off Awards - 1-9 hours															
Total Time-Off Awards Given	#	533	482	20	31	7	2	2	0	1	0	1	0	1	0
	%	100%	90.43%	3.75%	5.82%	1.31%	0.38%	0.38%	0.00%	0.19%	0.00%	0.19%	0.00%	0.19%	0.00%
Total Hours		3525	3200	128	197	45	13	16	0	4	0	4	0	8	0
Average Hours		7	7	6	6	6	7	8	0	4	0	4	0	8	0
Time-Off Awards - 9+ hours															
Total Time-Off Awards Given	#	565	522	16	27	6	0	0	1	0	0	2	0	3	0
	%	100%	92.39%	2.83%	4.78%	1.06%	0.00%	0.00%	0.18%	0.00%	0.00%	0.35%	0.00%	0.53%	0.00%
Total Hours		10850	10018	312	520	104	0	0	16	0	0	32	0	56	0
Average Hours		19	19	20	19	17	0	0	16	0	0	16	0	19	0
Cash Awards - \$100 - \$500															
Total Cash Awards Given	#	93	78	4	11	2	0	0	0	0	0	2	0	0	0
	%	100%	83.87%	4.30%	11.83%	2.15%	0.00%	0.00%	0.00%	0.00%	0.00%	2.15%	0.00%	0.00%	0.00%
Total Amount		\$37,118	\$31,606	\$1,650	\$3,862	\$562	\$0	\$0	\$0	\$0	\$0	\$562	\$0	\$0	\$0
Average Amount		\$399	\$405	\$413	\$351	\$281	\$0	\$0	\$0	\$0	\$0	\$281	\$0	\$0	\$0
Cash Awards - \$501+															
Total Cash Awards Given	#	821	755	38	28	4	2	1	0	0	1	0	0	0	0
	%	100%	91.96%	4.63%	3.41%	0.49%	0.24%	0.12%	0.00%	0.00%	0.12%	0.00%	0.00%	0.00%	0.00%
Total Amount		\$1,876,421	\$1,718,484	\$110,322	\$47,615	\$8,375	\$1,801	\$1,180	\$0	\$0	\$5,394	\$0	\$0	\$0	\$0
Average Amount		\$2,286	\$2,276	\$2,903	\$1,701	\$2,094	\$901	\$1,180	\$0	\$0	\$5,394	\$0	\$0	\$0	\$0

Table B14: Separations by Type of Separation – Distribution by Disability – Permanent Workforce

SECURITIES AND EXCHANGE COMMISSION For Period (2012-10-01 TO 2013-09-30)																
Table B14 - Separations by Type of Separation - Distribution by Disability - Permanent Workforce																
Type of Separation		Total	Total by Disability Status				Detail for Targeted Disabilities									
			(04,05)	-1	(06-98)		(16,19)	(21,23,25)	(28,30,32-38)	(64-69)	(71-79)	-82	-90	-91	-92	
			No Disability	Not Identified	Disability	Targeted Disability	Deafness	Blindness	Missing Limbs/ Extremities	Partial Paralysis	Total Paralysis	Convulsive Disorder/ Epilepsy	Mental Retardation/ Severe Intellectual Disability	Mental Illness/ Psychiatric Disability	Distortion Limb- Spine/ Dwarfism	
Voluntary	#	227	206	14	7	0	0	0	0	0	0	0	0	0	0	
	%	100%	90.75%	6.17%	3.08%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Involuntary	#	5	4	1	0	0	0	0	0	0	0	0	0	0	0	
	%	%	80.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
RIF	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	
Total Separations	#	232	210	15	7	0	0	0	0	0	0	0	0	0	0	
	%	100%	90.52%	6.47%	3.02%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	

Table B14: Separations by Type of Separation – Distribution by Disability – Temporary Workforce

SECURITIES AND EXCHANGE COMMISSION For Period (2012-10-01 TO 2013-09-30)															
Table B14 - Separations by Type of Separation - Distribution by Disability - Temporary Workforce															
Type of Separation		Total	Total by Disability Status				Detail for Targeted Disabilities								
			(04,05) No Disability	-1 Not Identified	(06-98) Disability	Targeted Disability	(16,19) Deafness	(21,23,25) Blindness	(28,30,32-38) Missing Limbs/ Extremities	(64-69) Partial Paralysis	(71-79) Total Paralysis	-82 Convulsive Disorder/ Epilepsy	-90 Mental Retardation/ Severe Intellectual Disability	-91 Mental Illness/ Psychiatric Disability	-92 Distortion Limb- Spine/ Dwarfism
Voluntary	#	40	35	3	2	0	0	0	0	0	0	0	0	0	0
	%	100%	87.50%	7.50%	5.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Involuntary	#	1	1	0	0	0	0	0	0	0	0	0	0	0	0
	%	%	100.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
RIF	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%	0%
Total Separations	#	41	36	3	2	0	0	0	0	0	0	0	0	0	0
	%	100%	87.80%	7.32%	4.88%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Attachment 1:
Disability Employment Plan
FY 2011–2015



U.S. Securities and Exchange Commission

Disability

Employment Plan

FY 2011 - 2015



Agency:

U.S. Securities and Exchange Commission

Fiscal Years:

2011 - 2015

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Section I: Introduction

SEC's mission is to protect investors; maintain fair, orderly, and efficient markets; and facilitate capital formation. This core mission has faced new challenges through a period in the Nation's history that has been characterized as the worst financial crisis since the Great Depression. In response to the crisis, the Commission began efforts to ramp up hiring to support its strategic objectives.

Goal 4 of the Commission's FY 2010-2015 Strategic Plan, "Enhance the Commission's performance through effective alignment and management of human, information, and financial capital," reflects the Commission's human capital focus through two defined outcomes:

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.

The diverse workforce that SEC seeks includes individuals with disabilities. The SEC recognizes that employing a diverse workforce enriches the agency and enhances the breadth and range of talent that supports the SEC's mission on behalf of investors. Diversity 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).

This Disability Employment Plan, submitted in accordance with Executive Order 13548, reflects SEC's commitment to supporting the Government's order and intention to employ an additional 100,000 individuals with disabilities over the next five years. The Commission's plan addresses the mandatory requirements, including establishing specific hiring goals, and recommended actions items as outlined in OPM's guidance memo dated 11/08/2010.

SEC's Chief Human Capital Officer (CHCO) will serve as the Commission's senior-level official accountable for meeting the goals set forth in this plan to enhance the employment opportunities both for individuals with disabilities and individuals with targeted disabilities within the agency. The CHCO aligned with SEC senior leadership through the Human Capital Advisory Council (HCAC) to establish the Commission's goals and identify roles that various stakeholders will play to achieve those goals. The Office of Human Resources (OHR) will implement enhanced recruiting strategies and resources, thereby presenting hiring managers with qualified candidates with disabilities and educating them on the hiring flexibilities that apply to individuals with disabilities. The leadership within the operating divisions and offices will play a key role as an advocate to promote accountability among hiring managers who ultimately make the hiring decisions.

Legislatively, Congress worked to effect financial regulatory reform through the Dodd-Frank Wall Street Reform and Consumer Protection Act (the "Act"), signed into law in July 2010 by President Obama. The

Act requires the establishment of new offices within the Commission, including the Office of Minority & Women Inclusion (OMWI) (Sec. 342), which is responsible for all matters of the agency relating to diversity in management, employment, and business activities. As this new office is established and begins to frame its objectives and priorities, the Commission will review this plan to determine what role that OMWI will play in accomplishing the goals.

Section II: Current Efforts

This section describes SEC's existing programs and infrastructure to promote the employment of and support individuals with disabilities.

SEC Recruiting

The SEC supports employees with disabilities and encourages people with disabilities to apply for hire – either through regular hiring channels or through specific hiring authorities for non-competitive placement of qualified applicants with severe disabilities. The Commission participated in the April 2010 Federal Government Hiring Event for persons with disabilities. In 2010, an Accessibility link was added to the SEC's public website with a Recruitment section encouraging persons with disabilities to apply for employment and contact information for anyone needing accommodations for disability to access SEC programs or apply for employment (http://www.sec.gov/eeoinfo/sec_access.htm).

In FY 2010, OHR established the SEC Recruitment Center to support our hiring efforts. Applicants are referred from USA Jobs to the Recruitment Center or can go to the Center directly from the SEC web site and apply. Since standing up the new system, OHR has published 176 postings and sourced over 30,000 applicants. In FY 2011, OHR will fine tune the Recruitment Center procedures to take better advantage of existing applicant pools and excepted hiring authority flexibilities.

Hiring Reform

The goals mandated through the Hiring Reform Initiative further support the SEC's desired strategic outcome to attract a technically proficient and diverse workforce. The Commission has developed and is implementing the goals identified in the 2010 Hiring Reform Action Plan, including the development of a Schedule A Hiring Policy and establishing a Hiring Toolkit on the SEC intranet to educate and provide resources to hiring officials.

Affinity Groups

The SEC sponsors nine employee groups that support the SEC's Diversity and Inclusion efforts by organizing cultural and educational programs for all employees and making recommendations on a variety of issues and programming needs. SEC Commissioners sponsor each of the employee groups, which are open to all SEC employees. Three of the groups address the needs and interests of employees with disabilities.

Disability Issues Advisory Committee (DIAC) promotes equal employment and advancement opportunities for all persons with disabilities by advising the Equal Employment Office (EEO) Director on issues affecting, or of concern to DIAC participants. Through education, training and dialogue, DIAC endeavors to improve communication and understanding within the work environment, thereby benefiting the Commission and all who work at the SEC.

SEC Veterans Committee is the Commission's largest affinity group. Its mission is to improve the SEC's understanding of the origins and traditions surrounding the federal holidays established to honor and

remember American Veterans through speakers programs and events. The Committee also supports the Commission's efforts to provide assistance to employees serving in the guard and reserves, to ensure that these employees have equal employment opportunities, and to promote employment opportunities for Veterans. Further, the Committee also strives to provide opportunities for networking and public service to support our nation's military personnel, veterans and their families through various community outreach programs

Diversity & Inclusion Council promotes awareness within the Commission of the value of a diverse workforce through education and outreach. The Council is a newly formed group that is in the process of defining its mission. One of the initial tasks of the Council is to conduct a Barrier Analysis that examines both the existing workforce and the applicant pool.

Disability Program Officer

The SEC has a full-time Disability Program Officer who provides various services designed to promote and support the employment of individuals with disabilities, including but not limited to:

- Serving as a recruiter for the Workforce Recruitment Program (WRP) and promoting the advantages of hiring students with disabilities within SEC by assisting managers to locate and hire qualified candidates;
- Managing the Commission's Disability Program, which includes centralized accommodation funding and procedures, to ensure that employees with disabilities can perform their work and enjoy the benefits of employment;
- Managing contracts for sign language interpreters to accommodate the deaf and hard-of-hearing staff and reader service for employees who are blind or visually impaired;
- Facilitating the acquisition of a wide array of assistive technologies in partnership with the Department of Defense's Computer and Electronic Accommodation Program (CAP) and the U. S. Department of Agriculture's Target Center;
- Facilitating medical and ergonomic assessments as appropriate to identify effective workplace accommodations; and
- Providing advice and training to employees, supervisors and managers on all issues related to employing and accommodating individuals with disabilities.

Telework

OHR continues to enhance the training and guidance provided to SEC employees and managers regarding telework, which will be a viable option to increase the Commission's retention and return to work of individuals with disabilities. In 2010, guidance was issued to all SEC employees to describe ad hoc telework, its appropriate use, and modifications to the ad hoc telework request process. OHR included telework information at the Administrative Officer (AO) Regional Summit and at several Successful Leadership Program training sessions. In addition, the SEC identified a telework trainer and facilitated extensive training for the Division of Corporation Finance supervisors and teleworkers.

In FY 2011, the SEC will ensure compliance with the 2010 Telework Enhancement Act signed in December 2010. Priorities include revising the current telework policy to ensure compliance with the Act and providing interactive telework training for all employees. Further, the SEC will complete an ongoing review of the Expanded Telework Pilot Program, which covers employees who telework three, four, or five days per week.

Section III: Plan Components

The components of this plan were developed based on the requirements of the Executive Order and OPM’s guidance regarding model strategies for recruitment and hiring of people with disabilities. Chairman Schapiro, in an email to SEC employees, expressed her 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. These actions are designed to put that commitment to action by promoting a culture within the Commission to recognize the value that individuals with disabilities add in accomplishing its mission.

The action plan was developed in collaboration with several stakeholders in the organization. OHR presented briefings to the HCAC, Diversity & Inclusion Council, DIAC and the Veterans Committee to engage them in the plan and garner their support as appropriate.

Hiring Goals

At the February 2011 HCAC meeting, OHR presented a set of options to establish the Commission’s mandatory hiring goals. Based on a majority vote among the Council, SEC’s goals through this five-year plan are for persons with a disability to comprise 6% of all new hires, and individuals with a targeted disability to make up 1.5% of all new hires, with FY 2011 serving as a baseline year to inform the subsequent recruitment and hiring activity.

Workforce Analysis

The Commission filed its MD-715 Federal Agency Annual EEO Program Status Report with EEOC on 1/27/11. The data in the following table reflects a slight increase in the percentage of individuals with targeted disabilities. However, the percentage remains below the prior Federal goal of two percent.

Employment Trend and Special Recruitment for Individuals With Targeted Disabilities						
Actual Number at:	... beginning of FY 2010		... end of FY 2010		Net Change	
	Number	%	Number	%	Net Change in Number	Rate of Change
Total workforce	3,668	100%	3,824	100%	+156	+4.25%
Reportable Disability	187	5.1%	189	4.94%	+2	+1.07%
Targeted Disability*	35	0.95%	39	1.02%	+4	+11.43%

Source: SEC MD-715 Federal Agency Annual EEO Program Status Report, filed with EEOC 1/27/11

The Office of Equal Employment Opportunity (EEO) and the Office of Human Resources (OHR) are working together to promote self-identification of employee demographic data among SEC staff through email communication. This voluntary disclosure can be made online through the Employee Express system. Additionally, the Commission believes that the focused recruiting activity will contribute towards a percentage increase of SEC employees with targeted disabilities.

Barrier Analysis

The SEC, subject to adequate funding, will contract with a qualified independent vendor to conduct a barrier analysis of areas such as recruiting, hiring, promotions and employee recognition. The SEC's goal for this project is to analyze the diversity of its workforce, and identify, assess, and appropriately address any barriers to equal employment opportunities at the Commission through a comprehensive barrier analysis study (Study). More specifically, the successful Contractor will review: (1) workforce demographic data, (2) SEC policies, practices and procedures with respect to recruitment, hiring, retention or separation, promotion, time-in-grade, and (3) the approach and occurrence of distributing employee recognition and awards. Based on the analysis findings and contractor recommendations, SEC will develop and prioritize appropriate action items, followed by an evaluation of the results.

Return to Work

The Commission's Office of Workers' Compensation Programs (OWCP) program has experienced transition through turnover in OHR staff assigned as Workers Compensation Coordinator. The new Coordinator is completing a comprehensive assessment of the program to identify strengths and areas for improvement. The assessment will be expanded to address the requirements of this Executive Order. The Coordinator will be collaborating with the labor and employee relations specialists, Disability Program Officer and Telework Program Officer to increase the Commission's return-to-work outcomes. OHR will continue to monitor progress in this area through regular reports for the President's Protecting Our Workers and Ensuring Reemployment (POWER) Initiative and an annual evaluation of the program.

Hiring

SEC will implement the strategy recommended by OPM to evaluate the Commission's hiring process and identify methods to proactively promote the use of special hiring authorities such as Schedule A and thirty percent or more compensable disabled veterans, as HR staff engage with hiring managers to fill positions. Additionally, OHR will establish a Selective Placement Coordinator to focus on disability and veteran recruitment and hiring, and monitor success. As recommended in OPM's guidance, the Commission will establish a Disability Recruitment Task Force. At a minimum, membership will include OHR staff, hiring managers, and employees with disabilities. Members of the DIAC, Veterans Committee, and Diversity & Inclusion will also be recruited for representation on the Task Force.

Recruiting/Outreach

The OHR Recruiting Team and the Disability Program Officer will build on their current recruitment and outreach efforts such as Workforce Recruitment Program (WRP) to increase the pool of qualified candidates for hiring consideration. The SEC Veterans Committee is partnering with OHR to increase engagement with DOD and VA programs and other veteran recruiting resources to effectively market the Commission and its career opportunities to veterans, including those who are disabled.

Support and Retention

SEC has several resources in place to support our onboard employees with disabilities, including a robust Reasonable Accommodation Program, partnership with DOD Computer/Electronic Accommodations Program (CAP) and affinity groups that provide a forum for disabled employees to raise awareness of their interests, including workplace barriers and advancement opportunities. Building in that success, SEC will explore opportunities to recognize outstanding support of disability employment and programs. This recognition will further illustrate the Commission's commitment to individuals with disabilities as part of its diverse workforce.

Internal Communication

As required, the SEC Chairman will use various communication media to express her endorsement of this plan and encourage all Commission managers to actively support the planned efforts and assume shared responsibility for the established hiring goals. Continued communication will be developed as part of a communication strategy to maintain awareness of the plan and goals.

Training

SEC plans to leverage the training programs being developed by OPM, in consultation with DOL, EEOC, and OMB to facilitate the required training for human resources personnel and hiring managers. OHR will also leverage other resources, such as the Hiring Toolkit and other training venues, to reinforce the information with hiring managers.