

U.S. SECURITIES AND
EXCHANGE COMMISSION

FISCAL YEAR 2018



ANNUAL
EQUAL EMPLOYMENT
OPPORTUNITY PROGRAM
STATUS REPORT

MANAGEMENT DIRECTIVE 715

CONTENTS

U.S. SECURITIES AND EXCHANGE COMMISSION INFORMATION (PARTS A, B, C, D)	1
EXECUTIVE SUMMARY (PART E)	5
Mission of the U.S. Securities and Exchange Commission	5
Commission’s Annual Self-Assessment Against MD-715 Essential Elements	6
Essential Element A: Demonstrated Commitment from Commission Leadership	6
Essential Element B: Integration of EEO into the Commission’s Strategic Mission	7
Essential Element C: Management and Program Accountability	8
Essential Element D: Proactive Prevention of Unlawful Discrimination	9
Essential Element E: Efficiency	10
Essential Element F: Responsiveness and Legal Compliance	11
Analysis of Workforce Profiles	11
SEC Workforce	12
Applicant Flow Data	12
New Hires	16
Participation Rates for SEC Major Occupations	16
Demographics of Employees from SK-14 to Senior Officer	17
Internal Competitive Promotions	19
Career Ladder Promotions	21
Employee Recognition and Awards	22
Separations	22
Summary of EEO Plan Objectives Planned to Eliminate Identified Barriers or Correct Program Deficiencies	22
Overview of the Barrier Analysis Program	22
Agency Accomplishments	25
Outreach and Recruitment of Diverse Talent	28
Employee Engagement: Employee Affinity Groups	29
Work-Life Programs	30
Federal Employee Viewpoint Survey Results by Demographic Groups	31
Training and Leadership Development	32
Career Development Programs	33
Training on EEO, Diversity & Inclusion, and Team Effectiveness	35
CERTIFICATION OF ESTABLISHMENT OF CONTINUING EQUAL EMPLOYMENT OPPORTUNITY PROGRAMS (PART F)	37
AGENCY EEO PLAN TO ATTAIN THE ESSENTIAL ELEMENTS OF A MODEL EEO PROGRAM (PART H)	39
Statement of Model Program Essential Element Deficiency Section I	39

AGENCY EEO PLAN TO ELIMINATE IDENTIFIED BARRIER (PART I)	41
Statement of Condition That Was a Trigger for a Potential Barrier	
Section I	41
Section II	47
Section III	53
Section IV	57
Section V	63
SPECIAL PROGRAM PLAN FOR THE RECRUITMENT, HIRING, ADVANCEMENT, AND RETENTION OF PERSONS WITH DISABILITIES (PART J)	67
Section I: Efforts to Reach Regulatory Goals	67
Section II: Model Disability Program	70
Plan to Provide Sufficient & Competent Staffing for the Disability Program	70
Plan to Ensure Sufficient Funding for the Disability Program	72
Section III: Plan to Recruit and Hire Individuals with Disabilities	73
Plan to Identify Job Applicants with Disabilities	73
Plan to Establish Contacts with Disability Employment Organizations	76
Progression Towards Goals (Recruitment and Hiring)	76
Section IV: Plan to Ensure Advancement Opportunities for Employees with Disabilities	81
Advancement Program Plan	81
Career Development Opportunities	82
Awards	86
Promotions	88
Section V: Plan to Improve Retention of Persons with Disabilities	98
Voluntary and Involuntary Separations	98
Accessibility of Technology and Facilities	101
Reasonable Accommodation Program	104
Personal Assistance Services Allowing Employees to Participate in the Workplace	107
Section VI: EEO Complaint and Findings Data	107
EEO Complaint Data Involving Harassment	107
EEO Complaint Data Involving Reasonable Accommodation	108
Section VII: Identification and Removal of Barriers	108
EQUAL EMPLOYMENT OPPORTUNITY POLICY	117
POLICY ON PREVENTING HARASSMENT (PPH)	118
FISCAL YEAR 2018 462 REPORT	119
SEC'S ORGANIZATIONAL STRUCTURE	120
SEC Organization Chart	121
U.S. Securities and Exchange Commission Headquarters and Regional Offices	122
WORKFORCE DATA TABLES	123

U.S. SECURITIES AND EXCHANGE COMMISSION INFORMATION (PARTS A, B, C, D)

Department or Agency Identifying Information

Agency	Second Level Component	Address	City	State	Zip Code (xxxxx)	Agency Code (xxxx)	FIPS Code (xxxx)
U.S. Securities and Exchange Commission	N/A	100 F Street, NE	Washington	DC	20549	SE00	11001

Total Employment

Total Employment	Permanent Workforce	Temporary Workforce	Total Workforce
Number of Employees	4,359	89	4,448

Agency Leadership—Head of Agency and Head of Agency Designee

Agency Leadership	Name	Title
Head of Agency	Jay Clayton	Chairman

Agency Official(s) Responsible for Oversight of EEO Program(s)

EEO Program Staff	Name	Title	Occupational Series (xxxx)	Pay Plan and Grade (xx-xx)	Phone Number (xxx-xxx-xxxx)	Email Address
Principal EEO Director/Official	Peter J. Henry	Director	0905	SO	202-551-7001	henryp@sec.gov
Affirmative Employment Program Manager	Peter J. Henry	Director	0905	SO	202-551-7001	henryp@sec.gov
Complaint Processing Program Manager	M. Stacey Bach	Deputy Director	0905	SK-17	202-551-8599	bachm@sec.gov
Diversity & Inclusion Officer	Pamela Gibbs	Director	0340	SO	202-551-6503	gibbsp@sec.gov
Hispanic Program Manager (SEPM)	Pamela Gibbs	Director	0340	SO	202-551-6503	gibbsp@sec.gov

EEO Program Staff	Name	Title	Occupational Series (xxxx)	Pay Plan and Grade (xx-xx)	Phone Number (xxx-xxx-xxxx)	Email Address
Women's Program Manager (SEPM)	Pamela Gibbs	Director	0340	SO	202-551-6503	gibbsp@sec.gov
Disability Program Manager (SEPM) ¹	Pamela Gibbs	Director	0340	SO	202-551-6503	gibbsp@sec.gov
Special Placement Program Coordinator (Individuals with Disabilities)	Kai Petty	Team Lead	0201	SK-14	202-551-6344	pettyka@sec.gov
Reasonable Accommodation Program Manager	Dia Gonsalves	Branch Chief	0343	SK-15	202-551-3166	gonsalvesd@sec.gov
Anti-Harassment Program Manager ²	Ilene Citrin	Attorney	0905	SK-14	202-551-6025	citrine@sec.gov
ADR Program Manager	M. Stacey Bach	Deputy Director	0905	SK-17	202-551-8599	bachm@sec.gov
Compliance Manager	M. Stacey Bach	Deputy Director	0905	SK-17	202-551-8599	bachm@sec.gov
Principal MD-715 Preparer	Martha Hennen	Management and Program Analyst	0343	SK-14	202-551-8885	hennenm@sec.gov

¹ Special Emphasis Program Management (SEPM) for persons with disabilities is coordinated across the Office of Human Resources (OHR) and the Office of Minority and Women Inclusion (OMWI). The Director, OMWI is listed here to reflect responsibility for the Employee Affinity Group supporting SEC employees with disabilities. Other relevant program management is described in Part J, *infra*.

² Harassment prevention program is a shared responsibility. The OEEO subject matter expert is identified here due to her leadership in the SEC's proactive harassment prevention dialogues and because management resolves most harassment prevention matters through raising awareness.

Subordinate Components and Documents

List of Subordinate Components Covered in this Report

Please identify the subordinate components within the agency (e.g., bureaus, regions, etc.).

If the agency does not have any subordinate components, please check the box.

Mandatory and Optional Documents for this Report

In the table below, the agency must submit these documents with its MD-715 report.

Did the agency submit the following mandatory documents?	Please respond Yes or No	Comments
Organizational Chart	Yes	
EEO Policy Statement	Yes	
Strategic Plan	Yes	
Anti-Harassment Policy and Procedures	Yes	
Reasonable Accommodation Procedures	Yes	
Personal Assistance Services Procedures	Yes	
Alternative Dispute Resolution Procedures	Yes	

In the table below, the agency must submit these documents with its MD-715 report.

Did the agency submit the following optional documents?	Please respond Yes or No	Comments
Federal Equal Opportunity Recruitment Program (FEORP) Report	No	
Disabled Veterans Affirmative Action Program (DVAAP) Report	No	
Operational Plan for Increasing Employment of Individuals with Disabilities under Executive Order 13548	No	
Diversity and Inclusion Plan under Executive Order 13583	No	
Diversity Policy Statement	No	
Human Capital Strategic Plan	No	
EEO Strategic Plan	No	
Results from most recent Federal Employee Viewpoint Survey or Annual Employee Survey	No	

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EXECUTIVE SUMMARY (PART E)

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	For period covering October 1, 2017 to September 30, 2018

This Equal Employment Opportunity (EEO) Program Status Report for Fiscal Year (FY) 2018 is prepared and submitted under the Equal Employment Opportunity Commission’s (EEOC’s) Management Directive 715 (MD-715) and accompanying instructions and guidance.

MISSION OF THE U.S. SECURITIES AND EXCHANGE COMMISSION

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

The SEC oversees approximately \$97 trillion in securities trading annually on U.S. equity markets and the activities of over 27,000 registered market participants, including investment advisers, mutual funds, exchange traded funds, broker-dealers, municipal advisors, and transfer agents. The Agency also oversees 22 national securities exchanges, ten credit rating agencies, seven active registered clearing agencies, as well as the Public Company Accounting Oversight Board (PCAOB), the Financial Industry Regulatory Authority (FINRA), the Municipal Securities Rulemaking Board (MSRB), the Securities Investor Protection Corporation (SIPC), and the Financial Accounting Standards Board (FASB).

The SEC is an independent federal Agency established pursuant to the Securities Exchange Act of 1934. The SEC’s core values are integrity, excellence, accountability, effectiveness, teamwork, and fairness. 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 who is responsible for the executive and administrative functions of the Commission. On May 4, 2017, Jay Clayton was sworn in as the 32nd Chairman of the SEC.

The SEC is organized into five divisions (Corporation Finance, Enforcement, Economic and Risk Analysis, Investment Management, and Trading and Markets) and 25 offices. The SEC’s Headquarters is located in Washington, D.C. (Headquarters or Home Office). The Agency also has 11 Regional Offices located throughout the country. As of September 30, 2018, the SEC had total workforce of 4,448 employees, including 4,359 permanent employees and 89 temporary employees.³ *See Table A1.*

³ Data for this report was pulled on November 16, 2018, from DataMart, the SEC’s Human Resource Information System (HRIS), for pay period 22 of 2018.

COMMISSION'S ANNUAL SELF-ASSESSMENT AGAINST MD-715 ESSENTIAL ELEMENTS

Essential Element A: Demonstrated Commitment from Commission Leadership

The SEC's commitment to equal employment opportunity is evident in Chairman Clayton's Equal Employment Opportunity Policy, dated February 13, 2019, 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 Chairman of the SEC, I am committed to 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.

For this reason and because it is the right thing to do, we must all strongly support our nation'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, promotion, separation, performance evaluation, training and career development, assignment of duties, details, reassignment, compensation, awards, and benefits. EEO laws protect all employees, applicants for employment, and former employees from discrimination on the basis of race, color, sex (which is not limited to conduct that is sexual in nature and includes pregnancy, gender identity, sexual orientation, and transgender status), age (40 and older), religion, national origin, disability, or genetic information.

Each of us must support an individual's right, without fear of retaliation, to: (1) participate in the EEO process and (2) oppose employment practices which are perceived as discriminatory in the workplace. We can all contribute to making the SEC a model EEO employer by ensuring that discrimination, harassment, and retaliation are simply not tolerated. We must also seek to resolve workplace disputes at the earliest opportunity; to do otherwise would undermine the collegial and respectful environment that we expect at the SEC.

All employees must fully participate in investigations into allegations of discrimination, harassment and/or retaliation. Managers and supervisors must also participate in the alternative dispute resolution program for resolving EEO allegations, Conflict-to-Resolution (C2R), when the use of C2R is approved by the EEO Director or Deputy Director.

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

Notably, three SEC Offices—OEE0, the Office of Minority and Women Inclusion (OMWI), and the Office of Human Resources (OHR)—have specific and interrelated responsibilities to work to ensure equal employment opportunity and to focus on diversity-related efforts in the Agency’s workforce, and each office is supported by senior leadership in these efforts.⁴ For example, SEC announced and filled both the OEE0 Director and Deputy Director positions in FY 2018. Filling these positions during a period when Agency complement has contracted exemplifies the strong commitment of Agency leadership to the EEO program. In addition, Commissioners and Senior Officers actively sponsor one or more of the nine Employee Affinity Groups (EAGs). EAGs foster a supportive, inclusive, and fair work environment through their programs and activities, including programs to commemorate special observances. OMWI provides guidance, resources, and management support to the EAGs, and SEC’s senior leadership supports the EAGs and encourages employees to participate in EAG events and activities held throughout the year. Further, the SEC has an active Diversity Council comprised of members of the EAGs, management, Union, and representatives from Headquarters and the Regional Offices. The SEC’s Diversity Council is engaged in working collaboratively on a range of issues to foster diversity and inclusion at the Commission. In FY 2019, the Chairman will chair the Diversity Council. In addition, the Chairman presents a Diversity and Inclusion Award through an OHR-sponsored honorary award program each year to a member of the SEC 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.

Essential Element B: Integration of EEO into the Commission’s Strategic Mission

The SEC’s Strategic Plan for Fiscal Years 2018 – 2022 underscores the Commission’s commitment to attract and retain a highly effective and diverse workforce. The plan states:

Strategic Goal 3: Elevate the SEC’s performance by enhancing our analytical capabilities and human capital development.

Initiative 3.1: *Focus on the SEC’s workforce to increase our capabilities, leverage our shared commitment to investors, and promote diversity, inclusion, and equality of opportunity among the agency’s staff.*

To support the SEC’s commitment to its workforce, the SEC developed a three-year (FY 2016 – FY 2018) Human Capital Strategic Plan with input from OHR, OMWI, OEE0, and Division and Office Senior Leadership. The Human Capital Strategic Plan emphasizes increasing employee engagement and retention, enhancing employee development programs, and delivering a comprehensive leadership development program.

⁴ While OEE0 maintains the primary responsibility for many aspects of the Agency’s overall EEO program, it collaborates with both OMWI and OHR to ensure fairness and equality under the law for all employees and applicants for employment. Under the *Dodd-Frank Wall Street Reform and Consumer Protection Act*, OMWI must develop certain standards for EEO and diversity at the Commission, 12 U.S.C. §§ 5452(b)(2)(A)(f), which OHR incorporates into its human resources management strategy and operations. OEE0, OMWI, and OHR monitor the impacts and results of these standards, cultivate successful policies and practices to reinforce them, and develop enhancement strategies to strengthen EEO and diversity and inclusion (D&I) programs Agency-wide. For example, OMWI is responsible for SEC’s diversity efforts for the recruitment of women and minorities. OMWI and OEE0 work with OHR on recruitment strategies, training, and providing career development opportunities. Additional information about the SEC and its diversity efforts can be found at sec.gov/page/omwi-section-landing.

Essential Element C: Management and Program Accountability

During FY 2018, the SEC engaged in numerous actions to promote accountability of its EEO program, including, but not limited to, the following.

- Pursuant to EEOC's Management Directive 715 (MD-715), the SEC made progress towards conducting six barrier analyses in FY 2018 and continued work on actions and evaluation based on prior barrier analysis work.
- Consistent with EEOC regulations and Management Directive 110 (MD-110), the SEC's EEO compliance program provided timely counseling, alternative dispute resolution, investigation, and final adjudication processes to individuals raising complaints of discrimination.
- The SEC posted EEO complaint processing data on its internal and public websites, consistent with the Notification and Federal Employee Antidiscrimination and Retaliation Act of 2002 (No FEAR Act), and informed new employees of their rights and remedies under antidiscrimination laws and whistleblower protection laws within 90 days of their appointment.
- SEC managers and supervisors were evaluated on various competencies, including EEO and diversity and inclusion elements.
- SEC re-issued EEO and Harassment Prevention policy statements from the Chairman.

As required by EEOC regulations and directives, the EEO Director is under the direct supervision of the Chairman of the Commission. In FY 2018, to support the Agency's EEO programmatic responsibilities, OEEO staff consisted of nine attorneys (including the Director and Deputy Director), two EEO specialists, and three management and program analysts (MPA). The Agency substantially strengthened its EEO program by devoting significant resources to filling the key leadership positions in OEEO at a time of declining total employee complement. In addition, in FY 2018, OEEO had the assistance of three contract data analysts who supported the barrier analysis and reporting functions.

OEEO also leveraged the talents of SEC employees in the Home and Regional Offices who, in addition to performing their primary duties and responsibilities, volunteered to serve as EEO Counselors in a collateral duty capacity. In FY 2018, OEEO welcomed more than 50 EEO Counselors, including full-time and collateral-duty EEO Counselors from other agencies and the Agency's own collateral duty employees to attend a full day training session to meet their mandatory eight-hour refresher course training requirement. Experts from the Small Agency Council's EEO and Diversity and Inclusion (SAC EEO&DI) Committee's Interagency Training Initiative, including one of OEEO's Senior Counsels, developed and delivered new interactive course content for this session. The SEC remained an active participant in the SAC EEO&DI Committee, and its OEEO Director continued to serve as Vice Chair of the Committee.

Essential Element D: Proactive Prevention of Unlawful Discrimination

The SEC proactively reviews, revises, and publishes (internal/public websites) EEO policies relating to harassment prevention, reasonable accommodation, and permissible religious expression.

OEEO has developed a proactive harassment prevention program pursuant to the SEC's Policy on Preventing Harassment (PPH), which is grounded in training and early intervention. Program efforts are designed to reduce the incidence and impact of EEO-based harassment. Under this program, OEEO facilitates interactive harassment prevention dialogues with the SEC workforce of managers, supervisors, and non-supervisory employees. These dialogues raise awareness of behaviors that could be offensive on an EEO basis regardless of intent, encourage prompt reporting of potential concerns allowing for expeditious resolution, and introduce participants to the value of bystander awareness toward prevention. Interactive sessions help educate parties as to how behavior was perceived and why it could be problematic and inappropriate at work. In line with published scientific literature in this area, this program is based on voluntary participation to increase open disclosure of potential concerns and facilitate transfer of learning to the job. In FY 2018, leaders from six Divisions or Offices in Headquarters and three Regional offices reached out to engage with OEEO in such dialogue. In total, 717 individuals participated.

OEEO also received numerous contacts regarding potential PPH concerns in FY 2018, and several led to pre-emptive resolution because corrections were made to avoid or resolve the potential PPH issue at the onset before there was any negative impact. Over the past three years, the volume of proactive outreach to OEEO has increased from fewer than 30 in FY 2015 to 72 in FY 2018. Greater societal awareness and the PPH program's positive reputation for confidential (to the extent possible), quality consultation, and coaching has encouraged and led to wider adoption among leaders and employees of proactive prevention.

In April 2018, the Merit Systems Protection Board (MSPB) released the results of an anonymous survey it conducted at 23 agencies, including the SEC, regarding sexual harassment. The 2016 survey asked whether employees experienced one of twelve behaviors, from derogatory terms related to gender, to unwelcome invasion of personal space, to sexual coercion in the previous two years. SEC employees reported the lowest incidence of the sexually harassing behaviors among the agencies surveyed. As discussed above, the SEC has continued to expand and deepen efforts to proactively prevent harassment on any basis.

The SEC publishes information about the EEO complaint process 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 calendar day time limit for contacting an EEO Counselor or OEEO if they believe they have been discriminated against on an EEO basis and wish to enter the administrative complaint process. In FY 2018, OEEO redesigned and launched an internally developed No FEAR Act training module delivered to the entire workforce during the calendar year. The SEC's buildings and offices are accessible to persons with physical disabilities in compliance with the Architectural Barriers Act of 1968, as amended.

OEEEO regularly conducts research under its barrier analysis program to understand equality of employment opportunity for different employee groups or for specific employment processes. As described more fully below, the barrier analysis program has developed significantly over the last two fiscal years. As the office shares research results based on the program's work with internal and external stakeholder groups, OEEEO has taken the opportunity to encourage concrete, measurable actions toward improvement. The program's strong reputation, careful analysis, and synthesis of research results provides a strong, data-driven basis for much of the Agency's efforts under this Essential Element and helps to further the affirmative employment program. For example, OEEEO has expanded its barrier analysis to support and assess progress under the Agency's Affirmative Action Plan for persons with disabilities. *See Parts E, I, and J of this report.*

Essential Element E: Efficiency

In FY 2018, OEEEO continued to collaborate with the federal government EEO community to share best practices in processing EEO complaints and continued to have systems in place to accurately collect, monitor, and analyze data related to the EEO program. To comply with Part 1614 and MD-715 requirements, OEEEO remains neutral and impartial. This helps to prevent institutional conflicts of interest that otherwise could arise and to instill confidence in the integrity of the Commission's EEO complaint program.

In FY 2018, 35 counseling matters were initiated, 12 formal EEO complaints were filed, and six final agency decisions (no discrimination found) were issued.⁵ The most frequently alleged bases in the formal EEO complaints were claims of reprisal, race, sex, and age discrimination. Common issues raised in the formal EEO complaints were harassment (non-sexual), performance evaluation/appraisal, and promotion/non-selection. OEEEO issued reports of investigation, final agency decisions, and final agency orders in a timely fashion.

In FY 2018, OEEEO offered its alternative dispute resolution (ADR) program, Conflict-to-Resolution (C2R), to resolve allegations of discrimination. C2R primarily offers mediation. In FY 2018, OEEEO processed a total of 38 informal complaints (informal complaints carried over from FY 2017 and new informal complaints initiated in FY 2018). Among these 38 informal complaints, the option to pursue ADR in lieu of traditional EEO counseling was routinely explained to counsees. Five individuals (13.89% of the 36 FY 2018 counsees) expressed interest in participating in ADR. OEEEO offered ADR to all five individuals, and all five participated in ADR through C2R. In FY 2018, through C2R, OEEEO conducted seven mediations during both the formal and informal process; four or approximately 57.14% of these matters settled or resulted in the counsee not filing a formal EEO complaint. SEC is taking steps to enhance marketing of ADR to participants in the EEO process, including through an updated ADR Policy, updated Frequently Asked Questions (FAQs), and an ADR training course launched in FY 2019. OEEEO will monitor whether these efforts increase ADR participation and/or resolution rates and therefore advance SEC's goal of early resolution of workforce disputes.

⁵ SEC FY 2018 462 Report: Part I, D.2; Part II, B; and Part VI, B.2.

Essential Element F: Responsiveness and Legal Compliance

SEC has in place processes and management controls to ensure timely and full compliance with EEOC regulations, management directives, orders, and settlement agreements. The SEC has conducted an annual self-assessment against the essential elements prescribed by the EEOC's MD-715. In those instances where the Commission found opportunities to better comply with the MD-715 requirements, the SEC developed a plan for addressing the areas for enhancement as further discussed in Part H of this report. *See Part H, infra*. SEC also complies with requirements to submit an annual Form 462 Report, the Federal Equal Opportunity Recruitment Program (FEORP) Report, the Disabled Veterans Affirmative Action Program (DVAAP) Report, the OMWI annual report, and quarterly and annual No FEAR Act reports.

ANALYSIS OF WORKFORCE PROFILES

The SEC analyzed its workforce profiles to identify triggers that may require further inquiry as to whether or not barriers to equal employment opportunity based on race, ethnicity, sex, or disability exist. A “trigger” is a trend, difference, variance, outlier, or anomaly that suggests the need for further inquiry into a particular policy, practice, procedure, or condition. Statistics are only a starting point for analysis that must consider the totality of the circumstances. The *EEO Tabulation*, produced using the 2006 – 2010 American Community Survey (ACS) survey data, is the primary external benchmark for conducting comparisons between the racial, ethnic, and sex composition of each employer's workforce to its available labor market. According to Census Bureau information about the *EEO Tabulation*, “The sponsors have determined the next *EEO Tabulation* release will be by Fall 2020/Spring 2021, which will use the 2014 – 2018 5-year American Community Survey (ACS).”⁶ For brevity, benchmark data from the 2006 – 2010 *EEO Tabulation* is referred to as the 2010 civilian labor force (CLF) or the occupational civilian labor force (OCLF) in this report and accompanying tables. Occupational comparisons are initially made using broad categories of civilian jobs that do not differentiate between characteristics such as industry (e.g., finance versus health care) or specialization (e.g., securities versus employment law). Please refer to Part I of this report, *infra*, for the SEC's plans for analyzing data anomalies and enhancing equality of opportunity for SEC employees and applicants.

⁶ The sponsors are the EEOC, Department of Justice's Employment Litigation Section of the Civil Rights Division, Department of Labor's Office of Federal Contract Compliance Programs (OFCCP), and the U.S. Office of Personnel Management (OPM). According to the U.S. Census Bureau which produces the EEO Tabulation, the ACS “produces period estimates of socioeconomic and housing characteristics. It is designed to provide estimates that describe characteristics of an area over a specific time period. In the case of ACS one-year estimates, the period is the calendar year. While a one-year estimate includes information collected continuously nearly every day from independent monthly samples over a 12-month period, a five-year estimate includes statistics collected over a 60-month period. Then [the Census Bureau] aggregate[s] the results over the specified period of time. For example, the 2006 – 2010 ACS five-year estimates describe the population and housing characteristics of an area for the period January 1, 2006 through December 31, 2010. They do not describe any specific day, month, or year within that time period. The cumulative sample of the ACS taken over a five-year time period allows measurement of detailed characteristics in local geographies and increases precision of its estimates.” *Equal Employment Opportunity Tabulation FAQs*, accessed from [census.gov/topics/employment/equal-employment-opportunitytabulation/about/faq.html](https://www.census.gov/topics/employment/equal-employment-opportunitytabulation/about/faq.html) (Note: This page has been moved.) on February 15, 2019.

SEC Workforce

At the end of FY 2018, the SEC had 4,448 employees, 4,359 permanent and 89 temporary. Of the 4,359 permanent employees, there were 2,352 (53.96%) males and 2,007 (46.04%) females. See *Table A1*. The SEC hired 24 permanent employees, and there were 172 voluntary separations. See *Tables A8 and A14*. The following provides a summary of representation within the SEC’s permanent workforce compared to the 2010 CLF.

Applicant Flow Data

Applicant flow data is an important tool used to examine the fairness and inclusiveness of recruitment efforts and is provided to the SEC by OPM. These data are available through OPM’s USA Staffing® only for SEC vacancies posted on USAJOBS. The SEC uses USAJOBS for most, but not all, of its hiring actions.⁷ In FY 2018, the SEC did not have a tool to capture and report on applicant data for hiring actions outside of USAJOBS. Due to budget constraints, the SEC also had significantly fewer hiring actions in FY 2018 as compared to previous years, and this effect is evident in the applicant flow data available for the fiscal year.

SEC Permanent Workforce % Compared to 2010 Civilian Labor Force (CLF) %				
Race/Ethnicity	2010 CLF %	Total SEC %	Male SEC %	Female SEC %
Hispanic or Latino	9.96	5.60	3.03	2.57
White	72.36	65.47	39.73	25.74
Black or African American	12.02	15.79	4.73	11.06
Asian	3.90	12.14	6.08	6.06
Native Hawaiian/Other Pacific Islander	0.14	0.02	0.00	0.02
American Indian/Alaska Native	1.08	0.39	0.28	0.11
Two or More Races	0.54	0.59	0.11	0.48

See *Table A1*.

There are a few important notes about applicant flow data to help facilitate interpretation. First, applicants are encouraged to voluntarily provide data on their gender, race/ethnicity, and disability as part of their USAJOBS profile. For the five mission critical occupations at the SEC (i.e., attorneys, accountants, securities compliance examiners, economists, and information technology management), applicants self-identified both gender and race/ethnicity from a high of 80.00% for information technology management to a low of 71.48% for attorneys. Because self-identification is not required by USAJOBS and depends on applicants’ willingness to volunteer their demographic information, data should not be extrapolated from the group that voluntarily identified their demographics to the remaining applicants who did not.

⁷ For example, hiring into accountant and economist positions under the SEC’s Fellows authority and, in some cases, attorneys into the Excepted Service under 5 C.F.R. § 213.3102(d) do not require public posting through USAJOBS.

In the fall of 2016, OPM’s Office of Diversity and Inclusion, USAJOBS, and the Office of Management and Budget (OMB) collaborated to clarify the language used in the application process when applicants associate demographic information from their USAJOBS profile with a specific application. OPM reported an increase in the average response rate of 45.6% for the period of August 2012 to October 2015 to 84.5% in June 2017. Applicant flow data for the SEC saw a similar increase in the proportion of applicants self-identifying their demographic information. In Table A7 data reported in the FY 2016 annual EEO program status report, 59.49% of applications included demographic data. Table A7 data in this report include demographic data for 74.10% of applications submitted through USAJOBS.

Second, selections designated within applicant flow data are tentative. Tables A7 and B7 show applicant flow data for applicants who self-identified and were (1) qualified; (2) referred; and (3) tentatively selected for vacancies posted on USAJOBS that closed during FY 2018. Various hiring process steps beyond a tentative selection decision may impact success in onboarding a new hire (e.g., suitability assessment or declination of offer). In contrast, Tables A8 and B8 present data on *new hires* on boarded during the course of the fiscal year. Differences are observed in the demographic statistics of those selected versus those hired and brought on board.

Third, applicant flow data combine applications submitted for permanent and temporary positions with the SEC. The data in Tables A7 and B7 reflect the pool of applications submitted for both permanent and temporary employment for vacancies announced through USAJOBS during FY 2018.

As set forth below, the applicant flow data provided by OPM was analyzed for the five mission critical occupations at the SEC. *See Table A7.* There was no applicant flow data for the Economist occupation in FY 2018 because no vacancies posted on USAJOBS for positions in this occupation closed during the fiscal year. Below are the highlights of this analysis for the four other mission critical occupations at the SEC.

Attorneys (0905): 1,017 Applicants

The SEC received 1,017 applications through USAJOBS and made 65 selections for attorney positions. Of the 1,017 applicants, 727 self-identified. Among those who self-identified, 476 (65.47%) were male and 251 (34.53%) were female. Forty-eight of the self-identified applicants were selected. Of the 48 selectees who self-identified, 26 were male and 22 were female.

EEO Group	Number: Self-Identified	Number: Self-Identified and Qualified	Number and Percent: Self-Identified and Selected
Hispanic	62	20	2 (4.17%), 1 male and 1 female
White	451	238	35 (72.92%), 20 males and 15 females
Black or African American	128	39	4 (8.34%), 2 males and 2 females
Asian	76	36	6 (12.5%), 3 males and 3 females
Native Hawaiian/Other Pacific Islander	3	2	1 (2.08%), 0 males and 1 female
American Indian/Alaska Native	4	2	0

See Table A7.

Accountants (0510): 159 Applicants

In FY 2018, the SEC received 159 applications through USAJOBS and made 12 selections for accountant positions. Of the 126 applicants who self-identified their demographics, 69 (54.76%) were male and 57 (45.24%) were female. Of the 12 selectees, 11 self-identified, four (36.36%) as male and seven (63.64%) as female. There was a steady increase in the participation rate of women among applicants for accountant positions as they moved through the application process from 45.24% of those who applied and self-identified, to 48.39% of the qualified candidates, and finally, to 63.64% of those selected. The demographics of the 126 applicants for accountant positions who self-identified, qualified, and those who were selected are as follows.

EEO Group	Number: Self-Identified	Number: Self-Identified and Qualified	Number and Percent: Self-Identified and Selected
Hispanic	8	1	1 (9.09%), 0 males and 1 female
White	53	21	6 (54.55%), 2 males and 4 females
Black or African American	42	3	1 (9.09%), 1 male and 0 females
Asian	21	6	3 (27.27%), 1 male and 2 females
Native Hawaiian/Other Pacific Islander	0	0	0
American Indian/Alaska Native	2	0	0

See Table A7.

Securities Compliance Examiners (1831): 123 Applicants

In FY 2018, the SEC received 123 applications on USAJOBS and made five selections for securities compliance examiner positions. Ninety-two applicants voluntarily self-identified their demographics. Of the 92 who self-identified, 64 (69.57%) were male, and 28 (30.43%) were female. Three of those who self-identified were selected. The following are the demographics of the applicants who self-identified, qualified, and were selected for securities compliance examiner positions.

EEO Group	Number: Self-Identified	Number: Self-Identified and Qualified	Number and Percent: Self-Identified and Selected
Hispanic	15	5	2 (66.67%), 2 males and 0 females
White	49	14	1 (33.33%), 1 male and 0 females
Black or African American	12	2	0
Asian	15	4	0
Native Hawaiian/Other Pacific Islander	0	0	0
American Indian/Alaska Native	1	0	0

See Table A7.

Hispanics represented 20.00% of those who self-identified and qualified for the securities compliance examiner positions and 66.67% of the selectees. In contrast, White applicants represented 56.00% of those who self-identified and were qualified, and White males represented 33.33% of the selectees. *See Table A7.*

Information Technology Management (2210): 35 Applicants

In FY 2018, the SEC received 35 applications through USAJOBS and made two selections for the information technology management positions. Of the 35 applicants, 28 voluntarily self-identified their diversity demographics. Of the 28 applicants who self-identified, there were 25 males and three females. Both selected applicants identified as males (one Hispanic and one White applicant). The following are the demographics of the individuals who applied and self-identified for the information technology management positions, those who qualified, and the applicants who were selected.

EEO Group	Number: Self-Identified	Number: Self-Identified and Qualified	Number and Percent: Self-Identified and Selected
Hispanic	5	1	1 (50.00%), 1 male and 0 females
White	7	1	1 (50.00%), 1 male and 0 females
Black or African American	10	2	0
Asian	6	2	0
Native Hawaiian/Other Pacific Islander	0	0	0
American Indian/Alaska Native	0	0	0

See Table A7.

Applicant Flow Data for Persons with Disabilities

SEC received a total of 2,458 applications in FY 2018. Those 2,458 applications included 108 (4.39%) applications from persons who self-identified in the USAJOBS profile under the equivalent of the disability categories from Standard Form 256 (SF-256, *Self-Identification of Disability*). SEC received a further 62 (2.52%) applications claiming or granted veterans’ preference for service connected disability during FY 2018.⁸ In the combination of both self-identified applicants and those considered under authorities that take disability into account were 170 total applications from persons with disability (PWD), representing 6.92% of all applications received. Part J, *infra*, provides further detail about the SEC’s utilization analysis of PWD and persons with targeted disabilities (PWTD) in the Agency workforce. Two persons (1.75%) with a disability were among the 114 persons tentatively selected in FY 2018.

⁸ In FY 2018, SEC continued implementation of the revised regulation under Section 501 of the Rehabilitation Act. SEC now includes applicants for permanent and temporary employment under authorities that take disability into account as persons with disabilities according to the revised EEOC regulation. In this report, applicants for permanent and temporary employment who are not self-identified in their USAJOBS profile with one or more disabilities from Standard Form 256 (SF-256) and whose application records document veterans’ preference for hiring as “CPS—preference based on compensable service-connected disability of 30% or more” are now included in the applicant flow data as persons with disability. The applicant flow and workforce data tables and analyses described later in Parts E and J of this report reflect this change.

In this year’s report, those employees and applicants who are considered persons with disability outside self-identification on SF-256 are included in a new column in the all Tables B1 through B14 developed for this report. The FedSEP online reporting system does not provide for an additional column in the table format; SEC has included such persons in Tables B1 through B14 in the column labeled: “Disability (02-03, 06-99).” As such, the data presented on PWD within the tables included with this report may not match those submitted to the EEOC through the FedSEP portal.

In October 2016, OPM revised the Standard Form 256 (SF-256), *Self-Identification of Disability*, expanding the number of conditions that qualified as “targeted disabilities” from nine to 12 targeted disabilities: (1) developmental disability; (2) traumatic brain injury; (3) deaf or serious difficulty hearing; (4) blind or serious difficulty seeing; (5) missing extremities; (6) significant mobility impairment; (7) partial or complete paralysis; (8) epilepsy or other seizure disorders; (9) intellectual disability; (10) significant psychiatric disorder; (11) dwarfism; and (12) significant disfigurement.

Among the applications submitted by persons with disability were 60 (2.44%) submitted by persons who self-identified as having one of these targeted disabilities. None of the individuals who self-identified a targeted disability was selected. Additional detail on the SEC’s analysis of persons with disability in applicant and workforce data is provided in Part J of this report, *infra*. See Table B7 and Part J.

New Hires

In FY 2018, the SEC hired 24 permanent employees, 15 (62.50%) males and nine (37.50%) females. The following table reflects demographic information for the FY 2018 new hires.

Permanent Employees		Hispanic		White		Black or African American		Asian		American Indian/Alaska Native		
		Total	M	F	M	F	M	F	M	F	M	F
New Hires	#	24	0	0	15	5	0	3	0	1	0	0
	%	100	0.00	0.00	62.50	20.83	0.00	12.50	0.00	4.17	0.00	0.00
Total Workforce	#	4,359	132	112	1,732	1,122	206	482	265	264	12	5
	%	100	3.03	2.57	39.73	25.74	4.73	11.06	6.08	6.06	0.28	0.11
2010 CLF	%	100	5.17	4.79	38.33	34.03	5.49	6.53	1.97	1.93	0.55	0.53

See Tables A1 and A8.

Participation Rates for SEC Major Occupations

This section discusses the participation of men, women, and minority employees in each of the SEC’s five mission critical occupations of attorney, accountant, securities compliance examiner, information technology management, and economist. In FY 2018, there were 4,359 permanent employees at the SEC. See Table A1.

Of these permanent employees, there were 1,848 attorneys, 867 accountants, 327 securities compliance examiners, 285 information technology (IT) management employees, and 86 economists. See Table A6. Accountants and attorneys comprised 62.28% of the SEC’s FY 2018 permanent employees. Male and female SEC accountants and attorneys participated at levels above their benchmark in their respective occupations in the civilian labor force, or Occupational CLF (OCLF),

except for the demographic groups of female accountants and male attorneys as shown in bold font in the table below.

Job Title		Total	M	F	White	
					M	F
Attorneys	#	1848	1023	825	841	592
	%	100%	55.36%	44.64%	45.51%	32.03%
OCLF		100%	66.70%	33.30%	59.68%	26.68%
Accountants	#	867	491	376	382	237
	%	100%	56.63%	43.37%	44.06%	27.34%
OCLF		100%	39.91%	60.09%	31.79%	44.23%

See Table A6, Permanent Workforce.

Within the female accountant and male attorney groups, the participation rates of both White male attorneys and White female accountants are below their OCLF as further described below.

White female accountants' participation rate at the SEC (27.34%) is below the OCLF for White female accountants of 44.23%. This follows the same pattern as the overall participation rate of female accountants at the SEC (43.37%) compared to the OCLF for female accountants of 60.09%. This difference is under investigation as part of the Agency's barrier analysis program.

The participation rate for White male attorneys at the SEC (45.51%) is below OCLF for White male attorneys of 59.68%. Similar to the female accountants, White male attorney participation mirrors the overall participation rate for male attorneys at the SEC (55.36%) compared to the OCLF for male attorneys of 66.70%. These numbers are under investigation as part of the Agency's barrier analysis program.

Demographics of Employees from SK-14 to Senior Officer

The SEC conducts analysis on the participation of men, women, and minority group employees at various grade levels to understand the Agency's career progression. Analysis of career progression for persons with disabilities is described in Part J of this report, *infra*. Specifically, the SEC reviewed the participation within the grade levels that provide internal feeder pools for higher level jobs. This section describes the results of these analyses for those feeder pools to supervisory and management positions.

The internal feeder pools for supervisory and management positions include any eligible SK-14 through SK-17 employee. The SEC offers the opportunity for employees to be promoted to the SK-15 supervisory level, the SK-17 managerial level, or the Senior Officer (SO) level. The feeder pool for: the SK-15 level is the SK-14 level; the SK-17 level is the SK-14 through SK-16 level; and the SO level is the SK-14 through SK-17 level. The participation rates of men and women in SEC's supervisor and

management ranks differ within and across the SK-14 to SO levels, with an unusual pattern shown in the first level supervisor, SK-15 level, as compared to the other SK-levels and among SOs.

Specifically, there were a total of 2,152 permanent SK-14 employees, of whom females represent 44.01% (947 employees) and males represent 55.99% (1,205 employees). However, at the SK-15 level, there were 365 total permanent employees, with males making up 66.03% (241 employees) and females comprising 33.97% (124 employees). Participation of women was lower in this first level supervisor position than found in any of the other senior level positions; there were almost twice as many male SK-15s as female SK-15s.

At the next higher SK-level, there is greater female participation among SK-16 employees. Although SK-16 employees are usually not supervisors, they are eligible to apply for SK-17 and SO positions. There were a total of 495 permanent SK-16 employees in FY 2018; males accounted for 59.80% (296) and females accounted for 40.20% (199) of this level's workforce composition. The participation rates of males and females at the SK-17 were distributed similarly to the SK-16 employees. There were a total of 397 SK-17 employees of whom 61.71% were male (245 employees) and 38.29% were female (152 employees). In FY 2018, there was an increase in males and an increase in females at the SK-17 level (males increased by two, and females increased by one), as compared to FY 2017. Finally, within the total of 129 SOs, 58.91% are male (76 employees) and 41.09% are female (53 employees). *See Table A4-1.*

The number of SOs at the SEC decreased from FY 2016 to the end of FY 2018. The representation of women among SOs continued to trend upward. The participation of women among SOs was higher than the representation of women among Senior Executives in the Federal workforce. According to OPM's FedScope, women made up 33.8% of Senior Executives in the Federal workforce in FY 2018. As of the end of FY 2018, the proportion of minority SOs was below the participation rate of 21.1% among Senior Executive positions in the Federal workforce in FY 2018. Since FY 2016, the representation of minorities among SOs decreased slightly. From FY 2016 to FY 2018, the number of Black or African American and Asian SOs remained the same, while the number Hispanic or Latino SOs decreased by one.⁹

The following table summarizes the demographic information for groups representing at least 1% of the total number of supervisors, managers, and SOs, as well as the SK-14 and SK-16 feeder pools. *See Table A4-1.*

⁹ Although their numbers remained unchanged, Black or African American and Asian Senior Officers left the SEC and Black or African American and Asian Senior Officers were appointed during the three-year period. Additional information can be found in OMWI's Annual Report at sec.gov/page/omwi-section-landing.

SEC Level		All		Hispanic or Latino		White		Black or African American		Asian		
		Total	M	F	M	F	M	F	M	F	M	F
SO	#	129	76	53	2	0	68	44	3	4	3	4
SO	%	100	58.91	41.09	1.55	0.00	52.71	34.11	2.33	3.10	2.33	3.10
SK-17	#	397	245	152	15	3	202	113	10	17	17	17
SK-17	%	100	61.71	38.29	3.78	0.76	50.88	28.46	2.52	4.28	4.28	4.28
SK-16	#	495	296	199	10	7	239	146	13	18	32	24
SK-16	%	100	59.80	40.20	2.02	1.41	48.28	29.49	2.63	3.64	6.46	4.85
SK-15	#	365	241	124	17	5	175	79	16	24	32	16
SK-15	%	100	66.03	33.97	4.66	1.37	47.95	21.64	4.38	6.58	8.77	4.38
SK-14	#	2,152	1,205	947	67	60	895	586	89	132	148	158
SK-14	%	100	55.99	44.01	3.11	2.79	41.59	27.23	4.14	6.13	6.88	7.34

See Table A4-1.

Internal Competitive Promotions

This section describes analysis of internal competitive promotion for MCO positions by sex, race, and ethnicity. Detailed analysis of promotion for PWD is provided in Part J, *infra*.

Attorneys

In FY 2018, the SEC received 468 applications for 65 attorney competitive promotions. Of the 468 individuals, 422 qualified for promotion, 281 males and 141 females. Of those selected for the promotions, 36 were male and 29 female. White employees comprised 331 (78.44%) of the qualified applicants and received 48 (73.85%) of the 65 competitive promotions, with White males receiving 41.54% of the promotions and White females receiving 32.31% of the promotions. Among the 18 individuals with a disability who qualified for a promotion, one was promoted. A further demographic breakdown of the candidates who applied for internal promotions follows.

EEO Group	Applications Received	Qualified for Competitive Promotion	Promoted
Hispanic	28	18	5 (7.69%), 4 males and 1 female
White	359	331	48 (73.85%), 27 males and 21 females
Black or African American	26	25	4 (6.15%), 1 male and 3 females
Asian	49	42	8 (12.31%), 4 males and 4 females
American Indian/Alaska Native	2	2	0
Individuals with Disabilities	20	18	1
Individuals with Targeted Disabilities	5	4	1

See Tables A9 and B9.

Accountants

The SEC received 40 applications for 14 accountant competitive promotions. Of the 40 applicants, 33 qualified (17 males and 16 females). Of the 14 individuals who received a competitive promotion, six were male, and eight were female. Detailed demographics follow.

EEO Group	Applications Received	Qualified for Competitive Promotion	Promoted
Hispanic	1	1	1 (7.14%), 0 males and 1 female
White	25	22	10 (71.42%), 5 males and 5 females
Black or African American	5	3	0
Asian	9	7	3 (21.43%), 1 male and 2 females
Individuals with Disabilities	4	3	2
Individuals with Targeted Disabilities	0	0	0

See Tables A9 and B9.

Securities Compliance Examiners

The SEC received 66 applications (48 from males and 18 from females) for eight securities compliance examiner promotions. Of the 66 applicants, 43 qualified (27 males and 16 females). Of the eight selected, six were male (75.00%), and two were female (25.00%). Although two individuals with a disability qualified, they were not promoted. The following table reflects the demographic breakdown.

EEO Group	Applications Received	Qualified for Competitive Promotion	Promoted
Hispanic	9	5	2 (25.00%), 2 males and 0 females
White	29	24	5 (62.50%), 3 male and 2 females
Black or African American	14	8	0
Asian	14	6	1 (12.50%), 1 male and 0 females
Individuals with Disabilities	6	2	0
Individuals with Targeted Disabilities	0	0	0

See Tables A9 and B9.

Information Technology Management

The SEC received 125 applications (106 males and 19 females) for seven information technology management promotions. Of the 125 applicants, 91 qualified (75 males and 16 females). Of the seven selected, three were male (42.86%); four were female (57.14%). The following table reflects the demographic breakdown:

EEO Group	Applications Received	Qualified for Competitive Promotion	Promoted
Hispanic	5	4	1 (14.29%), 1 male and 0 females
White	48	32	5 (71.43%), 1 male and 4 females
Black or African American	23	22	0
Asian	49	33	1 (14.29%), 1 male and 0 females
Individuals with Disabilities	22	14	1
Individuals with Targeted Disabilities	0	0	0

See Tables A9 and B9.

Economists

The SEC received four applications (two males and two females) for two economist promotions. Of the four applicants, two White men qualified and were selected for promotion. The following table reflects the demographic breakdown.

EEO Group	Applications Received	Qualified for Competitive Promotion	Promoted
Hispanic	0	0	0
White	4	2	2 (100%), 2 males and 0 females
Black or African American	0	0	0
Asian	0	0	0
Individuals with Disabilities	0	0	0
Individuals with Targeted Disabilities	0	0	0

See Tables A9 and B9.

Career Ladder Promotions

A review of the SEC's non-competitive promotions reflects that of the 209 individuals eligible for career ladder promotions, 101 (48.33%) were male and 108 (51.67%) were female. Twenty-four of these employees were persons with disabilities. Nine individuals exceeded their time-in-grade beyond 24 months. Among them were five men, four women, and one person with a disability. See Tables A10 and B10.

Employee Recognition and Awards

A review of Table A13 reflects that males and females received similar time-off awards in FY 2018. For cash awards in the amount of \$100 – \$500, males received 50.35% of these awards (as compared to females who received 49.65% of these awards). Males received a higher average amount of \$390 compared to the average amount for females of \$354. A review of data also reveals a lower-than-average cash award for individuals with a targeted disability (\$266) and individuals with disability (\$345) compared to the average amount of \$379 for individuals with no disability.

For higher value cash awards of \$501 and more, males received 58.02% of these awards, with an average award amount of \$1,166, while females received 41.98% of the awards, with an average award of \$1,133. Cash awards of \$501 or more averaged \$1,062 for individuals with disabilities (below the average amount of \$1,160 for those with no disability) and essentially the same as the average amount of \$1,060 for individuals with targeted disabilities. *See Tables A13 and B13.*

Separations

The SEC aims to keep its turnover rate relatively low, i.e., below eight percent per year. In FY 2018, the SEC had a separation rate of less than five percent (176 separations for a turnover rate of 4.04%) of its total permanent workforce. Of the 172 voluntary separations, nine were Hispanic employees, 126 were White employees, 21 were Black or African American employees, and 14 were Asian employees. In FY 2018, 18 employees who self-identified as having a disability separated from the SEC, including one employee with a targeted disability. *See Tables A14 and B14.*

SUMMARY OF EEO PLAN OBJECTIVES PLANNED TO ELIMINATE IDENTIFIED BARRIERS OR CORRECT PROGRAM DEFICIENCIES

Overview of the Barrier Analysis Program

The following provides an update and overview of activity completed by the SEC as part of its affirmative employment efforts and barrier analysis program, which constitute both a legal mandate and a business imperative. OEEO continued to mature the barrier analysis program following the addition of a data scientist who holds a doctorate in industrial/organizational psychology in the autumn of 2016. As mentioned above, the program has developed significantly over the last two fiscal years.

In particular, the program experienced notable growth in OEEO's practical understanding of the scope of work involved in fostering meaningful and sustained improvement in equality of opportunity. In the last two years, the barrier analysis team has learned the importance of: leveraging the strengths of a multi-disciplinary team; robust stakeholder engagement, including frequent communication about what, how, and why the team does this work; rigorous research and analysis of quantitative and qualitative data, including previously unconsidered data sources; clear data visualization to enhance understanding of information; understanding of federal human resource

processes; and establishing foundational program elements, such as a framework for prioritizing analytical work and data query tools, to enhance analytical efficiency, among other learnings.

OEEEO had also come to understand that project planning is not a mechanical process, but an iterative one to assess progress at significant milestones and make adjustments. It has proven challenging to determine at the outset of studies how long the analysis will take. A deeper understanding of the process will help build efficiency over time and with experience. As discussed below, in FY 2019 OEEEO will explore the application of Agile principles to the analysis of potential barriers to equality of employment opportunity. Despite this challenge, OEEEO has initiated program-wide action that positively impacted progress on a number of barrier analysis studies.

- In October and November 2017, OEEEO conducted a *Workplace Experience Survey* to inform and help provide for evaluation of barrier analysis and EEO program efforts.
- OEEEO hosted an inter-agency meeting with EEO representatives from other federal agencies in April 2018. The SEC Chairman and representatives of EEOC's Office of Federal Operations attended and actively contributed to the discussion. Participants' feedback from this session shows how such cross agency collaboration helps support the individual agency programs.
- Using an equal employment opportunity analytic tool developed and initially implemented in FY 2017, more fully described later in this Part, OEEEO programmed a series of self-service workforce data summary tools. These tools enable users to review data on the demographic composition within specific occupations of the entire workforce, newly hired staff, applicant flow data (AFD), and separations by critical organizational characteristics. Several of the analyses supporting the barrier analysis program rely on these data summary tools.
- OEEEO developed a framework for prioritizing future barrier analyses through seven primary phases and will apply the framework in FY 2019 to allocate resources.

OEEEO also continues to assess opportunities for further enhancements in project planning, including exploring adoption of the Agile management approach for conducting barrier analyses. Agile uses cross-functional and self-organizing teams, emphasizes collaboration and continuous learning, and speeds up value creation through incremental delivery, resulting in enhanced efficiency and faster value through real-time changes. Initial exploration indicates this approach holds promise in the context of OEEEO's affirmative employment program. The next sections describe work on specific barrier analysis studies.

Barrier Analysis Study: Analyses of Internal Competitive Promotion to SO and Senior Grade Level Positions

In FY 2016, OEEEO began analyzing whether females encounter a glass ceiling as they seek promotion to senior executive positions. Investigation from that study led to specific recommendations for improvement to SEC's policy, practices, and procedures intended to ensure equality of opportunity for all. In turn, these recommendations led to agreement among OEEEO, OHR, and OMWI on actions to improve equality of opportunity.

Through coordinated efforts across the Agency, significant progress has been made toward improvement as a result of these analyses and other efforts related to diversity and inclusion. As of September 30, 2018, one action remains open from the agreed-upon action plans. That action requires examining the records and documentation of interview and selections made for internal competitive promotion actions. Data have been compiled for vacancies posted in FY 2017 and FY 2018 for positions at the SK-15, SK-17, and SO levels. OEEO will review these data and provide feedback based on that review during FY 2019. That review and feedback cycle will help close out the identified actions for that study and transition toward a longer-term monitoring and evaluation phase. Additional information about this study is included in Part I of this report, *infra*.

Barrier Analysis Study: Persons with Disabilities (PWD)

The SEC continued work to analyze and support its commitment to affirmative employment of persons with disabilities during FY 2018. On January 3, 2017, the EEOC issued revised regulations that modified Section 501 of the Rehabilitation Act of 1973 and outlined the federal government's obligation to engage in affirmative action for persons with disabilities (PWD). This revision addresses hiring, retention, and career opportunities for PWD and persons with targeted disabilities (PWTD). During FY 2018, the SEC prepared for implementation of the revised regulation through a variety of actions coordinated across OEEO and OHR.

- OEEO explored the experience of PWD at the Agency by gathering information from employees on their perceptions of the workplace, analyzing employee retention, and facilitating the decision to consider a wider array of employees under the affirmative employment commitment for persons with disability.
- OHR and OEEO jointly sponsored a resurvey of the workforce that increased the number of employees included as PWD.
- OHR modified the Agency's exit survey to gather information about how to support PWD better going forward.

Information about the study of PWD and an overview of the Agency's affirmative action plan for persons with disabilities, as well as accomplishments and actions related to those efforts is found in Part J *infra*.

Barrier Analysis Study: Analyses by Gender of Applicants to MCO Positions

OEEO continued analysis of recruiting and hiring rates of female applicants for employment in SEC mission critical occupations (specifically, accountant, securities compliance examiner, and economist positions). The SEC began this analysis in 2016, and analytic work is now complete. Study results informed the Agency's understanding and definition of the most applicable, qualified applicant pool's female participation, which considers the influence of differences by occupation, industry, and career trajectory. Results also highlight differences in the participation of men and women at different stages of the hiring processes depending on how the positions are posted and how targeted was the recruitment effort. For this study, OEEO presented briefings on the research summary and offered

action opportunities to a variety of Agency leaders. OEEO will consult with the key stakeholders across the Agency on next steps in FY 2019. Additional information about this study is included in Part I of this report, *infra*.

Barrier Analysis Study: Analyses of Discretionary Cash and Time-Off Awards

OEEO continued analysis of the distribution of discretionary cash and time-off awards to employees in different groups. The SEC began this analysis in FY 2016, and work continued in FY 2017 and FY 2018. Analytic work included applying a variety of multivariate linear and nonlinear models to awards distributed between FY 2013 and FY 2017. Additional information about this study is included in Part I of this report, *infra*.

Barrier Analysis Study: Analyses of Women in Accounting

Research into the participation of women in accountant positions continued in FY 2018. OEEO completed scheduled data collection in FY 2018. Qualitative and quantitative data collected include: survey responses from employees who self-identified as accountants in its *Workplace Experience Survey*; individual and group interviews of leadership in the Divisions and Offices with accountants on staff; workforce participation data from various federal reporting entities; workforce, career progression, and retention data for the SEC's accountant population. OEEO plans to summarize and interpret the research results. Additional information about this study is included in Part I of this report, *infra*.

Barrier Analysis Study: Analyses of Male Attorneys

Research into the participation of men in attorney positions continued in FY 2018. OEEO reviewed workforce data on the SEC's attorney occupation, started reviewing benchmark data from a variety of federal reporting entities, and referenced the research literature on recent trends in the civilian labor force of attorneys. Additional information about this study is included in Part I of this report, *infra*.

Analytic work supporting these studies will continue in FY 2019 to form the basis for suggested action to improve equal employment opportunity.

Agency Accomplishments

Action Plans Implemented

In FY 2018, OEEO continued to advance its barrier analysis and reporting functions. OEEO expanded functionality in its automated tool that extracts, accurately codes, summarizes, and provides reporting on demographic information about employees and applicants for employment. This tool, called the Equal Employment Opportunity–Analytic Tool (EEO-AT), was used to generate the data for workforce data tables in this report as well as the responses to data-related questions in Part J, *infra*. The EEO-AT's flexible framework enabled both this year's reporting and more in-depth analysis that forms the basis for the barrier analysis work described above and in Parts I and J of this report, *infra*. Further, the EEO-AT's benefits include self-service functionality, effective interface with the EEOC's data portal FedSEP, and greater facility for OEEO to respond to anticipated and future changes. The enhancement of EEO-AT required the re-allocation of substantial resources from OEEO's

barrier analysis function in FY 2018. However, the investment made in the development of EEO-AT was required to prepare for changes in the MD-715 reporting framework, which the EEO has communicated will be required as part of the FY 2019 report due in calendar 2020.

Improving the Reasonable Accommodation Program

The SEC's policy is to provide reasonable accommodations to qualified people with disabilities covered by the Rehabilitation Act of 1973 unless doing so would cause the SEC undue hardship. Examples of accommodations include:

- Assistive technology software/equipment;
- Modification to workstations;
- Flexible scheduling;
- Flexible workplace/Telework;
- Disability Support Services (e.g., American Sign Language interpreting, personal reader assistance); and
- Reassignment (the accommodation of last resort).

As reported in the SEC's FY 2017 MD-715 Report, the SEC did not meet the goal of processing 90% of accommodation requests within the timeframe specified in the Agency's policy. To address this situation, the Agency planned to deploy system enhancements to a workflow request platform to include streamlining temporary medical telework (TMT), reasonable accommodation (RA), and leave requests, where feasible. In FY 2017, the SEC designed business requirements to implement an electronic case management system that would allow employees to request reasonable accommodations personally and privately. The implementation of this case management system was planned for rollout in FY 2018; however, due to Agency-wide funding limitations, development work on the case management system initiative was postponed into FY 2018, therefore pushing implementation to FY 2019. During this period, additional workflow and system requirements were continuously gathered to enhance the system's capabilities in preparation for FY 2019 rollout.

In the meantime, OHR identified opportunities to strengthen its manual tracking process. OHR now tracks timeliness for processing RA requests and meets on a monthly basis with the Chief Human Capital Officer to review and discuss timeliness and processing of all RA cases. The overall FY 2018 RA processing timeliness rate was 74%. The SEC processed and closed 46 RA requests for adjustable height tables (AHT) and met or exceeded processing timelines for 78% of those requests. Of the remaining 97 requests, the SEC met or exceeded timely processing standards for 72% of closed requests. In FY 2019, the SEC plans to finalize the RA electronic system requirements, conduct user acceptance testing, and train the SEC workforce on the new interactive RA requests processing portal. This automation is expected to simplify RA case tracking, help identify systemic delays, and improve customer service and timeliness.

The SEC has made available a comprehensive resource guide, *Requesting Accommodations at SEC*, for everyone involved in the accommodations process. It explains how persons with disabilities should request accommodations, how requests are processed, and, as applicable, how requestors may seek review of decisions where a request has been denied.

The Disability Program has revised the current RA policy, as appropriate, to align with recent updates made to the process and related program guidance, including requirements in EEOC's recently issued revision to Section 501 regulations under the Rehabilitation Act of 1973. The revised policy and procedures were sent to EEOC for approval in FY 2018 and the EEOC provided written comments on February 5, 2019. OHR intends to publish the revised policy and updated procedures, including a Section 508-compliant version, in FY 2019, as feasible. Additional information about the status of this effort is provided in Parts H and J of this report, *infra*.

In addition, the SEC's TMT program provides temporary "accommodations" to employees with short-term medical conditions that may not constitute a covered disability under the Rehabilitation Act of 1973 when supervisory officials and the Disability Program Office determine that it is appropriate. In FY 2016, the Disability Program Office developed and issued a new policy and standard operating procedures to clarify the process and guidelines for the TMT program. Beyond TMT, the SEC also supports a robust telework program, and 93% of the workforce has an active telework agreement. Fifty-six percent of those agreements are for recurring telework schedules and 44% are ad-hoc telework agreements. The SEC provides equipment for teleworking individuals that meet certain criteria. Starting in FY 2017, the SEC provided equipment for all employees who telework three or more days each week and, as needed, for employees with disabilities authorized to telework as a reasonable accommodation.

Periodic Training for Supervisors and Hiring Officials Related to the Hiring, Promotion, and Reasonable Accommodation of Individuals with Disabilities

The SEC currently provides training on the Disability Program to all new managers through the mandatory Leadership Development (LD) 307 *Fundamentals of HR Management* course offered by the Agency's learning office, SEC University (SECU). Through LD 307, the SEC trained new managers and supervisors on Schedule A hiring authority, TMT, and RA to ensure their awareness of their role in hiring and retaining employees with temporary or permanent disabilities.

In-depth, situation-specific training was provided as needed to individual managers who supervise employees with disabilities. Periodic training occurs with each hiring manager that requests to fill a position. The hiring checklist the staffing specialists utilize contains a Schedule A section that is discussed in depth during the one-on-one hiring conversation. The HR specialist trains the hiring manager on the various procedures of the Schedule A hiring process and offers it as a course of action where applicable. The SEC will continue to provide training to supervisors and hiring officials to ensure that they are aware of their responsibilities with regard to hiring and supervising employees with disabilities. The training will cover restrictions on questions related to medical information, Schedule A hiring authorities, SEC's disability accommodation procedures, overlap between the Family Medical Leave Act and the Rehabilitation Act of 1973, and confidentiality requirements.

Hiring and Accommodating Individuals with Disabilities

In FY 2018, the SEC completed the following activities related to hiring and accommodating individuals with disabilities:

- Issued an updated Veterans Employment Program policy, which states that the Agency shall conduct strategic outreach and recruitment to attract a diverse pool of applicants, with special emphasis on the recruitment of qualified veterans, including disabled veterans, as appropriate, and ensure that veteran appointees are notified of their potential eligibility for the disabled veteran leave benefit;
- Hosted a Disability Resources Showcase event to raise awareness about support options available to employees with disabilities. The event featured the following topics: SEC's accommodation program, Section 508 Compliance, disability awareness training options offered by SECU, and the Schedule A hiring authority;
- Hosted the 3rd annual Disability Hiring event to recruit candidates with disabilities in an effort to continue building a pipeline of applicants for future vacancies and educate prospective applicants on the SEC recruitment, hiring, and RA processes;
- Utilized the Schedule A database as a way to hire individuals with disabilities. The Schedule A database acts as an internal pool of potential applicants sorted by title, series, and grade. Hiring specialists use the database to offer potential applicants to hiring managers;
- Processed 112 TMT requests;
- Processed 151 RA requests, of which 38 were requests for telework as a reasonable accommodation;
- Created new RA and TMT request/medical inquiry and agreement forms to facilitate the interactive process and confirm delivery and acceptance of the reasonable accommodation provided; the forms will be used in conjunction with the impending RA/TMT case management system being prepared for rollout in FY 2019.
- Trained all new employees on Work-Life, TMT, RA, and leave programs to ensure awareness of various solutions or flexibilities for employees; and
- Updated OHR's friendly, interactive portal, *AskHR*, on the SEC's intranet. The site provides employees with information about hiring, compensation and benefits, employee development, performance management, and disability accommodations among a number of other topics.

Agency EEO, Diversity and Inclusion, and Leadership Development Accomplishments

In FY 2018, the SEC achieved a number of accomplishments in the areas of EEO, diversity and inclusion, and leadership development, including, but not limited to, the accomplishments listed below.

Outreach and Recruitment of Diverse Talent

Under OMWI's leadership, the SEC pursues a comprehensive strategy for building and maintaining a diverse workforce and fostering an inclusive workplace culture. A key component of that strategy has been outreach and recruitment to develop and maintain a pipeline of diverse talent for future SEC

employment. Though hiring remained limited during FY 2018, the SEC participated in 30 diversity outreach and recruitment events; distributed job advertisements to 265 recruitment sources; and used its relationships with 20 professional associations, educational organizations, and institutions to inform diverse professionals and students about job vacancies and internships.

In addition to outreach and recruitment efforts conducted by OMWI, OHR also took steps to ensure the SEC has a pipeline of talent in the disability and veteran community by:

- Maintaining relationships with key organizations throughout FY 2018. For example, the SEC has partnered with the following organizations: Bender; American Association of People with Disabilities; American Association on Intellectual and Developmental Disabilities; American University Academic Support and Access Center; Campaign for Disability Employment; Deaf and Hard of Hearing Bar Association; Disability Support Services—University of Maryland; Disabled American Veterans; Disaboom; Office of Disability Employment Policy in the U.S. Department of Labor; Office of Disability Services—George Mason University; Professionals with Disabilities; U.S. Business Leadership Network; and the Workforce Recruitment Program.
- Hosting onsite networking events for potential candidates;
- Attending several disability- and veteran-focused career fairs and events; and
- Strengthening partnerships with internal employee affinity groups to bring awareness to SEC personnel regarding disability and veteran hiring initiatives.

Employee Engagement: Employee Affinity Groups

All employees are encouraged to participate in EAGs at the SEC. These groups provide networking, mentoring, and outreach opportunities to interested employees; sponsor cultural and educational programs; and support the SEC's diversity and inclusion efforts. In FY 2018, each group had a SEC Commissioner or Senior Officer as a sponsor and received program support from OMWI or OHR.

Nine EAGs were active in FY 2018:

- African American Council;
- American Indian Heritage Committee;
- Asian American and Pacific Islander Committee;
- Caribbean American Heritage Committee;
- Disability Interests Advisory Committee (DIAC);
- Hispanic and Latino Opportunity, Leadership, and Advocacy Committee (HALO);
- Lesbian, Gay, Bisexual, and Transgender (LGBT) Committee;
- Veterans Committee; and
- Women's Committee.

In FY 2018, EAGs helped to plan, coordinate, and conduct the following SEC-sponsored programs and activities to commemorate special observance heritage or awareness months:

- Hispanic Heritage Month—Guest Speaker: *Jovita Carranza, Treasurer, U.S. Department of Treasury*
- Disability Employment Awareness Month—Guest Speaker: *Sara Hart Weir, President and CEO of National Down Syndrome Society*
- Veterans Day Commemoration—Guest Speaker: *Bradley Warren “Brad” Snyder, Combat-Wounded Naval Officer, Paralympic Champion Swimmer and Author*
- Native American Heritage Month—Guest Speaker: *Keith Harper, Former U.S. Ambassador to the UN Human Rights Council*
- African American History Month—Guest Speaker: *Command Sergeant Major Michael L. Gragg, U.S. Army Center for Initial Military Training*
- Women’s History Month—Guest Speaker: *General Flora D. Darpino, Retired Three-Star U.S. Army General and 39th Judge Advocate General*
- Asian American and Pacific Islander Heritage Month—SEC Career Panel at Headquarters with Guest Speakers: *Mia Yamamoto, Criminal Defense Attorney and co-founder Multicultural Bar Alliance and the Asian Pacific American Bar Association of Southern California (Los Angeles Regional Office); and Rob Buscher, Director of the Philadelphia Asian American Film Festival (Philadelphia Regional Office)*
- Caribbean American Heritage Month—Guest Speaker: *Dr. Winnette McIntosh Ambrose, Chemical Engineer-turned-entrepreneur, creative director, and owner of an artisanal bakery in Washington, DC*
- LGBT Pride Month—Guest Speakers: *Judy and Dennis Shepard, parents of Matthew Shepard (Denver Regional Office); Michael Eselun, Co-founder of GLIDE–Gays and Lesbians Initiating Dialogue for Equality (Los Angeles Regional Office); and Evan Thronburg, Deputy Director of the Philadelphia Office of LGBT Affairs (Philadelphia Regional Office)*

Work-Life Programs

The SEC supports its employees and their family members through an array of work-life programs that includes the Employee Assistance Program, a fitness program, health and wellness units, an on-site child care facility, a child and elder backup care program, and various opportunities to engage with experts to obtain guidance on better managing responsibilities and life events via *WorkLife4You*. The SEC further offered a large spectrum of services to support its employee’s needs and life circumstances by offering 111 live webinars, four supervisory-only webinars, four webinars with subject matter that was developed for parents, and seven seminars.

Federal Employee Viewpoint Survey Results by Demographic Groups

The Federal Employee Viewpoint Survey (FEVS) measures employees' perceptions in a number of important areas, including drivers of employee engagement and diversity and inclusion. Overall, the SEC continues to improve across-the-board on the FEVS. In 2018, all but four core survey items experienced an increase, with three items decreasing by one percentage point, and one item decreasing by five percentage points. In 2018, the SEC achieved a survey response rate of 76%—the second highest response rate among all Medium, Large, and Very Large federal agencies.¹⁰ With respect to results from the 2018 FEVS, the SEC continues to improve across all of the FEVS major indices and core items. For example:

- In the **Global Satisfaction Index**, our positive score of 82% (+1% from 2017) and was the highest score among all Medium, Large, and Very Large agencies.
- In the **New IQ Index (Leader Effectiveness Index)**, our average of 71% (+2% from 2017) tied the SEC with one other agency for second highest among all Medium, large, and very large agencies.
- In the **Employee Engagement Index**, our positive score was 78%, up 1% from 2017.
- The SEC's **Overall FEVS Average** was 74%, up 1% from 2017.

Through improved management practices, the work of EAGs, and collaboration with the National Treasury Employees Union (NTEU), the SEC's FEVS results continue to demonstrate positive impact for its employees. Analysis of the 2018 FEVS results by demographic group indicate that overall, FEVS results remained at our historic high levels in comparison to 2017 among all of our demographic groups: Race (all subpopulations), Supervisory Status (all subpopulations), Gender (both Male and Female results), Age (all subpopulations), and Tenure (all subpopulations). With respect to the Employee Engagement Index, the largest gains came from the following subpopulations: employees "50 years old and over" (+5%), "Two or more Races" (+6%), "Black or African American" (+3%), "Less than 3 years" of tenure (+3%), and "More than 20 years" of tenure (+4%). No subpopulation experienced a significant drop (more than 5% points) from 2017 results.

The Partnership for Public Service annually publishes the rankings for the Best Places to Work (BPTW) in the Federal Government. In 2018, the SEC ranked third out of 27 mid-size agencies. This was an improvement from our fifth place ranking in 2017.¹¹

¹⁰ For purposes of the FEVS, OPM defines a medium size agency as one with 1,000 to 9,999 employees. Source: OPM 2018 Federal Employee Viewpoint Survey: Governmentwide Management Report accessed on 2/15/2019 from opm.gov/fevs/reports/governmentwide-reports/governmentwide-management-report/governmentwide-report/2018/2018-governmentwide-management-report.pdf.

¹¹ The Partnership for Public Service defines a mid-size agency as one with at least 1,000 and not more than 14,999 employees. See *Partnership for Public Service; Best Places to Work; Methodology*, accessed on January 29, 2018 from bestplacestowork.org/about/methodology/.

Training and 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. SECU provided classroom-style and e-Learning programs and offered an extensive array of learning opportunities in technical areas (e.g., courses on Hedge Funds, Mutual Funds, and Credit Derivatives) as well as in leadership development to SEC senior leaders and non-supervisory staff alike. The following section provides information on leadership development focused on specific levels of SEC leadership.

Senior Officers

SECU developed and delivered leadership seminars to the Agency's SOs on leadership best practices. Courses included: *Emotional Intelligence and Understanding Your Behavior Style*, *Leadership Communication*, *Leadership Presence*, *Coaching Skills for Leaders*, and *Dynamics of Teams and Groups*.

SECU also developed and delivered a *Senior Officer Only HR Practices* course (similar to the LD 307 *Fundamentals of Human Resources Management* course), which included a review of the merit principles, prohibited personnel practices, the SEC's selection processes and hiring toolkit, information about the CaRE program (ADR), and key fairness and inclusion expectations for leaders at the SEC.

SK-17 Managers

In FY 2018 SECU expanded its developmental leadership offerings for SEC's second-level supervisors (managers) at the SK-17 level, launching an innovative multi-session leadership cohort program with the George Washington University's Center for Excellence in Public Leadership. Cohort participants learned to support each other, and by extension those they lead, in a structured process of inquiry and peer coaching in which they developed deep listening skills, the ability to ask powerful questions, and increased their ability to engage in generative dialogue for creative problem-solving. Participants looked critically at themselves and their leadership to generate new perspectives and approaches to respond to the challenges they face. The program included small group learning, peer coaching and a 360° feedback tool, which all emphasized the value of individual differences, diversity of perspectives, and working collectively on problems.

SECU also created new topics for its very popular leadership development seminar series for SK-17 leaders. During these virtual 90-minute seminars, regional and headquarters-based managers developed their team-based leadership capabilities and competencies. Presenters from the Georgetown University's Institute for Transformational Leadership led this interactive, four-part series that included: *Building Effective Relationship Networks*, *Developing Trust and Rapport*, *Communicating for Understanding and Influence* and *Diagnosing and Troubleshooting Communication Breakdowns*. Each session was presented with the goal of promoting team leadership skills, increasing interpersonal communication effectiveness, recognizing and valuing individual differences, and treating all team members with respect.

SK-15 Employees

In FY 2018, SECU rolled out a new program called *Thoughtfully Rogue* for SK-15 employees. This two-day training class focused on supporting and increasing innovation and creativity at the first-line supervisor level in the SEC. The cohort experience for this managerial level has been one reason for the program's overwhelming popularity and success. With this offering, SECU now provides specialized, targeted leadership development for all managerial levels at the SEC, thereby emphasizing the importance of leadership skills for all who formally lead others.

All Managers

In FY 2018, SECU developed a full-day class called *Leader as Coach* that was mandatory for management at all levels in the SEC. The course focused on helping managers to provide coaching and feedback to all employees, thereby promoting Agency-wide learning and emphasizing career growth. Managers worked together to discuss a wide variety of case studies and role played to practice listening and providing coaching or feedback. SEC managers spent the day developing an understanding of coaching as a conversation distinct from mentoring, feedback, supervising or consulting with others and increased their knowledge of the basic "moves" of coaching and when to use them. Ninety-eight percent of SEC managers took this course in FY 2018.

In addition to this class, all SEC managers are eligible to receive twelve sessions of private executive coaching. The coaching supports managers as they pause, reflect, and explore new options for their careers and actions. In FY 2018 approximately 10% of managers participated in this executive coaching program.

As a supplement to in-class training and coaching, in FY 2018 SECU published a reading list for all managers. Each of the books was purposefully included to promote the baseline leadership culture of inclusivity and engagement that the SEC is working to maintain. The 2018 book list was available online for free via Books 24/7, and it included the following books: *The Extraordinary Leader* by Joe Folkman and John Zenger, *What Got You Here Won't Get You There* by Marshall Goldsmith, *The Fifth Discipline* by Peter Senge.

Career Development Programs

Among the variety of learning and development offerings, the SEC offered the career development programs described below: *Women in Leadership*, *Excellence in Government (EIG) Fellows*, *Aspiring Leaders*, and *Upward Mobility*.

Women in Leadership

The *Women in Leadership* program is offered under the auspices of the Brookings Institution, which holds the program once a year. Each year, the SEC offers either managers or non-managerial staff the opportunity to participate in this leadership development program in a cohort format.

One cohort is offered to SK-15 and SK-17 supervisors, while another cohort is offered to staff at the SK-14 and SK-16 levels. Through the *Women in Leadership* program, individuals from across federal agencies learn how to strengthen leadership qualities and explore key elements of senior leadership success while maintaining authenticity and balance. The learning objectives of this program include:

- Building self-awareness of workplace behaviors (such as emotional intelligence, resiliency, and communication) and implementing self-directed strategies to promote continued leadership competency;
- Promoting effective relationships and network-building; and
- Understanding individual leadership competency strengths and opportunities for development.

Excellence in Government (EIG) Fellows Program

The *EIG Fellows Program*, coordinated by the Partnership for Public Service, strengthens the leadership skills of experienced federal employees through a combination of innovative coursework, best practices benchmarking, challenging action-learning projects, executive coaching, and government-wide networking. During this competitively-based program, Fellows remain in their full-time jobs, meet every six weeks, and spend approximately two days total in sessions. Fellows also devote up to five hours per week to their results project. This program is offered to employees in the SK-14 to SK-17 (a mix of supervisory and non-supervisory) levels.

In addition to activities with the Partnership for Public Service, SEC's EIG Fellows attend facilitated cohort meetings at SEC Headquarters to share what they are learning and to explore how this information can be applied to improve organizational performance, workplace relationships, and productivity within the SEC.

Aspiring Leaders

The *Aspiring Leaders* program is an interactive blended-learning program designed to strengthen the leadership and management skills of SEC non-supervisory (SK-13 and SK-14) employees. The learning objectives of the program include:

- Applying critical leadership skills necessary for effective supervision;
- Understanding first-line management responsibilities as they relate to *Human Resource Management, Developing People, and Building Effective Relationships*;
- Understanding government policy, process, and regulations relevant to management positions in the federal government; and
- Increasing self-awareness through guided self-assessments and feedback from course instructors.

Upward Mobility

The SEC's *Upward Mobility* program is a two-year program for SEC bargaining unit employees. The training aspect of the program focuses on strengthening the participants' skills in the competencies determined to be most critical for the participant's grade level through several in-person classes at Headquarters, virtual classes, a book club, and one-on-one counseling sessions. Year one of the program focuses on: *Leading Self, Delivering Results, Influencing Others, and Dealing with Change*. Year two provides participants with the opportunity to tie their training, experiences and accomplishments to Agency or business unit projects or programs by completing a capstone project.

Mentoring Pilot

On October 12, 2017, Chairman Clayton solicited input from the workforce to explore ideas for fostering mentorship at the SEC in anticipation of a round-table discussion. On January 17, 2018, SEC Chairman Clayton and all four SEC Commissioners sponsored an Agency-wide Mentoring Roundtable. Over the summer, the SEC successfully launched a pilot mentoring program leading to the first cohort of 30 participants based on work completed by the Agency Diversity Council. The pilot mentoring program received overwhelming interest among employees. The SEC held an orientation session for both mentors and participants on September 28, 2018. Additional information about the mentoring pilot is found in the summary of the analysis of internal competitive promotion to SO and senior grade level positions in Part J of this report, *infra*.

Training on EEO, Diversity & Inclusion, and Team Effectiveness

The SEC also provided training to employees and/or supervisors on the following:

- *Diversity and Inclusion*: SECU continues to offer on-demand, web-based courses as well as classroom training related to diversity and inclusion, including non-conscious bias courses, throughout the year.
- *LD 307 Fundamentals of Human Resource Management*: The SECU facilitated multiple offerings of the Fundamentals of Human Resource Management course during FY 2018, which was offered in-person and virtually. The two-day course covered a broad range of human capital-related topics to educate SEC managers on the Agency's HR policies, statutory, regulatory, and procedural requirements and on federal sector best practices. The SEC's policies on the prevention of workplace violence and whistleblower protections are extensively covered. The course's EEO training module provides fact-based scenarios and video content for discussion and in-depth teaching on the SEC's EEO complaint process.

- *Team Effectiveness*: SECU offers intact team training for supervisors/managers and their teams through a variety of team effectiveness workshops. These workshops are typically two-to-four hours in length, can be taken individually to address a need or to learn about a specific topic or as part of a workshop series, or are custom-designed for a team to address their unique challenges and opportunities. The *Team Effectiveness* workshops offered in FY 2018 by SECU included:

Communication Styles;

Workplace Trust;

Achieving Results;

Feedback as a Performance Tool;

Leading People;

Team Dynamics;

Emotional Intelligence (1.0 and 2.0);

Leading with the Brain in Mind;

Leadership Presence;

Understanding Your Personality at Work (Workplace Big 5 Assessment);

DiSC Behavioral Styles;

Myers-Briggs Type Indicator;

Simple Strategies to Engage Employees;

Difficult Conversations (for supervisors and non-supervisors);

Working in Distributed Teams;

Leader as Coach; and

Vision, Value and Future State.

CERTIFICATION OF ESTABLISHMENT OF CONTINUING EQUAL EMPLOYMENT OPPORTUNITY PROGRAMS (PART F)

EEOC FORM 715-01 PART F	<i>U.S. Equal Employment Opportunity Commission</i> FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT
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CERTIFICATION of ESTABLISHMENT of CONTINUING EQUAL EMPLOYMENT OPPORTUNITY PROGRAMS

I, Peter J. Henry, Director, OEE0/0905/SO-2, am the
 (Insert name above) (Insert official title/series/grade above)
 Principal EEO Director/Official for the U.S. Securities and Exchange Commission
 (Insert Agency/Component Name above)

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

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


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

March 23, 2019


 Signature of Principal EEO Director/Official Date

Certifies that this Federal Agency Annual EEO Program Status Report is in compliance with EEO MD-715.

March 24, 2019


 Signature of Agency Head or Agency Head Designee Date

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AGENCY EEO PLAN TO ATTAIN THE ESSENTIAL ELEMENTS OF A MODEL EEO PROGRAM (PART H)

Please describe the status of each plan that the agency has implemented to correct deficiencies in the EEO program.

If the agency did not address any deficiencies during the reporting period, please check the box.

STATEMENT OF MODEL PROGRAM ESSENTIAL ELEMENT DEFICIENCY

Section I:

Agency's Procedures for Reasonable Accommodation

Type of Program Deficiency	Brief Description of Program Deficiency
Agency's procedures for reasonable accommodation.	Currently, the SEC has not met the goal of processing 90% of accommodation requests within the time frame set forth in the Agency's procedures for reasonable accommodation.

Objective(s) and Dates for EEO Plan

Date Initiated (mm/dd/yyyy)	Objective	Target Date (mm/dd/yyyy)	Modified Date (mm/dd/yyyy)	Date Completed (mm/dd/yyyy)
10/01/2016	Establish a process that allows the SEC to confirm that 90% of accommodation requests are processed in the time frame identified in the SEC's reasonable accommodation procedures.	09/30/2019		

Responsible Official(s)

Title	Name	Performance Standards Address the Plan? (Yes or No)
Chief Human Capital Officer, OHR	Jamey McNamara	Yes

Planned Activities Toward Completion of Objective

Target Date (mm/dd/yyyy)	Planned Activities	Sufficient Funding & Staffing? (Yes or No)	Modified Date (From) (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)
09/30/2019	In FY 2019, the Disability Program will continue to pursue automation of the reasonable accommodation process to meet the 90% benchmark. The plan is to improve the efficiency and effectiveness of the reasonable accommodation program by improving the technology system and standard operating procedures used to submit, track, and report on requests for reasonable accommodation and to maintain information about reasonable accommodations provided.	Yes		
09/30/2019	This system will also allow the SEC to assess and analyze trends that occur in the Agency that warrant increased outreach and education efforts with managers and/or employees.	Yes	09/30/2018	

Report of Accomplishments

Fiscal Year	Accomplishments
FY 2018	<p>In FY 2017, the SEC designed business requirements to implement an electronic case management system that would allow employees to request reasonable accommodations personally and privately. In FY 2018, a decision was made to delay the implementation of this case management system because of competing OHR priorities; this program is, however, a top priority in FY 2019.</p> <p>At the same time, early in FY 2017, OHR strengthened the manual tracking process while defining the business requirements for the electronic system. Through use of Excel pivot tables and other formulas, OHR now tracks timeliness for processing reasonable accommodation requests. The Disability Program Manager meets on a monthly basis with the Chief Human Capital Officer to review and discuss timeliness and processing of all Reasonable Accommodation (RA) cases. The current processing timeliness rate, excluding the provision of Adjustable Height Tables (AHTs), is 72%. While this is an improvement over the FY 2016 rate, the rate remained the same in both FY 2017 and FY 2018.</p> <p>RA accountability and efficiencies continue to improve overall program effectiveness. For example, the data revealed emerging trends relative to requests for AHTs as a reasonable accommodation. Consequently, the process was streamlined to address varying types of AHT workstations that could be offered to employees. These process updates improved the timeliness rate for AHT requests. In FY 2018, SEC processed and closed out 46 RA requests for AHT and met or exceeded the 20-day processing timeline on 78% of those requests. By the end of FY 2019, the SEC plans to finalize the RA electronic system, conduct user acceptance testing, and begin training the SEC workforce on the new interactive RA requests processing portal. This automation will simplify RA case tracking, help identify systemic delays, and improve customer service and timeliness. The RA policy is being revised to ensure it is concise and transparent.</p> <p>OHR submitted the revised RA policy to the SEC in May 2018, and it is currently being reviewed by the EEOC. The disability program used the regulations and guidance set by the EEOC to create the draft policy and revised policy-related materials to capture updates to the program.</p> <p>Once the policy is final and the new electronic case management system is being implemented, the Agency will take action to enhance RA procedures and post policy and procedures for internal review and reference. Additional training of program staff, managers, and employees will be planned to support the new system.</p>

AGENCY EEO PLAN TO ELIMINATE IDENTIFIED BARRIER (PART I)

Please describe the status of each plan that the agency implemented to identify possible barriers in policies, procedures, or practices for employees and applicants by race, ethnicity, and gender.

If the agency did not conduct barrier analysis during the reporting period, please check the box.

STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER

Section I:

Analysis of Internal Competitive Promotion to SO and Senior Grade Level Positions

Source of the Trigger	Specific Workforce Data Table	Narrative Description of Trigger
Analysis of internal competitive promotion to Senior Officer and senior grade level positions	Tables A9 and B9 Tables A11 and B11	In an August 7, 2014, letter to the SEC, the EEOC noted that the SEC should evaluate whether "women overall, Hispanic females, and Asian females may be encountering a glass ceiling as they seek promotion to SO [senior officer] positions" or "are bottlenecking at certain grade levels in their occupations."

EEO Group(s) Affected by Trigger

EEO Group	
All Men	
All Women	X
Hispanic or Latino Males	
Hispanic or Latino Females	X
White Males	
White Females	X
Black or African American Males	
Black or African American Females	X
Asian Males	
Asian Females	X
Native Hawaiian or Other Pacific Islander Males	
Native Hawaiian or Other Pacific Islander Females	X
American Indian or Alaska Native Males	
American Indian or Alaska Native Females	X
Two or More Races Males	
Two or More Races Females	X

Barrier Analysis Process

Sources of Data	Source Reviewed? (Yes or No)	Identify Information Collected
Workforce Data Tables	Yes	<p>Workforce demographic data for FY 2011 – FY 2015</p> <p>Applicant flow data for new hires and promotion to SK-15 to SO levels for the period FY 2011 – FY 2015</p> <p>Selection case files (hiring and promotions) for the second half of FY 2014 and the first half of FY 2015</p> <p>Resumes submitted by female applicants for hire or promotion to SK-15, SK-17, and SO positions compared to those submitted by successful male candidates</p>
Complaint Data (Trends)	Yes	EEO complaint activity filed between FY 2012 – FY 2015 to identify any complaints filed by applicants for SK-15, SK-17 and SO positions
Grievance Data (Trends)	No	
Findings from Decisions (e.g., EEO, Grievance, MSPB, Anti-Harassment Processes)	No	Not applicable.
Climate Assessment Survey (e.g., FEVS)	Yes	<p>Federal Employee Viewpoint Survey (FEVS) data on indices and items related to promotion, recruiting, and hiring</p> <p>Female employees' responses to a survey conducted by a vendor in July 2014 regarding promotions at the SEC</p> <p>Female employees' responses on promotions and related content from a <i>Workplace Experience Survey</i> conducted by OEEEO during FY 2018 as part of SEC's barrier analysis work</p>
Exit Interview Data	Yes	Employee survey data from the Agency's exit survey to understand better the reasons for voluntary separation among women
Focus Groups	Yes	Data from 14 focus group interviews with 72 female supervisors and managers at the SK-15 to SO levels about their experiences and career development at the Agency
Interviews	Yes	<p>Interviews with subject matter experts in the SEC's OHR and OMWI</p> <p>Interviews with hiring officials and female candidates about their experiences with the hiring and promotion process</p>
Reports (e.g., Congress, EEOC, MSPB, GAO, OPM)	Yes	<p>Audit reports regarding personnel management at the SEC based on research from the Government Accountability Office</p> <p>EEOC's technical assistance letters provided in response to the SEC's annual EEO program status report</p>
Other (Please Describe)	Yes	<p>Research literature, formally established policies related to promotion of SOs at the SEC, and reports to understand promotion and hiring processes better</p> <p>Information about best practices in recruiting female leaders in the federal government and private industry</p>

Status of Barrier Analysis Process

Barrier Analysis Process Completed? (Yes or No)	Barrier(s) Identified? (Yes or No)
No	No

Statement of Identified Barrier(s)

Description of Policy, Procedure, or Practice
<p>OEE0, OHR, and OMWI agreed to take action toward enhancing equal employment opportunity for women seeking leadership positions to address the following areas requiring improvement:</p> <ul style="list-style-type: none"> • A perception that the work demands of leadership roles limit the viability of using work-life flexibilities, including telework; • Formal or informal mentoring programs that would facilitate the development and visibility of interested employees; • Consistency and structure in the posting, screening, and interview processes for selection; and • Succession planning for future vacancies to develop potential successors and encourage consideration of a diverse pool of candidates for leadership positions.

Objective(s) and Dates for EEO Plan

Objective	Date Initiated (mm/dd/yyyy)	Target Date (mm/dd/yyyy)	Sufficient Funding & Staffing? (Yes or No)	Modified Date (From) (mm/dd/yyyy)	Date Completed (mm/dd/yyyy)
<p>As of September 30, 2018, the following activities were identified as needing further study as part of monitoring Agency action from this study:</p> <ul style="list-style-type: none"> • Review the quality of information and documentation on interviews and selections for leadership positions. • Analyze newly available data from interview and selection documentation to monitor progress on responsive action from this study. 	08/14/2014	08/16/2019	Yes	09/30/2018	

Responsible Official(s)

Title	Name	Performance Standards Address the Plan? (Yes or No)
Chief Human Capital Officer, OHR	Jamey McNamara	Yes
Director, OMWI	Pamela Gibbs	Yes
Director, OEE0	Peter J. Henry	Yes

Planned Activities Toward Completion of Objective

Target Date (mm/dd/yyyy)	Planned Activities	Modified Date (From) (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)
11/30/2017	OEEO will conduct a <i>Workplace Experience Survey</i> of the Agency workforce to explore employee perceptions of, among other topics, promotional opportunity, recruitment, and hiring for leadership positions. This action was completed on November 6, 2017.		11/6/2017
03/31/2018	The Agency will solicit stakeholder input for the design of a mentoring program. This action was completed on February 28, 2018.		02/28/2018
09/30/2018	OHR will monitor leadership bench strength against metrics established by the <i>SEC Human Capital Strategic Plan for FY 2016 – FY 2018</i> , continue to encourage strategic conversation between hiring managers and HR specialists when considering hiring options, and monitor compliance with <i>Requirements for Screening and Interviewing Job Candidates</i> (PM-2016-001) and participation in training by employees directly involved in the selection process. This action was completed by September 30, 2018.		09/30/2018
09/30/2018	OHR and OMWI will explore continued enhancements to the SEC's leadership development programs, including additional opportunities to foster diversity among SEC employees preparing for senior level positions. This action was completed by September 30, 2018.		09/30/2018
09/30/2018	OMWI will continue to target recruiting to attract women and minorities, including Hispanic, Asian, and African American women, as applicants for leadership positions. This action was completed by September 30, 2018.		09/30/2018
08/16/2019	OEEO will continue to monitor the data that triggered this analysis along with additional quantitative and qualitative data related to employee perceptions of promotion and leadership opportunities, participation in and perceptions of telework, and participation rates and data or documentation of the interviewing and selection stages when filling leadership positions.	09/30/2018	

Report of Accomplishments

Fiscal Year	Accomplishments
FY 2018	<p>In FY 2018, the SEC accomplished the following:</p> <ol style="list-style-type: none"> 1. OEEO conducted a <i>Workplace Experience Survey</i> of the Agency workforce to explore employee perceptions of, among other topics, promotional opportunity, recruitment, and hiring for leadership positions. The survey was conducted between October 11, 2017, and November 6, 2017. OEEO analyzed 1,360 responses and narrative comments from 469 employees. Survey responses demonstrate significant improvement in employee perception of promotional opportunity at the Commission and recognition of steps taken to improve the standardization and transparency of posting opportunities for promotion and detail opportunities. Across six items specific to promotions replicated from a survey conducted in 2014, the average increase in percent favorable results was 16.5% points. 2. The Commissioners and the Chairman gathered information and hosted two round-table discussions focused on diversity and inclusion related issues. <p>On October 12, 2017, Chairman Clayton solicited input from the workforce to explore ideas for fostering mentorship at the SEC in anticipation of the first round-table discussion. On January 17, 2018, SEC Chairman Clayton and all four SEC Commissioners sponsored an Agency-wide mentoring roundtable. This roundtable featured SEC leaders, as well as a senior level director from the Federal Deposit Insurance Corporation, a partner from a law firm, and the Associate Director of the Inclusiveness Center of Excellence from the Americas division in one of the four largest public accounting firms. A more general diversity and inclusion session was hosted by the Chairman on February 28, 2018, as part of African American History Month celebrations. This session included SEC panelists and two invited guests, Managing Directors at legal firms focused on the financial industry. One of these guests was a former director of the Securities Industry and Financial Markets Association.</p> 3. In summer 2018, the SEC successfully launched a pilot mentoring program leading to the first cohort of 30 participants who will receive mentoring throughout FY 2019. The pilot mentoring program received overwhelming interest among employees. In total, 142 employees submitted a statement of interest in the program. Among them, 71.1% were women, 25.4% were Black or African American women, 2.1% were Hispanic women, and 12.0% were Asian women. On a first-come, first-serve basis, 30 participants were accepted into the mentoring program and matched with volunteer mentors with deep technical expertise and/or leadership experience. The 30 participants include 75.9% women and 51.7% minorities, including eight (27.6%) Black or African American women and four (13.8%) Asian women. The SEC held an orientation session for both mentors and participants on September 28, 2018, and will hold formal events throughout FY 2019 to help guide the mentoring relationship toward success. 4. OHR and OMWI continued to make significant enhancements to the SEC's leadership development programs. As described above in Part E and later in Part J Section IV, the SEC added to the offerings within its leadership development program. The actions described below help to inform the design and administration of career development programs and content that will support women overall, Hispanic women, and Asian women interested in pursuing advancement to SO. <ul style="list-style-type: none"> • Late in FY 2017, OHR conducted a Leadership Interest Survey to gather data from all SK-15 and SK-17 managers. Survey data from both men and women in SEC management were analyzed in early FY 2018 to inform SECU's leadership development offerings going forward. • OHR developed and collaborated with NTEU to finalize a Competency Assessment Survey to inform workforce planning efforts and shape the future of SEC-wide training and development programs. The survey was launched in September 2018, and data collection continued into the new fiscal year. • OHR's Human Capital Strategy group began a long term, multi-year planning effort for a leadership development program similar to the SES Candidate Development Programs offered by other federal agencies. This program will support the technical and core competency development for cohorts of employees seeking leadership positions, including those interested in the SO leadership ranks. 5. Within the constraints of the hiring freeze that continued in FY 2018 from FY 2017, OMWI targeted its recruiting efforts to attract women and minorities, including Hispanic, Asian, and African American women, as applicants for leadership positions. 6. OEEO monitored the data that triggered this analysis along with additional quantitative and qualitative data related to employee perceptions of promotion and leadership opportunities, participation in and perceptions of telework, and participation rates and data or documentation of the interviewing and selection stages when filling leadership positions. In support of data monitoring, OEEO: <ul style="list-style-type: none"> • Leveraged successes from the development of the EEO-AT in FY 2017 to develop a series of workforce data summary tools to assess progress in enhancing promotional opportunity for women and minority women into leadership positions. • Reviewed data on employee perceptions about and use of telework across the Agency and by employees at all leadership levels for evidence of greater openness to flexible work arrangements. • Received and prepared to review available paper record documentation of selections made in FY 2017 and FY 2018 for internal competitive promotions to leadership positions at the SK-15, SK-17, and SO levels.

Fiscal Year	Accomplishments
FY 2017	<p>Since 2013, OMWI has leveraged the participation of female SOs as well as other employees for all of its outreach events. OMWI will continue to include this as an element of its multi-prong strategy to enhance diversity at the SEC. As of September 30, 2017, through strong partnership across the Commission, and in particular, among representatives from OEEO, OHR, OMWI, and the Diversity Council, the Agency implemented a number of actions to improve equal employment opportunity. These actions included the following:</p> <ol style="list-style-type: none"> 1. Monitoring the bench strength of talent in line to take on leadership positions and using an interest survey and competency-based data to inform leadership development programming through SECU; 2. Starting in the fall of 2017, exploring options for a mentorship program; 3. More consistently posting internal detail and permanent vacancy postings for leadership positions, including SO positions, on the main page of the intranet and in the Agency's internal communications vehicle, <i>SEC Today</i>; 4. Publishing the revised policy on <i>Requirements for Screening and Interviewing Job Candidates</i> that requires documentation for each hiring action for both staff level and leadership positions; 5. Continuing to leverage OHR's expertise in the design and implementation of structured interviews for SO positions; 6. Conducting training for all employees and, more specifically, mandatory training for anyone involved in the hiring and/or promotion process; 7. Increasing the quality of interaction between HR specialists and hiring managers toward more strategic conversation, greater use of selection best practices, and more consistently providing feedback to unsuccessful candidates who applied for leadership positions; 8. Continuing to evaluate applicant flow data for internal and external hiring to determine progress towards removing potential barriers for women and minorities seeking leadership positions; 9. Maintaining active participation of OEEO and OMWI in the development and implementation of the Agency's <i>Human Capital Strategic Plan</i>; 10. Targeting recruiting efforts to attract talented women and minorities to apply for SO and other leadership positions; and 11. Working with the Chairman, the Commissioners, the Diversity Council, employees, and managers in support of efforts to promote equality of opportunity and diversity at the Agency.

STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER

Section II:

Analysis by Gender of Applicants to MCO Positions

Source of the Trigger	Specific Workforce Data Table	Narrative Description of Trigger
Analysis by gender of applicants, on rolls, and new hires to Mission Critical Occupations (MCOs)	Tables A6, A7, and A8	Female applicants for employment with the SEC, and in particular, for the mission critical occupations (accountant, securities compliance examiner, and economist) were hired at a lower rate than their representation in the respective OCLF. More specifically, there was lower participation among women than men at specific stages of the hiring process: application, qualification, referral, and selection.

EEO Group(s) Affected by Trigger

EEO Group	
All Men	
All Women	X
Hispanic or Latino Males	
Hispanic or Latino Females	X
White Males	
White Females	X
Black or African American Males	
Black or African American Females	X
Asian Males	
Asian Females	X
Native Hawaiian or Other Pacific Islander Males	
Native Hawaiian or Other Pacific Islander Females	X
American Indian or Alaska Native Males	
American Indian or Alaska Native Females	X
Two or More Races Males	
Two or More Races Females	X

Barrier Analysis Process

Sources of Data	Source Reviewed? (Yes or No)	Identify Information Collected
Workforce Data Tables	Yes	<p>Workforce data tables and participation rates for women in these MCOs from FY 2013 – FY 2018</p> <p>Applicant flow data and new hire data from FY 2013 – FY 2017 for each MCO</p> <p>Benchmark data available from the Census Bureau that provide more detail into the participation of women in the civilian labor force</p>
Complaint Data (Trends)	Yes	Data in EEO complaints filed between FY 2013 – FY 2017 to identify any complaints filed by women who applied for economist, accountant, or securities compliance examiner positions
Grievance Data (Trends)	No	
Findings from Decisions (e.g., EEO, Grievance, MSPB, Anti-Harassment Processes)	No	Not applicable.
Climate Assessment Survey (e.g., FEVS)	Yes	<p>Employee survey data from the Agency's quality of hire survey related to recruiting and hiring</p> <p>Federal Employee Viewpoint Survey (FEVS) data on indices and items related to recruiting and hiring</p> <p>Female employees' responses to a <i>Workplace Experience Survey</i> conducted at the SEC during FY 2018 regarding recruiting and hiring</p> <p>Employee survey data from the Agency's exit survey to understand better the reasons for voluntary separation among women</p>
Exit Interview Data	Yes	Employee data from the Agency's exit survey to understand better the reasons for voluntary separation among women
Focus Groups	Yes	Focus group interviews with Regional Office leaders about the procedures and practices for recruiting and hiring process support
Interviews	Yes	<p>Interviews with subject matter experts in OHR and OMWI about recruiting and hiring</p> <p>Interviews with Diversity and Inclusion leadership at the "Big Four" public accounting firms (i.e., Deloitte, EY, KPMG, and PwC)</p> <p>Individual interviews with Agency leaders at the headquarters location about the procedures and practices for recruiting and hiring process support</p>
Reports (e.g., Congress, EEOC, MSPB, GAO, OPM)	Yes	Data definitions and potential benchmark information from the Census Bureau and OPM defining population data for these MCOs in the civilian labor force and the federal workforce
Other (Please Describe)	Yes	<p>More than 800 resumes submitted by applicants during FY 2015 for MCO positions</p> <p>Position descriptions and vacancy announcements for the targeted MCOs</p> <p>Research literature, formally established policies, collective bargaining agreement language, and reports to understand recruiting and hiring processes better</p> <p>Information about best practices in recruiting female applicants for employment in the federal government and private industry</p>

Status of Barrier Analysis Process

Barrier Analysis Process Completed? (Yes or No)	Barrier(s) Identified? (Yes or No)
No	No

Statement of Identified Barrier(s)

Description of Policy, Procedure, or Practice
<p>On the basis of the analytic work, OEEO did not identify any specific barriers that directly impede Agency from hiring women into these MCOs. OEEO's analysis suggests the following will have measurable impact on the recruitment and hiring of women into these MCOs:</p> <ul style="list-style-type: none"> • Adopting process improvements to help ensure high quality decision-making at the referral stage of the application process; • Increasing early career recruitment (at lower earnings or SK-levels) to access candidate pools with greater gender diversity, consistent with operational needs.

Objective(s) and Dates for EEO Plan

Objective	Date Initiated (mm/dd/yyyy)	Target Date (mm/dd/yyyy)	Sufficient Funding & Staffing? (Yes or No)	Modified Date (From) (mm/dd/yyyy)	Date Completed (mm/dd/yyyy)
The Agency will identify actions to enhance equality of opportunity in the application process for these MCOs.	03/01/2016	10/18/2019	Yes	07/31/2018	

Responsible Official(s)

Title	Name	Performance Standards Address the Plan? (Yes or No)
Director, OEEO	Peter J. Henry	Yes
Chief Human Capital Officer, OHR	Jamey McNamara	Yes
Director, OMWI	Pamela Gibbs	Yes

Planned Activities Toward Completion of Objective

Target Date (mm/dd/yyyy)	Planned Activities	Modified Date (From) (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)
11/30/2017	OEEO will conduct a <i>Workplace Experience Survey</i> of the Agency workforce to explore, among other topics, employee perceptions of recruitment and hiring. This action was completed by November 6, 2017.		11/06/2017
12/31/2017	In collaboration with other Agency stakeholders, OEEO will gather data that help to review and prioritize potential actions for improvement. This action was completed by December 31, 2017.		12/31/2017
04/15/2018	OEEO will integrate and interpret quantitative and qualitative data to establish evidence for any areas for improvement. This action was completed by October 31, 2018.		10/31/2018
12/31/2018	OEEO will hold meetings and present leadership briefings to share the research summary from this study. These briefings form the basis for action planning. This action was completed by November 30, 2018.		11/30/2018
09/30/2019	To the extent areas of improvement in recruiting and hiring processes are found, the SEC will begin to develop an action plan to help foster equal employment opportunity.	05/31/2018	
10/18/2019	OEEO will begin to design an evaluation plan to monitor results based on the work completed in this study.	06/30/2018	

Report of Accomplishments

Fiscal Year	Accomplishments
FY 2018	<p>During FY 2018, OEEO concluded the planned data collection and made significant progress in the interpretation of data gathered in this study. The following provides detail about OEEO's analytic work.</p> <ol style="list-style-type: none"> 1. OEEO conducted a <i>Workplace Experience Survey</i> of the Agency workforce to explore employee perceptions of, among other topics, recruitment and hiring for mission critical positions. OEEO analyzed 1,360 responses and narrative responses from 469 employees. Analyses compare male and female responses on a variety of index and item level results. Among the respondents were: <ul style="list-style-type: none"> • 219 responses from employees who self-identified as accountants, 23.9% of the total population of permanent and temporary accountants on rolls. Narrative comments were received from 75 accountants. • 26 responses from employees who self-identified as economists, 25.5% of the total population of permanent and temporary economists on rolls. Narrative comments were received from eight economists. • 86 responses from employees who self-identified as securities compliance examiners, 25.7% of the total population of securities compliance examiners on rolls. Narrative comments were received from 26 securities compliance examiners. 2. OEEO conducted a series of individual and group interviews with SEC leadership in Divisions and Offices that employ accountants, economists, and securities compliance examiners focused on recruitment and hiring procedures and practices at the Agency. Thirty-two leaders participated in these interviews. Interview data described the practices that were more successful in ensuring equality of opportunity across the stages of the SEC's hiring process. 3. OEEO's data team investigated available benchmark data to understand better the participation rate of women among applicants to MCOs. Beyond the EEO Tabulation, we researched and summarized data from: <ul style="list-style-type: none"> • the Public Use Microdata Sample (iPUMS) that allowed filtering within occupation by industry, sector, subsector, and earnings for trends across years more recent than 2010; • FEDScope data on federal accountants, economists, and financial examiners employed by Agency and salary data; • Prior reporting from the EEOC and the GAO on women and minorities in the financial sector in the management and professional ranks; • O*Net information about the educational background of accountants; and • EEO-1 data on women and men in professional occupations in the financial sector. 4. OEEO used a series of self-service workforce data summary tools to review data on the demographic composition within these specific occupations of the entire workforce, newly hired staff, AFD, and separations by critical organizational characteristics. 5. OEEO investigated more fully applicant flow data (AFD) over the five year period from FY 2013 through FY 2017. AFD demonstrate the important effect of posting options and targeted recruitment on the referral of women in these occupations. In comparison to AFD from postings for more targeted recruitment, postings open to the public for all U.S. citizens to apply experienced a steeper decline in the participation rate of women between those deemed qualified and those referred for hiring manager consideration. 6. Social science research on decision making and behavioral economics suggested areas in which the Agency can do more to help men and women demonstrate their qualifications when applying for mission critical positions. 7. Data for this study were compiled and presented to SEC leadership in a series of briefing sessions to share summary research results in which more than 30 senior leaders across the Agency participated. <p>Within the constraints of the hiring freeze that continued from FY 2017, OMWI worked to target recruiting to attract women and minorities into MCOs, including female accountants, economists, and securities compliance examiners.</p>

Fiscal Year	Accomplishments
FY 2017	<p>OEE0 conducted structured research activities to explore the data, including:</p> <ul style="list-style-type: none"> • Developing and implementing procedures and process to conduct qualitative coding and analysis methods for interview and resume data; • Borrowing root cause analysis methods from the Lean Six Sigma and Continuous Improvement research tradition to explore alternative explanations related to observed triggers; • Investigating the critical steps in the Agency's recruiting and hiring processes using structured questioning methods suggested by EEOC guidance that help support root cause identification. <p>OEE0 analyzed workforce and other quantitative data as well as summarized data from resume and document reviews, interviews, and focus groups. Quantitative and qualitative data revealed the following:</p> <ul style="list-style-type: none"> • The proportions of women applying for consideration in these MCO remain below the 2010 occupational CLF over the five year period analyzed from FY 2013 through FY 2017; • There was an increase in the proportions of women tentatively selected as compared to those referred for hiring manager consideration across the time period reviewed for particular MCO positions; and • Hiring managers and those involved in recruiting for MCO positions could benefit from having approved language or materials available for use in recruiting talented women to the Agency's MCO positions. <p>OEE0 designed a <i>Workplace Experience Survey</i> to gather employee perceptions of several topics, including recruitment and hiring. OEE0 will use results from these survey data in combination with the data already gathered to inform recommendations for Agency consideration.</p> <p>OMWI conducted outreach at colleges/universities with a high population of female students and participated in career and branding events to increase the female candidate talent pool. In FY 2017, OMWI participated in career fairs at numerous colleges/universities.</p>
FY 2016	<p>OEE0 analyzed, applicant flow data on a quarterly basis. OEE0 reviewed relevant written policies and established procedures affecting the employment of women, and in particular, the employment of women in major occupations.</p> <p>The SEC partnered with the National Society of Compliance Professionals (NSCP) to post vacancy announcements and also participated in their annual conference hosting a Career Panel.</p> <p>OMWI conducted outreach at colleges/universities with a high population of female students and participated in career and branding events to increase the female candidate talent pool. In FY 2016, OMWI participated in career fairs at the following colleges/universities with high female student populations:</p> <ul style="list-style-type: none"> • Wellesley College Fair: 2/26/16 • Trinity Washington University On-Campus Recruitment: 4/22/16 • Boston College 2016 Fall Career and Internship Fair: 9/13/16 • Montclair State University Accounting Career Fair: 9/15/16 • Alabama State University Career Fair: 9/29/16

STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER

Section III:

Analysis of Discretionary Cash and Time-Off Awards

Source of the Trigger	Specific Workforce Data Table	Narrative Description of Trigger
Analysis of discretionary cash and time-off awards data	Tables A13 and B13	<p>The distribution of discretionary cash and time off awards, in both the number and amount, show differences for specific demographic groups, including men, women, employees in specific race and ethnic groups, and employees with disabilities.</p> <p>In FY 2014, females were given more time-off awards than males (approximately 52% to females and 48% to males) and males received more cash awards (between 51% and 55%) than females. For cash awards of \$501 or more, males received an average award of \$1,580 while females received an average award of \$1,422. Members of some minority groups received lower cash awards compared to other demographic groups.</p> <p>Cash awards in FY 2014 for individuals with disabilities were, on average, \$1,120.</p>

EEO Group(s) Affected by Trigger

EEO Group	
All Men	X
All Women	X
Hispanic or Latino Males	X
Hispanic or Latino Females	X
White Males	X
White Females	X
Black or African American Males	X
Black or African American Females	X
Asian Males	X
Asian Females	X
Native Hawaiian or Other Pacific Islander Males	X
Native Hawaiian or Other Pacific Islander Females	X
American Indian or Alaska Native Males	X
American Indian or Alaska Native Females	X
Two or More Races Males	X
Two or More Races Females	X

Barrier Analysis Process

Sources of Data	Source Reviewed? (Yes or No)	Identify Information Collected
Workforce Data Tables	Yes	Workforce data tables, especially Tables A13 and B13 from the FY 2012 – FY 2017 MD-715 reports
Complaint Data (Trends)	Yes	EEO complaints filed between FY 2012 – FY 2017 where the distribution of awards was an issue raised
Grievance Data (Trends)	Yes	Grievances filed between FY 2013 and FY 2017 on actions related to discretionary cash and time-off awards
Findings from Decisions (e.g., EEO, Grievance, MSPB, Anti-Harassment Processes)	No	Not applicable.
Climate Assessment Survey (e.g., FEVS)	Yes	Employee survey data from the Agency's FEVS on indices and items related to recognition and awards <i>Workplace Experience Survey</i> responses related to recognition and awards
Exit Interview Data	Yes	Employee survey data from the Agency's exit survey to understand the relationship between awards and retention
Focus Groups	Yes	Group interviews with regional leadership that included discussion of awards and recognition practices and procedure
Interviews	Yes	Interviews with subject matter experts in OHR and Office of Financial Management Individual interviews with Division and Office leaders that included discussion of their awards and recognition practices
Reports (e.g., Congress, EEOC, MSPB, GAO, OPM)	Yes	Reports from the Agency's Office of Inspector General (OIG), OHR, and from the Government Accountability Office (GAO) detailing prior analyses of personnel management practices, including those related to employee recognition and awards
Other (Please Describe)	Yes	Distribution of discretionary time-off and cash awards documented in the Federal Personnel Payroll System from FY 2013 – FY 2017

Status of Barrier Analysis Process

Barrier Analysis Process Completed? (Yes or No)	Barrier(s) Identified? (Yes or No)
No	No

Statement of Identified Barrier(s)

Description of Policy, Procedure, or Practice
No barrier has been identified.

Objective(s) and Dates for EEO Plan

Objective	Date Initiated (mm/dd/yyyy)	Target Date (mm/dd/yyyy)	Sufficient Funding & Staffing? (Yes or No)	Modified Date (From) (mm/dd/yyyy)	Date Completed (mm/dd/yyyy)
Identify and present action options for Agency consideration to help address observed group differences in the Agency's employee recognition program	03/16/2016	01/31/2020	Yes	09/30/2018	

Responsible Official(s)

Title	Name	Performance Standards Address the Plan? (Yes or No)
Director, OEEO	Peter J. Henry	Yes
Chief Human Capital Officer, OHR	Jamey McNamara	Yes

Planned Activities Toward Completion of Objective

Target Date (mm/dd/yyyy)	Planned Activities	Modified Date (From) (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)
11/30/2017	OEEO will conduct a <i>Workplace Experience Survey</i> of the Agency workforce to explore employee perceptions of recognition and awards. This action was completed by November 6, 2017.		11/06/2017
12/31/2017	OEEO will integrate and interpret quantitative and qualitative data, statistical results, trends across years, root causes, and identified triggers. This action was completed by July 31, 2018.		07/31/2018
03/31/2018	OEEO will expand statistical analysis and trends over time to cover discretionary cash and time-off awards distribution, to consider other discretionary awards (e.g., gift cards), and to consider how different variables may interact in their effects on groups of employees. This action was completed by September 27, 2018.		09/27/2018
06/30/2019	OEEO will work to summarize and interpret the research results listed above as the basis for identifying any areas of opportunity for improvement in ensuring equal employment opportunity in the Agency's employee recognition program.		
11/01/2019	To the extent areas of improvement in recognition and awards processes are found, the SEC will begin to develop an action plan to help foster equal employment opportunity.	07/31/2018	
01/31/2020	OEEO will begin to design an evaluation plan to monitor results based on the work completed on this study.	09/30/2018	

Report of Accomplishments

Fiscal Year	Accomplishments
FY 2018	<p>The following provides detail about OEE0's analytic work conducted in FY 2018 in support of this analysis.</p> <ol style="list-style-type: none"> 1. OEE0 conducted a <i>Workplace Experience Survey</i> of the Agency workforce to explore employee perceptions of, among other topics, recognition and retention. The survey was conducted between October 11, 2017 and November 6, 2017, and generated 1,360 responses for analysis. OEE0's analyses compared responses from those who self-identified as belonging to different employee groups on a variety of index and item level results, including results specific to awards, recognition, and retention. 2. OEE0 analyzed the number and percent of EEO complaints filed regarding the issue of awards between FY 2013 and FY 2017. Results from the small volume of such complaint activity include a disproportionate number from African American employees. The small sample sizes included limit the reliability and conclusions to be drawn from these data. 3. In FY 2018, OEE0 expanded the statistical analyses conducted in FY 2017 to understand the incidence rate across groups, including non-recipients, in addition to exploring the differences observed among award recipients. Additional statistical modeling or analysis improved understanding of the effects of: timing, frequency, differences in practices for individual versus group awards, procedural guidance, and interactions between Division or Office practices on discretionary cash and time off awards to employees in various demographic groups. 4. OEE0 reviewed data from the Agency's gift card program since its inception in FY 2016 to understand how this more informal recognition program may differ from other parts of the Employee Recognition Program in relation to the research described here. 5. OEE0 gathered qualitative data from individual and group interviews about the practices and procedures followed in different Divisions and Offices related to awards and recognition.
FY 2017	<p>During FY 2017, OEE0 conducted a series of analyses on the distribution of discretionary cash and time off awards. This set includes review of:</p> <ul style="list-style-type: none"> • Statistical analyses of the overall distribution of and multiple regression results predicting cash and time-off awards across FY 2013 – FY 2016 to explore the contribution of gender, race/ethnicity, disability, and age that may influence award distributions beyond the effects of known organizational characteristics, e.g., pay band or SK-level; • Analysis to understand the trends over time, to investigate more complex or interaction models, and to investigate the influence of budgetary limits on award distribution; • The perceptions of staff about the employee recognition program; and • Research literature, formally established policies, collective bargaining agreement language, and reports to understand recognition and award processes better. <p>OEE0 conducted structured research activities to explore the data, including:</p> <ul style="list-style-type: none"> • Applying parametric and non-parametric methods of statistical analysis within and across fiscal years; • Defining multiple criterion measures for both the number and amount of awards distribution; • Tracking statistical results across fiscal years to understand the relative influence of budgetary limits and process improvement on awards distribution; • Borrowing root cause analysis methods from the Lean Six Sigma and Continuous Improvement research tradition to explore alternative explanations related to observed triggers in the distribution of awards; and • Investigating the critical steps in the Agency's award processes using structured questioning methods suggested by EEOC guidance that help support root cause identification.
FY 2016	<p>OEE0 completed in depth statistical analysis of awards and other quantitative data and has summarized data from document reviews and interviews. Analyses showed evidence of improvement over time in the observed triggers related to the distribution of awards. In contrast to overall Agency-wide results, statistical modeling showed that the number and value of awards granted to women and men, some minority groups, and persons with disabilities provided evidence of fewer areas of concern for equal employment opportunity in recent years. Processing and procedural improvements instituted since triggers were originally observed positively impacted the awards program.</p> <p>In FY 2015, OHR updated its guidance on the parameters to be used by management when developing both monetary and time-off award recommendations. The guidance was created to provide a more consistent approach to motivating and recognizing employees' contributions.</p> <p>OEE0 designed a <i>Workplace Experience Survey</i> to gather employee perceptions on several topics, including recognition and awards. The survey data were slated to be used in combination with the statistical data already summarized to inform recommendations for the Agency's consideration.</p>

STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER

Section IV:

Analysis of Women in Accounting

Source of the Trigger	Specific Workforce Data Table	Narrative Description of Trigger
Analysis of Women in Accounting	Tables A6, A7, and A8	<p>The participation rate of women in accounting positions at the Agency is lower than expected based on their availability; this condition may be impacted at different stages of the employment lifecycle, i.e., recruitment, selection, development, and retention of accountants.</p> <p>In FY 2014, female accountants at the SEC, and in particular, White female accountants, had participation rates lower than the OCLF (over 16 percentage points). The White female accountant OCLF is 44.23%, whereas White females comprised 27.52% of the SEC's accountants.</p>

EEO Group(s) Affected by Trigger

EEO Group	
All Men	
All Women	X
Hispanic or Latino Males	
Hispanic or Latino Females	X
White Males	
White Females	X
Black or African American Males	
Black or African American Females	X
Asian Males	
Asian Females	X
Native Hawaiian or Other Pacific Islander Males	
Native Hawaiian or Other Pacific Islander Females	X
American Indian or Alaska Native Males	
American Indian or Alaska Native Females	X
Two or More Races Males	
Two or More Races Females	X

Barrier Analysis Process

Sources of Data	Source Reviewed? (Yes or No)	Identify Information Collected
Workforce Data Tables	Yes	<p>Workforce data tables and participation rates for women in the accounting occupation from FY 2013 – FY 2018</p> <p>Applicant flow, new hire, and competitive promotion data from FY 2013 – FY 2018 for the accounting occupation</p> <p>Benchmark data available from the Census Bureau that provide more detail into the participation of women in the civilian labor force</p>
Complaint Data (Trends)	Yes	EEO complaint activity filed between FY 2012 – FY 2017 to identify any trends in complaints filed by applicants or employees in the accountant occupation
Grievance Data (Trends)	Yes	Grievances filed by accountants between FY 2013 and FY 2018
Findings from Decisions (e.g., EEO, Grievance, MSPB, Anti-Harassment Processes)	No	Not applicable
Climate Assessment Survey (e.g., FEVS)	Yes	<p>Federal Employee Viewpoint Survey (FEVS) data on indices and items related to recruiting, hiring, promotion, training and career development</p> <p>Female employees' responses to a <i>Workplace Experience Survey</i> conducted at the SEC during FY 2018 regarding recruiting, hiring, career development, promotion, recognition, and retention</p>
Exit Interview Data	Yes	Employee survey data from the Agency's exit survey to understand better the reasons for voluntary separation among women
Focus Groups	Yes	Focus group interviews with Regional Office leaders about the procedures and practices for career development, promotion, recognition, and retention of accountants
Interviews	Yes	<p>Interviews with subject matter experts in OHR, SECU, and OMWI about recruitment, hiring, and career development for accountants at the Agency</p> <p>Interviews with Diversity and Inclusion leadership at the "Big Four" public accounting firms (i.e., Deloitte, EY, KPMG, and PwC)</p> <p>Individual interviews with Agency leaders at Headquarters about the procedures and practices for career development, promotion, recognition, and retention of accountants</p>
Reports (e.g., Congress, EEOC, MSPB, GAO, OPM)	Yes	Data definitions and potential benchmark information from the Census Bureau and OPM defining population data for the accountant occupation in the civilian labor force and the federal workforce
Other (Please Describe)	Yes	<p>Position descriptions and vacancy announcements for the job of accountant</p> <p>Training records from SF-182 on requests for internal and external training submitted by SEC accountants through the learning management system</p> <p>More than 300 resumes submitted during FY 2015 by applicants for accountant vacancies</p> <p>Written policies and formally established procedures affecting the employment of women, and in particular, the employment of women in accountant positions</p> <p>Research literature, collective bargaining agreement language, and reports to better understand career development, promotion, retention, or recruiting and hiring processes for the accounting occupation</p> <p>Information about best practices in recruiting women in accounting in the federal government and private industry</p>

Status of Barrier Analysis Process

Barrier Analysis Process Completed? (Yes or No)	Barrier(s) Identified? (Yes or No)
No	No

Statement of Identified Barrier(s)

Description of Policy, Procedure, or Practice
No barrier has been identified.

Objective(s) and Dates for EEO Plan

Objective	Date Initiated (mm/dd/yyyy)	Target Date (mm/dd/yyyy)	Sufficient Funding & Staffing? (Yes or No)	Modified Date (From) (mm/dd/yyyy)	Date Completed (mm/dd/yyyy)
<p>As of September 30, 2018, the following areas were identified for further analysis and review:</p> <ul style="list-style-type: none"> Processes for the career development and promotion of accountants Career progression and workforce planning within the SEC's accountant occupation <p>To the extent areas of improvement for female accountants at the Agency are found, the SEC will develop an action plan to help foster equal employment opportunity.</p>	03/01/2017	06/19/2020	Yes	06/30/2019	

Responsible Official(s)

Title	Name	Performance Standards Address the Plan? (Yes or No)
Director, OEE0	Peter J. Henry	Yes
Chief Human Capital Officer, OHR	Jamey McNamara	Yes
Director, OMWI	Pamela Gibbs	Yes

Planned Activities Toward Completion of Objective

Target Date (mm/dd/yyyy)	Planned Activities	Modified Date (From) (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)
11/30/2017	OEEO will conduct a <i>Workplace Experience Survey</i> of the Agency workforce to explore perceptions of different aspects of the employee lifecycle among accountants. This action was completed by November 6, 2017.		11/6/2017
06/30/2018	OEEO will continue review and analysis of quantitative and qualitative data on career development, promotion, and retention processes for the accountant occupation. This action was completed by July 31, 2018.		07/31/2018
01/31/2020	OEEO will integrate and interpret quantitative and qualitative data, trends across years, root causes, and identify triggers to establish evidence for any areas in need of improvement.	07/31/2018	
04/30/2020	To the extent areas of improvement for female accountants at the Agency are found, the SEC will begin to develop an action plan to help foster equal employment opportunity.	03/30/2019	
06/19/2020	OEEO will begin to design an evaluation plan to monitor results based on the work completed on this study.	06/30/2019	

Report of Accomplishments

Fiscal Year	Accomplishments
FY 2018	<p>During FY 2018, OEEO concluded the planned data collection as part of this study. The following provides detail about OEEO's analytic work.</p> <ol style="list-style-type: none"> OEEO conducted a <i>Workplace Experience Survey</i> of the Agency workforce to explore employee perceptions of, among other topics, promotional opportunity, recruitment, and hiring for leadership positions. OEEO analyzed 1,360 responses and narrative comments from 469 employees. Among the respondents were 219 responses from employees who self-identified as accountants, 24.4% of the total population of accountants on rolls. Narrative comments were received from 75 accountants. Analyses compared male and female accountant responses on a variety of index and item level results. Accountants reported the most favorable results in the areas of: interview processes, supervisory relations, flexible work arrangements, training for success within occupation, and work team inclusion. OEEO conducted a series of individual and focus group interviews with SEC leadership in divisions and offices that employ accountants between March and May of 2018. Discussion focused on roles, reporting relationships, career development, recognition, and retention. Thirty-one leaders participated in this series of interviews. Interview data and position descriptions describe five general roles for accountants at the SEC. These roles require overlapping and unique training and development. OEEO's data team investigated available benchmark data to understand better the participation rate of women in the accounting profession. Beyond the EEO Tabulation, we researched and summarized data from: <ul style="list-style-type: none"> the Public Use Microdata Sample (IPUMS) that allowed filtering within occupation by industry, sector, subsector, and earnings for trends across years more recently than 2010 FEDScope data on federal accountants employed by Agency and salary data O*Net information about the educational background of accountants Reports compiled from membership in the American Institute of Certified Public Accountants (AICPA) OEEO used a series of self-service workforce data summary tools to review data on the demographic composition within specific occupations of the entire workforce, newly hired staff, AFD, and separations by critical organizational characteristics. Workforce planning and promotions data provided information about the reporting relationships and career progression of accountants at the SEC. Training records and qualitative data demonstrate strong support for the technical training of accountants, often in service to continuous education for certification. <p>OHR and OMWI continued to make significant enhancements to the SEC's training and development programs, which provide support for the career growth of women in accounting. As described in Part E and in Part J Section IV, the SEC added to the offerings within its career development program.</p> <ul style="list-style-type: none"> OHR developed and worked with NTEU to finalize a Competency Assessment Survey to inform workforce planning efforts and shape the future of SEC-wide training and development programs. The survey was launched in September 2018, and data collection continued into the new fiscal year. SECU expanded offerings under the <i>Career Horizons</i> program that provide individualized support for employees in creating development plans and pursuing career growth. <p>Within the constraints of the hiring freeze from FY 2017, OMWI continued to target recruiting to attract women and minorities into mission critical occupations, including female accountants.</p>

Fiscal Year	Accomplishments
FY 2017	<p>OEE0 conducted structured research activities to explore the data analyzed, including:</p> <ol style="list-style-type: none"> 1. Developing and implementing procedures to conduct qualitative coding and analysis methods for interview and resume data; 2. Borrowing root cause analysis methods from the Lean Six Sigma and Continuous Improvement research tradition to explore alternative explanations related to triggers; and 3. Investigating the critical steps in the Agency's career development, retention, recruiting, and hiring processes using structured questioning methods suggested by EEOC guidance that help support root cause identification. <p>OEE0 has completed analysis of workforce and other quantitative data and has summarized data from reviews of written policies or formally established procedures affecting the recruitment and hiring of women in the accounting profession at the SEC, as well as interviews and focus groups related to the recruiting and hiring of accountants. OEE0 continues to review, analyze, and summarize data on the career development and retention of men and women in the Agency's accountant occupation.</p> <p>OEE0 designed a <i>Workplace Experience Survey</i> to gather employee perceptions on several topics, including career development, promotion, retention, and recruiting and hiring. OEE0 will use the survey data gathered from men and women in the accounting occupation in combination with data already gathered and anticipated to inform recommendations for Agency consideration.</p> <p>OMWI conducted outreach at colleges/universities with a high population of female students and participated in career and branding events to increase the female candidate talent pool. At three of these schools, OMWI focused on the universities' accounting programs to attract a strong female accounting talent pool.</p>

STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER

Section V:

Analysis of Male Attorneys

Source of the Trigger	Specific Workforce Data Table	Narrative Description of Trigger
Analysis of male attorneys	Tables A6, A7, and A8	<p>The participation rate of men in attorney positions at the Agency is lower than expected based on their availability in the attorney OCLF; this condition may be impacted at different stages of the employment lifecycle, i.e., recruitment, selection, development, and retention of male attorneys.</p> <p>Male attorneys at the SEC had participation rates lower than the OCLF (by 9.10 percentage points) in FY 2014. Male attorneys comprised 66.70% of the OCLF and 57.60% of the SEC's attorney workforce.</p>

EEO Group(s) Affected by Trigger

EEO Group	
All Men	X
All Women	
Hispanic or Latino Males	X
Hispanic or Latino Females	
White Males	X
White Females	
Black or African American Males	X
Black or African American Females	
Asian Males	X
Asian Females	
Native Hawaiian or Other Pacific Islander Males	X
Native Hawaiian or Other Pacific Islander Females	
American Indian or Alaska Native Males	X
American Indian or Alaska Native Females	
Two or More Races Males	X
Two or More Races Females	

Barrier Analysis Process

Sources of Data	Source Reviewed? (Yes or No)	Identify Information Collected
Workforce Data Tables	Yes	Workforce data tables and participation rates from FY 2012 – FY 2018 to review the participation rates for men in the total workforce and in the attorney occupation Available applicant flow data for attorney hiring from FY 2012 – FY 2018
Complaint Data (Trends)	No	
Grievance Data (Trends)	Yes	Grievances filed by attorneys between FY 2014 and FY 2018
Findings from Decisions (e.g., EEO, Grievance, MSPB, Anti-Harassment Processes)	No	Not applicable
Climate Assessment Survey (e.g., FEVS)	Yes	Federal Employee Viewpoint Survey (FEVS) data on indices and items related to recruiting, hiring, promotion, training, and career development Male employees' responses to a survey conducted by a vendor in July 2014 regarding promotions at the SEC Male employees' responses to a <i>Workplace Experience Survey</i> conducted at the SEC during FY 2018 regarding recruiting, hiring, career development, promotion, recognition, and retention
Exit Interview Data	No	
Focus Groups	No	
Interviews	Yes	Relevant interview questions from the EEOC decision tree root cause framework
Reports (e.g., Congress, EEOC, MSPB, GAO, OPM)	Yes	Audit reports regarding personnel management at the SEC based on research from GAO Data definitions and potential benchmark information from the Census Bureau and OPM defining population data for the attorney occupation in the civilian labor force and the federal workforce
Other (Please Describe)	Yes	Attorney position descriptions by grade level and across divisions/offices Vacancy announcements posted publicly Attorney demographic trends in private law practice, in particular, large law firms, and as in-house counsel Literature and reports published by, among others, the National Association of Legal Placement and the American Bar Association to better understand recruiting, hiring/lateral hiring, training, and promotion processes and practices at private law firms Reports published by, among others, the American Bar Association, Minority Corporate Counsel Association, and Institute for Inclusion in the Legal Profession about best practices in recruiting and retaining male attorneys, particularly, minority male attorneys in the federal government and law firms

Status of Barrier Analysis Process

Barrier Analysis Process Completed? (Yes or No)	Barrier(s) Identified? (Yes or No)
No	No

Statement of Identified Barrier(s)

Description of Policy, Procedure, or Practice
No barrier has been identified.

Objective(s) and Dates for EEO Plan

Objective	Date Initiated (mm/dd/yyyy)	Target Date (mm/dd/yyyy)	Sufficient Funding & Staffing? (Yes or No)	Modified Date (From) (mm/dd/yyyy)	Date Completed (mm/dd/yyyy)
Investigate processes across the employment life-cycle for men in the attorney occupation to determine any areas needing improvement and begin developing action plans to help foster equal employment opportunity.	07/15/2017	10/31/2020	Yes	12/31/2019	

Responsible Official(s)

Title	Name	Performance Standards Address the Plan? (Yes or No)
Director, OEE0	Peter J. Henry	Yes
Chief Human Capital Officer, OHR	Jamey McNamara	Yes

Planned Activities Toward Completion of Objective

Target Date (mm/dd/yyyy)	Planned Activities	Modified Date (From) (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)
11/30/2017	OEE0 will conduct a <i>Workplace Experience Survey</i> of the Agency workforce to explore perceptions of different aspects of the employee lifecycle among attorneys. This action was completed by November 6, 2017.		11/06/2017
06/30/2018	OEE0 will begin reviewing written procedures and formally established procedures affecting the lifecycle of employees in the attorney occupation as they may differ from those policies and procedures applicable to other occupations. This action was completed by June 30, 2018.		6/30/2018
07/31/2019	OEE0 will begin conducting interviews and/or focus groups with subject matter experts involved in the recruitment, hiring, development, recognition, and retention of attorneys.	10/01/2018	
12/31/2019	OEE0 will begin integrating and interpreting quantitative and qualitative data, trends across year, root causes, and identified triggers to establish evidence for any areas in need of improvement.	01/31/2019	
07/31/2020	To the extent opportunities for enhancing equality of opportunity for male attorneys at the Agency are found, the SEC will begin to develop an action plan to help foster equal employment opportunity.	06/30/2019	
10/30/2020	OEE0 will begin to design an evaluation plan to monitor results based on the work completed on this study.	12/31/2019	

Report of Accomplishments

Fiscal Year	Accomplishments
FY 2018	<p>The following provides detail about analytic work OEE0 conducted in FY 2018 in support of this analysis:</p> <ol style="list-style-type: none"> Continued to analyze applicant flow data for attorney hiring. Researched and reviewed trends in demographics by gender and race and ethnicity of attorneys working in private law firms and as in-house counsel. Reviewed vacancy announcements and relevant written policies and procedures related to the employment of attorneys at the SEC. Conducted more detailed research and analysis on attorney labor force demographics by gender, industry, and earnings brackets. These data help determine the availability of male attorneys in the applicant pool from which the SEC hires. Analyzed SEC workforce data on the number and participation of permanent attorneys by gender, race, ethnicity, Division/Office, and grade starting at SK-11 through SO. Conducted research to better understand successful recruiting, hiring, lateral transfer, training, promotion, and retention processes and practices for attorneys working in private law firms, corporate America, and the federal government.

SPECIAL PROGRAM PLAN FOR THE RECRUITMENT, HIRING, ADVANCEMENT, AND RETENTION OF PERSONS WITH DISABILITIES (PART J)

To capture agencies' affirmative action plan for persons with disabilities (PWD) and persons with targeted disabilities (PWTD), EEOC regulations (29 C.F.R. § 1614.203(e)) and MD-715 require agencies to describe how their plan will improve the recruitment, hiring, advancement, and retention of applicants and employees with disabilities. All agencies, regardless of size, must complete this Part of the MD-715 report.

SECTION I: EFFORTS TO REACH REGULATORY GOALS

EEOC regulations (29 C.F.R. § 1614.203(d)(7)) require agencies to establish specific numerical goals for increasing the participation of persons with reportable and targeted disabilities in the federal government.

1. Using the goal of 12% as the benchmark, does your agency have a trigger involving PWD by grade level cluster in the permanent workforce? If "yes", describe the trigger(s) in the text box.

a. Cluster GS-1 to GS-10 (PWD)	Yes 0	No X
b. Cluster GS-11 to SES (PWD)	Yes X	No 0

This report presents results for both persons with disabilities (PWD) and persons with targeted disabilities (PWTD) calculated in cluster results based on the locality adjusted salary specified in the revised regulations implementing Section 501 of the Rehabilitation Act of 1973, compared to the locality adjusted salary of a GS-11, step 1, in the Washington, DC area. For FY 2018, that salary was \$68,036. Participation of PWD and PWTD are presented to assess against the specific numerical goals found in EEOC regulations to identify the presence of any triggers. A trigger is a trend, difference, variance, outlier, or anomaly that suggests the need for further inquiry into a particular policy, practice, procedure, or condition. Statistics are only a starting point for analysis, which considers the totality of the circumstances.

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For employees with salaries below a GS-11, step 1, the Agency achieved the numerical goal for PWD participation; 35.00% of employees in this cluster were PWD compared to the 12% benchmark.

For employees with locality adjusted salaries above a GS-11, step 1, the Agency did not achieve the numerical goal involving PWD; 8.64% of employees in this cluster were PWD compared to the 12% benchmark. While the numerical goal was not achieved, the current participation rate represents an increase of 2.29 percentage points since the end of FY 2015.

In FY 2018, SEC implemented plans to include permanent and temporary employees hired under authorities that take disability into account as PWD pursuant to EEOC regulation. In this report, permanent and temporary employees who are not self-identified on standard form 256 (SF-256) and whose personnel record documents veterans' preference for hiring as "*CPS—preference based on compensable service-connected disability of 30% or more*" are now included in the total PWD workforce data tables. Similarly, permanent and temporary employees not self-identified on SF-256 and whose personnel record documents that they were hired or converted into the competitive service under Schedule A, part u (5 C.F.R. § 213.3102(u) *Appointment of persons with intellectual disabilities, severe physical disabilities, or psychiatric disabilities*) are now included in the total PWD workforce for purposes of utilization analysis. This action added 40 permanent employees to the PWD workforce data; 39 in the higher salary cluster, and one in the lower salary cluster. The workforce data tables included with this report¹² and the analyses described in Parts E and below reflect this change. Prior year data for such employees was updated for comparison.

As described in Section VII below, the Agency has conducted an annual resurvey of the workforce since FY 2015. Data show steady increase in self-identification among employees after each annual resurvey. Trend data also show positive impact from the changes made to SF-256 in October 2016 and again from the more inclusive definition described above related to Section 501 of the Rehabilitation Act. Between FY 2015 and FY 2018, the participation of PWD in the total workforce increased from 6.57% to 8.76%, participation increased in both the lower and higher salary clusters.

¹² In this year's report, those employees and applicants who are considered persons with disability outside self-identification on SF-256 are included in a new column in Tables B1 through B14. The FedSEP online reporting system does not provide for an additional column in the table format; SEC has included such persons in Tables B1 through B14 in the column labeled: "*Disability (02-03, 06-99)*." As such, the data presented on PWD within the tables included with this report may not match those submitted to the EEOC through the FedSEP portal.

2. Using the goal of 2% as the benchmark, does your agency have a trigger involving PWTD by grade level cluster in the permanent workforce? If “yes”, describe the trigger(s) in the text box.

- | | | |
|---------------------------------|-------|-------------|
| a. Cluster GS-1 to GS-10 (PWTD) | Yes 0 | No X |
| b. Cluster GS-11 to SES (PWTD) | Yes 0 | No X |

Applying the same salary clusters to PWTD as described in Section I, the SEC achieved the numerical goals established for PWTD in both the lower and higher salary clusters during FY 2018. In the lower salary cluster, 5.00% of permanent employees are PWTD; 2.01% of higher salaried employees are PWTD.

3. Describe how the agency has communicated the numerical goals to the hiring managers and/or recruiters.

Hiring goals for PWTD (i.e., 2% of the total workforce) are communicated to hiring managers during quarterly Office of Human Resources Steering Committee meetings. Additionally, metrics for disability hiring are published monthly and at the end of the year by the SEC’s Office of the Chief Operating Officer. The overall percentage of employees who identify as PWTD is posted in the *Diversity Dashboard* sponsored by OMWI and the Diversity Council.

To augment these information sources, OHR implemented the *Human Capital Reporting & Analytics (HCRA)* dashboard in the second half of FY 2018. The HCRA provides, among other key human capital metrics, aggregate data on the disability status for self-identified PWD and PWTD. A series of data filters enable leaders to understand employee gains and losses within their particular Division or Office for specific occupations, grades, and duty stations. OHR plans to use this information to support Human Capital strategic planning efforts.

Throughout FY 2018 and particularly during National Disability Employment Awareness Month, the Agency hosted events that focused on inclusion of persons with a disability. As described later, these events were often sponsored and/or hosted by the Disability Issues Advisory Committee (DIAC). In opening and/or closing remarks, leaders noted the Agency’s goals for recruiting and hiring PWD, frequently mentioning the high value such employees bring to the Agency’s mission.

Relatedly, OHR has developed a *2018-2019 Recruitment Strategy*, which describes the support and collaboration necessary from senior leadership, OEEO, and OMWI to recruit a diverse candidate base. The *Recruitment Strategy* includes the following goals, among others:

- Build a pipeline of qualified Schedule A applicants; and
- Improve Veteran recruitment efforts.

Continued on the next page

The *Recruitment Strategy* specifically denotes an objective to “*Increase workforce representation for people with disabilities and people with targeted disabilities.*” Specific strategies and tasks in the plan for recruitment explain how this objective will be accomplished.

For specific hiring actions, OHR continues to address special hiring authorities, including Schedule A, in conversations with hiring managers to reinforce progress toward achieving numerical goals. A checklist is used by OHR Staffing specialists when vacant positions are identified to ensure hiring managers understand all their options for filling positions, including using Schedule A and veterans’ hiring authorities for those applicants with a service-connected disability of 30% or greater.

Beginning in July 2018, OEEEO led periodic meetings with a cross-functional working group comprised of representatives from OHR and OMWI, including those who support recruiting, to discuss the MD-715 and the Agency’s progress related to equal employment opportunity, participation, and inclusion of employees and applicants for employment. For these meetings, OEEEO provided up-to-date information from the Agency workforce data tables and highlighted areas for discussion, including goals and progress related to the participation and inclusion of PWD and PWTD.

SECTION II: MODEL DISABILITY PROGRAM

Pursuant to 29 C.F.R. § 1614.203(d)(1), agencies must ensure sufficient staff, training and resources to recruit and hire persons with disabilities and persons with targeted disabilities, administer the reasonable accommodation program and special emphasis program, and oversee any other disability hiring and advancement program the agency has in place.

Plan to Provide Sufficient & Competent Staffing for the Disability Program

1. Has the agency designated sufficient qualified personnel to implement its disability program during the reporting period? If “no”, describe the agency’s plan to improve the staffing for the upcoming year.

Yes **X** No 0

The Agency designates talent acquisition resources and FTE to Special Programs classification, recruitment, and staffing in support of the disability program.

2. Identify all staff responsible for implementing the agency’s disability employment program by the office, staff employment status, and responsible official.

Disability Program Task	Number of Full-Time Equivalent Staff by Employment Status			Responsible Official (Name, Title, Office, Email)
	Full Time	Part Time	Collateral Duty	
Processing applications from PWD and PWTD	12	0	0	Stephen Brown, Assistant Director, Office of Human Resources, brownst@sec.gov
Answering questions from the public about hiring authorities that take disability into account	12	0	0	Stephen Brown, Assistant Director, Office of Human Resources, brownst@sec.gov
Processing reasonable accommodation requests from applicants and employees	2	1	0	Dia Gonsalves, Disability Program Officer, Office of Human Resources, gonsalvesd@sec.gov
Section 508 Compliance	0	1	0	Sharvon Jones, Governance Branch, Office of Information Technology jonessh@sec.gov
Architectural Barriers Act Compliance	0	0	3	Ray Ferrari, RA, LEED AP, Architect, Office of Support Operations (OSO)-Office of Building Operations (OBO), FerrariR@sec.gov ; Jillian Bates, RA, LEED AP, Architect, OSO-OBO; Carla Hairston, Program Analyst, OSO-OBO HairstonC@sec.gov
Special Emphasis Program for PWD and PWTD	2	0	0	Stephen Brown, Assistant Director, Office of Human Resources, brownst@sec.gov

3. Has the agency provided disability program staff with sufficient training to carry out their responsibilities during the reporting period? If “yes”, describe the training that disability program staff have received. If “no”, describe the training planned for the upcoming year.

Yes **X** No 0

The two-and-a-half full-time employees who work on the disability program staff came to the Agency with significant HR experience in the federal government, but were new to reasonable accommodation programs and the responsibilities inherent in responding to reasonable accommodation requests. They received on-the-job training from the Disability Program Officer and departing Reasonable Accommodation Coordinator and periodically attended training programs and reviewed recent case law to stay apprised of the current developments in this area. Additionally, the Disability Program Officer, representing the half full-time employee, also responded to reasonable accommodation requests when possible while managing a diverse portfolio of other HR programs. The Disability Program Officer completed courses specific to recruiting, accommodating, hiring, and retaining PWD via OPM’s HR University and the SEC’s Learning Management System, LEAP, in addition to the general training received.

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More generally, all of the SEC's HR specialists have completed training courses related to staffing and placement offered by the USDA Graduate School or OPM and through various other platforms. The Agency's training and development office also offers learning options that include processing applications for PWD. The Agency will continue these practices in the future.

Changes are planned in line with implementation of requirements and recommendations under Section 501 of the Rehabilitation Act. Those changes will require more focused and specific training on related policy and procedure post implementation for both HR specialists and disability program staff.

Plan to Ensure Sufficient Funding for the Disability Program

1. Has the agency provided sufficient funding and other resources to successfully implement the disability program during the reporting period? If "no", describe the agency's plan to ensure all aspects of the disability program have sufficient funding and other resources.

Yes No

The Agency was resourced adequately during the reporting period to implement the disability program successfully.

SECTION III: PLAN TO RECRUIT AND HIRE INDIVIDUALS WITH DISABILITIES

Pursuant to 29 C.F.R. § 1614.203(d)(1)(i) and (ii), agencies must establish a plan to increase the recruitment and hiring of individuals with disabilities. The questions below are designed to identify outcomes of the agency's recruitment program plan for PWD and PWTD.

Plan to Identify Job Applicants with Disabilities

1. Describe the programs and resources the agency uses to identify job applicants with disabilities, including individuals with targeted disabilities.

OHR continued to take steps toward improving the participation of PWD and PWTD in applicant pools. As outlined in OHR's *2018-2019 Recruitment Strategy*, the SEC will begin to realize an increase in the overall representation of people with disabilities by using effective recruitment and outreach efforts that identify the Agency as an employer of choice.

The SEC hosted its third annual *Informational and Networking Event for Individuals with Disabilities* at SEC Headquarters. This event continues to prove successful in building a pipeline of applicants for future vacancies. Through this event, the SEC is able to reinforce its commitment to becoming a model employer for PWD by providing guests the opportunity to learn more about the SEC's mission, hear about the Agency's benefits and reasonable accommodations, and network with SEC hiring managers.

Despite limited hiring in FY 2018, the Agency maintained a physical recruitment presence. SEC attended over 17 career fairs and events supporting efforts in building pipelines for future employment. Most notably, it attended the *AmeriCorps Vista Career Fair* and the *Bowie State University Veterans Career Fair*, which both proved to be successful resources for attracting potential candidates. These events allowed the SEC to reach a key constituency and promote a variety of positions.

In FY 2019, the SEC will introduce a more direct and streamlined approach in encouraging hiring managers to utilize the Schedule A hiring authority. OHR will present prospective candidates to every hiring manager seeking to fill vacant positions externally prior to initiating general hiring procedures. OHR believes this approach is a win-win for all stakeholders by providing an opportunity for prospective candidates to be considered first-hand by hiring managers and potentially shortening an often lengthy hiring process.

OHR will continue to leverage the DIAC for recruitment resources and assistance. Further, OHR will continue to retain and review applications from people with disabilities for future openings and will conduct targeted outreach to connect with qualified candidates by collaborating with community-based partners such as nonprofit organizations, national and local disability organizations, and federally funded state and local employment programs.

2. Pursuant to 29 C.F.R. § 1614.203(a)(3), describe the agency’s use of hiring authorities that take disability into account (e.g., Schedule A) to recruit PWD and PWTD for positions in the permanent workforce.

The Agency uses a variety of available resources that support hiring through Schedule A and other hiring authorities that take disability into account. During FY 2018, the Special Programs Manager continued to source potential candidates from available resources such as OPM’s Shared List of People with Disabilities and the Workforce Recruitment Program.

The Special Programs Manager receives notifications and newsletters from the following groups and transmits information to OHR staff engaged in recruiting:

- EARN—Employer Assistance Resource Network: askearn.org
- JAN—Job Accommodation Network: askjan.org
- ODEP—Office of Disability Employment Policy, Department Of Labor: dol.gov/odep/

3. When individuals apply for a position under a hiring authority that takes disability into account (e.g., Schedule A), explain how the agency (1) determines if the individual is eligible for appointment under such authority and (2) forwards the individual’s application to the relevant hiring officials with an explanation of how and when the individual may be appointed.

The following describes two procedures for processing applications under the Schedule A hiring authority for persons with disabilities, one used in response to a specific vacancy posting and the other for unsolicited Schedule A applications.

The Office of Human Resources processes Schedule A applications in response to a Job Opportunity Announcement (JOA).

Applicants who wish to be considered for a specific vacancy under the Schedule A hiring authority must submit the appropriate documentation when applying for a current open JOA. The SEC defers to the OPM-identified appropriate documentation. Applications are reviewed by HR specialists to determine if the applicant is minimally qualified as identified in the JOA. If the applicant is minimally qualified, that individual is referred to the hiring manager on a separate certificate of eligible candidates. HR specialists provide written guidance to hiring managers via email that explains how Schedule A applicants can be selected once the certificate has been issued.

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The Office of Human Resources also processes unsolicited Schedule A applications.

Applicants who wish to be considered under the Schedule A hiring authority, outside the process for a specific vacancy posting, must submit the appropriate documentation as identified by OPM with their application. The Special Programs Manager will proactively contact the prospective applicant if the individual did not submit the required documentation. The application will not be processed until the appropriate documentation is received.

Resumes submitted directly to the Special Programs Manager are reviewed to determine the potential job series the applicant may be suitable for based on the knowledge, skills, and abilities identified on the applicant's resume. Building a pool of qualified candidates is important to the SEC; as such, the Agency has developed a *Schedule A Resume Database*.

The SEC process for hiring starts with a Staffing Action Request Form (SARF) submitted by the hiring manager. When a SARF is received by OHR, the Special Programs Manager compiles a certificate of eligible candidates from the database per the job series and refers candidates to hiring managers. In some cases, the Special Programs Manager conducts a one-on-one consultation with the hiring manager to discuss the certificate of eligible candidates, as appropriate.

The SEC's administrative regulations on its Veterans Employment Program provides instruction for hiring veterans with disabilities and was last updated in January 2017. The Agency's administrative regulations are available upon request.

4. Has the agency provided training to all hiring managers on the use of hiring authorities that take disability into account (e.g., Schedule A)? If "yes", describe the type(s) of training and frequency. If "no", describe the agency's plan to provide this training.

Yes **X**

No 0

N/A 0

OHR developed a *2018-2019 Recruitment Strategy*, which describes the Agency's commitment to educating the SEC workforce on special programs for people with disabilities. In addition, OHR and DIAC co-sponsored a *Disability Resources Showcase* in which all SEC employees, including hiring managers, were invited to learn about several disability resources, including the Schedule A hiring authority.

In FY 2018, periodic training occurred with each hiring manager who requested to fill a position. The hiring checklist used by the staffing specialists contains a Schedule A section that is discussed in depth during the one-on-one hiring conversation. The specialist trains the hiring manager on the various procedures of the Schedule A hiring process and offers it as a course of action where applicable.

The Disability Program Manager speaks at DIAC meetings/events on a regular and recurring basis on a variety of topics, including the hiring authorities that take disability into account.

Plan to Establish Contacts with Disability Employment Organizations

1. Describe the agency's efforts to establish and maintain contacts with organizations that assist PWD, including PWTD, in securing and maintaining employment.

The SEC's Special Programs Manager continued to maintain established partnerships with 14 organizations that assist PWD in securing and maintaining employment. The Special Programs Manager updates the SEC's list of affinity organizations to maintain contact and foster relationships for recruitment events and candidate sourcing.

The Special Programs Manager maintains an ongoing relationship with the SEC's DIAC and the Veterans Committee.

In an effort to expand outreach, the SEC piloted the *Operation Warfighter Program (OWF)* during FY 2018. OWF is an internship program created by the Department of Defense that matches qualified wounded, ill, and injured service members with non-funded federal internships for them to gain valuable work experience during recovery and rehabilitation. SEC is finalizing program policies and procedures and plans to implement Agency-wide in FY 2019.

Progression Towards Goals (Recruitment and Hiring)

1. Using the goals of 12% for PWD and 2% for PWTD as the benchmarks, do triggers exist for PWD and/or PWTD among the new hires in the permanent workforce? If "yes", please describe the triggers below.

- a. New Hires for Permanent Workforce (PWD) Yes No 0
b. New Hires for Permanent Workforce (PWTD) Yes 0 No

Hiring Data from FY 2018 were reviewed for evidence of differences in hiring into the permanent workforce. In FY 2018, the participation rate for both PWD and PWTD was 8.33%. [Redacted to protect privacy.]

From these data, the Agency did not achieve a 12% participation rate for PWD among new hires in the permanent workforce. In FY 2018, the participation of PWD among permanent new hires was 8.33%.

The Agency achieved the numerical goal of 2% participation of PWTD among permanent new hires. In FY 2018, the participation of PWTD among permanent new hires was 8.33%.

The hiring freeze at SEC, implemented early in FY 2017 and continuing through most of FY 2018, impacted hiring and affected efforts toward increasing the participation of PWD.

2. Using the qualified applicant pool as the benchmark, do triggers exist for PWD and/or PWTD among the new hires for any of the mission-critical occupations (MCO)? If “yes”, please describe the triggers below.

a. New Hires for MCO (PWD)	Yes X	No 0
b. New Hires for MCO (PWTD)	Yes 0	No X

FY 2018 data that underlie Tables B7 and B8 was reviewed for evidence of triggers in the hiring of permanent employees into MCO positions. From these data, no PWD or PWTD applicants were found qualified for three out of five of the MCO positions, accountant, IT management, and economist. PWD were found in the qualified applicant pools for attorneys and securities compliance examiners; qualified applicants for attorney also included PWTD. In FY 2018, the SEC hired relatively few permanent employees, a total of 24 permanent staff employees. Among these newly hired staff members were 19 persons in MCO positions, nine attorneys, nine IT management specialists, and one economist. Two of those 19 (10.53%) newly hired MCO permanent staff were both PWD and PWTD.

At the same time, the limited number of qualified PWD and PWTD applicants did not result in differences when comparing qualified applicants to permanent new hires in any of the Agency’s MCOs. No triggers were found for PWD or PWTD when comparing their participation among permanent new hires to the qualified applicants pools (QAP) for attorney, accountant, securities compliance examiner, IT management, or economist positions.

To assess these differences, the percentage of PWD in the permanent new hires from Table B8 for each occupation was compared to the qualified applicant pool (QAP) in the data from Table B7. As described above (*See Part E Section III, supra*), the applicant flow data in Table B7 summarizes the phases of the hiring process through selection for vacancies that were posted and closed through USAJOBS during the fiscal year. The data in Table B7 and the QAP data summarized here reflect the pool of qualified applications for permanent and/or temporary vacancies announced through USAJOBS during FY 2018.

In contrast, Table B8 presents data on permanent *new hires* on boarded during the course of the fiscal year. Some newly hired staff applied for a vacancy posted in a prior fiscal year or may have elected not to volunteer demographic information. Differences may be observed in comparing the demographic statistics of the QAP in Table B7 and that of new hires on boarded in Table B8. Triggers comparing the composition of PWD and PWTD in applicant flow versus new hire data should be interpreted with these differences in mind.

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PWD represent 22.22% and PWTD were 22.22% of newly hired permanent staff attorneys. That PWD and PWTD participation among new hires exceeds their participation in the QAP. For attorneys, the QAP was 1.38% PWD, and the QAP for PWTD was 0.59%. There were 12 temporary attorneys hired, and nine newly hired permanent attorneys.

None of the newly hired permanent employees in FY 2018 were accountants. There were nine total new hires, all of whom were temporary. Similarly, none of the QAP for accountant positions was PWD or PWTD; as such, no difference in participation was observed. For securities compliance examiner vacancies posted in FY 2018, the QAP was 2.78% PWD and 0.00% PWTD. No permanent staff securities compliance examiners were hired in FY 2018; therefore, there was a difference observed between available PWD in the QAP compared to those hired. There was no opportunity to observe a difference in participation among newly hired staff and the QAP for PWTD.

For IT management, nine employees were hired as permanent staff in FY 2018. The QAP was 0.00% for both PWD and PWTD, and none (0.00%) of the newly hired staff were PWD or PWTD. No difference is observed in these data; participation in the QAP equaled that among newly hired IT management staff.

Finally, for economists, the QAP was 0.00% for PWD and PWTD because no vacancies were available in applicant flow for economist hiring. There was one permanent new hire, who did not identify as PWD or PWTD. Four temporary economists were also hired. No difference was observed in the participation of PWD or PWTD between the QAP and newly hired permanent staff economist.

3. Using the relevant applicant pool as the benchmark, do triggers exist for PWD and/or PWTD among the qualified internal applicants for any of the mission-critical occupations (MCO)? If “yes”, please describe the triggers below.

a. Qualified Applicants for MCO (PWD)	Yes X	No 0
b. Qualified Applicants for MCO (PWTD)	Yes X	No 0

In the FY 2018 data presented in Table B9, differences were identified in the participation of PWD in the qualified internal applicants for competitive promotions as compared to the relevant applicant pool (RAP) within three of the SEC’s MCOs, i.e., attorney, securities compliance examiner, and economist. Differences were also identified for PWTD within the internal competitive promotion data for the MCOs attorney, accountant, securities compliance examiner, and IT management.

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The RAP was defined for each MCO based on the number of employees holding a qualifying occupation series and in the SK-levels encumbered at the Agency between SK-11 and SK-16. Specifically, for attorneys, the RAP included all employees in the 0905 series. For accountants, the RAP included all employees in the 0510 series. For securities compliance examiners, the RAP included all employees in the 1831 and the 0501, Financial Administration and Program series. For the information technology management occupation, the RAP included all employees in the 2210 series, and for the economist occupation, the RAP included all employees in the 0110 series.

For attorneys, the RAP for PWD was 5.25%, and PWD represented 4.27% of the qualified internal applicants. The RAP for PWTD was 1.25%, and PWTD were 0.95% of the qualified internal applicants for attorneys. The Agency observed a small difference between the RAP and the qualified applicants for attorney internal promotions of PWTD.

For accountants, the RAP for PWD was 5.81%, and PWD were 9.09% of the qualified internal applicants. Participation of PWD exceeded the RAP for accountants. However, participation on PWTD was lower among the qualified internal applicants than available in the RAP for accountants. The RAP for PWTD was 1.01%, and none of the qualified internal applicants were PWTD (0.00%).

For securities compliance examiners, the RAP for PWD was 8.92%, and PWD represented 4.65% of the qualified internal applicants. The RAP for PWTD was 1.54%, and PWTD were 0.00% of the qualified internal applicants.

For IT management, the RAP for PWD was 11.48%, and PWD represented 15.38% of the qualified internal applicants. The RAP for PWTD was 0.74%, and PWTD represented 0.00% of the qualified internal applicants. Relatively larger differences in participation were observed for both the IT management and securities compliance examiner data compared to the other MCOs, especially for PWD.

For economists, the RAP was 1.32% for PWD, and none (0.00%) of the qualified internal applicants were PWD. No PWTD were found in either the RAP or the qualified internal applicant pool; therefore, no difference was found in the participation of PWTD.

4. Using the qualified applicant pool as the benchmark, do triggers exist for PWD and/or PWTD among employees promoted to any of the mission-critical occupations (MCO)? If “yes”, please describe the triggers below.

a. Promotions for MCO (PWD)	Yes X	No 0
b. Promotions for MCO (PWTD)	Yes 0	No X

In the FY 2018 data for internal competitive promotions in MCOs, 4.17% were PWD. [Redacted to protect privacy.] In reviewing these data further, a difference was observed when comparing participation of PWD among those selected for promotion with their participation among the qualified internal applicant pool (QAP) in the attorney, securities compliance examiner, and IT management occupations.

For PWTD, no participation differences were found, except that for attorneys, PWTD participation among those selected for promotion exceeded the QAP. For accountants, securities compliance examiners, IT management, and economists, no PWTD were available in the QAP, and none were selected for promotion.

In the attorney occupation, the QAP for PWD was 4.27%, and a smaller proportion, 1.54%, of those promoted were PWD. The attorney QAP for PWTD was 0.95%, and a larger proportion, 1.54%, of those promoted were PWTD.

The participation of PWD and PWTD among those promoted to accountant positions exceeded or equaled their respective QAP. In the accountant occupation, the QAP for PWD was 9.09% and 0.00% for PWTD. Of the accountants promoted, 14.29% were PWD; none were PWTD. [Redacted to protect privacy.]

In the securities compliance examiner occupation, the QAP for PWD was 4.65% and 0.00% PWTD. None of the employees selected for promotion were PWD or PWTD. [Redacted to protect privacy.]

In the IT management occupation, the QAP was 15.38% for PWD, and 14.29% of the selections were PWD. The QAP for PWTD was 0.00%, and 0.00% of selections were PWTD. [Redacted to protect privacy.]

In the economist occupation, neither PWD nor PWTD were found in the QAP, and none were selected. There were two selections for economist promotion.

SECTION IV: PLAN TO ENSURE ADVANCEMENT OPPORTUNITIES FOR EMPLOYEES WITH DISABILITIES

Pursuant to 29 C.F.R § 1614.203(d)(1)(iii), agencies are required to provide sufficient advancement opportunities for employees with disabilities. Such activities might include specialized training and mentoring programs, career development opportunities, awards programs, promotions, and similar programs that address advancement. In this section, agencies should identify, and provide data on programs designed to ensure advancement opportunities for employees with disabilities.

Advancement Program Plan

1. Describe the agency's plan to ensure PWD, including PWTD, have sufficient opportunities for advancement.

To promote equal employment opportunity, the Agency takes a number of steps to ensure that opportunities for advancement are open and available to all, including PWD and PWTD in the workforce. Information about training, mentoring programs, and career development options is widely shared with the workforce. The following describes efforts to promote opportunities for advancement.

- OHR updated and maintains a user-friendly, interactive portal, *AskHR*, on the SEC's intranet, which provides employees with information about hiring, compensation and benefits, employee development, performance management, and disability accommodations, among a number of other topics. In addition, all employees receive a daily communication, *SEC Today*, which highlights important information about events and opportunities for details, training, and SEC staff accomplishments.
- The Chief Human Capital Officer is an active member of the SEC Veterans Committee, which hosts a website that includes information concerning veterans' benefits, to include a link to the *Feds Hire Vets* website that highlights special hiring authorities for veterans.
- DIAC regularly communicates with its membership, which includes PWD and PWTD, about its own activities, other events, developmental opportunities, and job postings or support available to the workforce. These more targeted communications help ensure that PWD and PWTD are aware of the available options and any processes for requesting participation or enrollment.

Career Development Opportunities

1. Please describe the career development opportunities that the agency provides to its employees.

The SEC provides numerous opportunities for employees to acquire the skills and certifications needed to succeed in their technical positions and to progress in their careers. Classroom-style and e-Learning programs offer an extensive array of learning opportunities in technical areas (e.g., courses on Hedge Funds, Mutual Funds, and Credit Derivatives, etc.) as well as in leadership development to SEC senior leaders and non-supervisory staff alike. Among the variety of learning and development offerings, the SEC offers the three career development training programs highlighted below. Data on participation in these programs is captured along with other training program data in Section IV.2.b below.

- The *Women in Leadership* program is offered once a year under the auspices of the Brookings Institution. Each year, the SEC provides either managers (SK-15 and SK-17 supervisors) or non-managerial staff (SK-14 and SK-16 levels) the opportunity to participate in this leadership development program. Program participants from across federal agencies learn how to strengthen leadership qualities and explore key elements of senior leadership success while maintaining authenticity and balance.
- The *EIG Fellows* Program, coordinated by the Partnership for Public Service, strengthens the leadership skills of experienced federal employees through a combination of innovative coursework, best practices benchmarking, challenging action-learning projects, executive coaching, and government-wide networking. This program is offered to SEC employees in the SK-14 to SK-17 (a mix of supervisory and non-supervisory) levels. SEC's EIG Fellows attend facilitated sessions at SEC Headquarters to share what they are learning and to explore how this information can be applied to improve organizational performance, workplace relationships, and productivity.
- The *Aspiring Leaders* program is an interactive blended-learning program designed to strengthen the leadership and management skills of SEC non-supervisory (SK-13 and SK-14) employees. The program covers: critical leadership skills for effective supervision; first-line management responsibilities; understanding government policy, process, and regulations relevant to management; and increasing self-awareness through guided self-assessments and feedback.

The SEC's robust training program also offers seminars targeted to specific audiences, including Senior Officers, managers, and employees, covering relevant subject matter. In FY 2018, OHR continued to implement enhancements to its learning management system, LEAP. Within this system's MyCareer@SEC module, employees can find information about career paths mapped to their current position, the responsibilities and occupational requirements of positions in that career path, and options for training and development that would enable

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them to progress toward their career goals. SECU established initial career paths in FY 2017 based on prior projects to define competency requirements for a variety of occupations. In FY 2018, OHR and SECU also:

- Developed and worked with NTEU to finalize a Competency Assessment Survey to inform workforce planning efforts and shape the future of SEC-wide training and development programs. The survey was launched in September 2018, and data collection continued into the new fiscal year. The data gleaned from the competency survey will be used to enhance the value of the new LEAP career path options.
- Expanded offerings under the Career Horizons program that provide individualized support for employees in creating development plans and pursuing career growth.

The Agency supports employees in pursuing leadership development through a variety of program offerings, including both individual coaching and a new pilot mentoring program. Since 2012, 144 managers have completed a 12-session coaching engagement with an external coach. Coaching with an internal certified executive coach is not tracked, nor is demographic information captured, due to confidentiality.

Late in FY 2017, OHR conducted a Leadership Interest Survey to gather data from all SK-15 and SK-17 managers. Survey data from SEC management staff were analyzed in early FY 2018 to inform SECU's leadership development offerings going forward. Additionally, OHR's Human Capital Strategy Group began a long term, multi-year planning effort for a leadership development program similar to the SES Candidate Development Programs offered by other federal agencies.

Relatedly, in summer 2018, the Agency successfully launched a pilot mentoring program leading to the first cohort of 30 participants who will receive mentoring throughout FY 2019. In total, 142 permanent employees submitted a statement of interest in the program. On a first come, first serve basis, 30 participants were accepted into the mentoring program and matched with volunteer mentors with deep technical expertise and/or leadership experience. Employees, who expressed interest in the program who were not matched with mentors for this program offering were placed on a wait list for a future program offerings. The SEC held an orientation session for both mentors and participants, and will hold formal events throughout FY 2019 to help guide the mentoring relationship toward success.

Participation among PWD and PWTD in the Agency's career development opportunities is provided below.

2. In the table below, please provide the data for career development opportunities that require competition and/or supervisory recommendation/approval to participate.

Career Development Opportunities ¹	Total Participants		PWD		PWTD	
	Applicants (#)	Selectees (#)	Applicants (%)	Selectees (%)	Applicants (%)	Selectees (%)
Internship Programs	0	0	0.00%	0.00%	0.00%	0.00%
Fellowship Programs	24	13	NA	0.00%	NA	0.00%
Mentoring Programs	142	29	5.63%	6.90%	0.00%	0.00%
Coaching Programs	NA	NA	NA	NA	NA	NA
Training Programs ¹	27,050	27,050	10.69%	10.69%	2.27%	2.27%
Detail Programs	NA	NA	NA	NA	NA	NA
Other Career Development Programs	NA	NA	NA	NA	NA	NA

Notes: With more limited hiring in FY 2018, there was no recruitment or hiring of applicants for Internship programs. The SEC does not currently have *Detail Programs* or *Other Career Development Programs* as defined for inclusion here. Demographic data on applicants for the Agency's *Fellowship Programs* are not currently captured. Neither are such data captured for participants in *Coaching Programs* to protect the confidential relationship between employee and coach. The SECs pilot *Mentoring Program* was offered on a first come, first serve basis.

¹ *Training Programs* data show demographic data for all permanent employees' registrations for training in LEAP and completed training opportunities during FY 2018. There is no competition for training class registration. All eligible employees who register or apply are invited or selected to complete the training course. Applicant and selectee participation records are thus identical. These Applicant registration and Selectee participation records may include more than one training opportunity per employee, representing both mandatory and elective courses. Therefore, the total registration and participation data exceed the total number of employees.

3. Do triggers exist for PWD among the applicants and/or selectees for any of the career development programs? (The appropriate benchmarks are the relevant applicant pool for the applicants and the applicant pool for selectees.) If "yes", describe the trigger(s) in the text box.

a. Applicants (PWTD) Yes No 0
 b. Selections (PWTD) Yes 0 No

From the Career Development Opportunities table in Section IV.B.2 above, data on the participation of PWD and PWTD in applications or selections for various programs were reviewed.

Within the Agency's pilot mentoring program, the Agency noted a difference in the participation rate among those who expressed interest in the mentoring program (i.e., applicants) as compared to participation of PWD in the permanent workforce. While 8.76% of all permanent staff are PWD, PWD represent 5.63% of those employees who expressed interest in the pilot mentoring program. The Agency will continue to share information about this program through DIAC and other channels to encourage greater interest among PWD for future offerings.

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The participation rate of 6.90% PWD among those selected to participate in the pilot mentoring program (i.e., Selectees) exceeded their participation among those expressing interest (5.63%). As such, no trigger was noted for the selections into the Agency’s pilot mentoring program.

Aggregate PWD participation in training programs through the Agency’s learning management system, LEAP, exceeds their participation on rolls; 10.69% of training opportunities (both mandatory and elective) were completed by PWD, compared to 8.76% of permanent employees who are PWD. PWD participation in training was higher than that among permanent employees; this difference was statistically significant ($X^2 = 27.85$, $p < .0001$). No evidence for lower rates of participation for PWD was found in the Agency’s training program.

For other Career Development Opportunities, demographic data specific to disability status are not captured or maintained. The Agency will continue to offer such programming and to focus communication efforts to encourage participation of PWD and PWTD as described above, *supra*.

4. Do triggers exist for PWTD among the applicants and/or selectees for any of the career development programs identified? (The appropriate benchmarks are the relevant applicant pool for applicants and the applicant pool for selectees.) If “yes”, describe the trigger(s) in the text box.

a. Applicants (PWTD)	Yes	X	No	0
b. Selections (PWTD)	Yes	0	No	X

From the Career Development Opportunities table in Section IV.B.2 above, data on the participation of PWTD in various programs were reviewed for equality of employment opportunity in the applications or selections for these programs.

Within the Agency’s pilot mentoring program, the Agency notes a difference in the participation rate among those who expressed interest in the mentoring program (i.e., applicants), as compared to PWTD among permanent staff. While 2.02% of the Agency’s permanent staff are PWTD, no (0.00%) PWTD expressed interest in the pilot mentoring program. The Agency will share information about future offerings of this program through DIAC and other channels to encourage greater interest among PWTD. Given that no PWTD expressed interest in the program, none were selected. No trigger was noted for selections into the mentoring program.

In the aggregate, training records show that PWTD participated in training programs through LEAP at rates just above their participation on rolls; 2.27% of training opportunities (both mandatory and elective) were completed by PWTD, compared to 2.02% of PWTD permanent employees. No evidence of a trigger or significant difference was found for the participation (i.e., selections) of PWTD in training programs data.

Awards

1. Using the inclusion rate as the benchmark, does your agency have a trigger involving PWD and/or PWTD for any level of the time-off awards, bonuses, or other incentives? If “yes”, please describe the trigger(s) in the text box.

a. Awards, Bonuses, & Incentives (PWD) Yes **X** No 0
b. Awards, Bonuses, & Incentives (PWTD) Yes **X** No 0

In the FY 2018 data underlying Table B13, the Agency presents information on awards distributed to employees during the year as part of its employee recognition program.

The inclusion rate for PWD was calculated by comparing the number and percent of employees with disabilities (PWD) who received at least one award in each applicable program element to the number and percent of employees without a disability (this category combines persons with no disability and those who did not identify as having a disability) who received at least one award in each applicable program element.

The inclusion rate for PWTD was calculated by comparing the number and percent of employees with targeted disabilities (PWTD) who received at least one award in each applicable program element to the number and percent of employees without a targeted disability (this category combines persons with no disability, those who did not identify as having a disability, and those with a disability that is not targeted) who received at least one award in each applicable program element.

For both PWD and PWTD, the Agency found lower inclusion rates in: time-off awards of nine (9) hours or more and cash awards of more than \$500. No trigger was found disadvantaging PWD or PWTD in the distribution of time-off awards less than nine (9) hours or cash awards of \$100 to \$500.

For time-off awards of more than nine hours, the inclusion rate for PWD was 29.32%, and the inclusion rate for people with no disability was 32.39%. The inclusion rate for PWTD was 23.86%, and the inclusion rate for people with no targeted disability was 32.29%.

For cash awards of more than \$500, the inclusion rate for PWD was 40.05%, and the inclusion rate for people with no disability was 52.58%. The inclusion rate for PWTD was 32.95%, and the inclusion rate for people with no targeted disability was 51.86%.

For time-off awards of one to nine hours, the inclusions rates were: 38.22% for PWD and 37.69% for persons with no disability. The PWTD inclusion rate was 48.86% and for those with no targeted disability, it was 37.51%.

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For cash awards of \$100 to \$500, the inclusion rate for PWD was 34.29%, and the inclusion rate for people with no disability was 25.37%; the inclusion rate for PWTD was 44.32%, and the inclusion rate for people with no targeted disability was 25.78%.

The Agency is actively researching the observed differences in the distribution of discretionary awards as part of our barrier analysis program, described earlier in Part I of this report, *supra*.

2. Using the inclusion rate as the benchmark, does your agency have a trigger involving PWD and/or PWTD for quality step increases or performance-based pay increases? If “yes”, please describe the trigger(s) in the text box.

a. Pay Increases (PWD)	Yes 0	No X
b. Pay Increases (PWTD)	Yes 0	No X

To address the question posed here, the following summarizes data from performance-based pay increases distributed under the Agency’s *Performance Management Program* and the nature of action (NOA) code 891, *Regular Performance Pay*, in accordance with EEOC instruction for presenting these data. Performance-based awards at the SEC are also recorded under NOA Codes 885 and 886 for performance rating based lump sum awards. In FY 2018, a significant proportion of the employee population received lump sum payments under NOA Code 885 and/or 886 rather than a pay increase under NOA Code 891.

The inclusion rate was calculated by comparing the number and percent of employees who received a performance-based pay increase (NOA 891) among PWD to the number and percent of employees with no disability (this group includes those who did not identify as having a disability). No difference in performance rating based pay increases was found for PWD. The inclusion rate for PWD was 71.20%, and for people without disabilities and those who did not self-identify with a disability, it was 66.46%.

The inclusion rate for PWTD was calculated by comparing the number and percent of PWTD who received a performance-based pay increase (NOA 891) to the number and percent of employees without a targeted disability (i.e., the combined total of persons with no disability, those who do not identify as having a disability, and those with a disability that is not targeted) who received such a performance-based pay increase. No difference was found in performance rating based pay increases. The inclusion rate for PWTD was 73.86%, and for people without targeted disabilities (including those with no disability, those who did not self-identify as having a disability, and those with a disability that is not targeted), it was 66.73%.

3. If the agency has other types of employee recognition programs, are PWD and/or PWTD recognized disproportionately less than employees without disabilities? (The appropriate benchmark is the inclusion rate.) If “yes”, describe the employee recognition program and relevant data in the text box.

a. Other Types of Recognition (PWD) Yes 0 No **X** N/A 0
 b. Other Types of Recognition (PWTD) Yes 0 No **X** N/A 0

In FY 2018, OEEO analyzed data from the Agency’s gift card recognition program since the program’s inception in late FY 2016 through FY 2017. This analysis was completed under the barrier analysis program’s research into the distribution of discretionary cash and time-off awards. Among all gift card recipients in this time period, 105 were PWD (12.06%), and 20 were PWTD (2.30%). This participation of PWD and PWTD in the gift card program exceeded their participation of permanent staff on rolls (participation rates of permanent staff for PWD was 8.76%, and for PWTD was 2.02%).

Further, inclusion of PWD (27.49%) among gift card recipients, when considered against the total PWD permanent staff at the end of FY 2018, exceeded that of the combination of persons with no disability and those who did not self-identify (18.91%). Similarly the inclusion rate for PWTD (22.73%) gift card recipients exceeded that of those with no targeted disability (19.60%). Consistent with analyses conducted on discretionary cash and time-off awards; lower value gift card awards were used to recognize PWD and PWTD more frequently than employees with no disability. More information about the Agency’s analysis of discretionary cash and time-off awards can be found in Part I of this report, *supra*.

Promotions

1. Does your agency have a trigger involving PWD among the qualified internal applicants and/or selectees for promotions to the senior grade levels? (The appropriate benchmarks are the relevant applicant pool for qualified internal applicants and the qualified applicant pool for selectees.) For non-GS pay plans, please use the approximate senior grade levels. If “yes”, describe the trigger(s) in the text box.

a. SES
 Qualified Internal Applicants (PWD) Yes 0 No **X**
 Internal Selections (PWD) Yes **X** No 0

b. Grade GS-15
 Qualified Internal Applicants (PWD) Yes 0 No **X**
 Internal Selections (PWD) Yes **X** No 0

c. Grade GS-14
 Qualified Internal Applicants (PWD) Yes 0 No **X**
 Internal Selections (PWD) Yes **X** No 0

d. Grade GS-13

Qualified Internal Applicants (PWD)	Yes	0	No	X
Internal Selections (PWD)	Yes	X	No	0

The SEC crosswalks the Agency’s SK alternative pay plan’s senior grade levels to the General Schedule according to the following equivalencies: SES = SO and EX; GS-15 = SK-15 and SK-17; GS-14 = SK-14 and SK-16; GS-13 = SK-13. We note that the relevant applicant pools (RAP) for the SK grade equivalencies of the GS-14 and GS-15 levels combine data across two SK-grade levels. This combination was made to conform analyses to the format provided, though the actual RAPs for the individual SK-levels differ.

Table B11 presents the relevant FY 2018 data to assess whether triggers exist with regard to promotions to senior grade levels. Of 972 qualified internal applications for senior grade level positions, 148 (15.23%) were submitted by PWD. The Agency was successful in supporting PWD in their interest in and application for senior grade level positions. There were no triggers identified among qualified internal applicants to senior grades.

Differences were observed among selectees for all senior grade levels. Of the promotions to senior grade levels in Table B11, 5.88% were PWD, which is lower than their availability in the QAP at 15.23%. [Redacted to protect privacy.] The following presents data for each grade level equivalent.

At the SO level, the RAP, comprised of all employees at grade levels SK-14 and higher, was 6.69%, and among qualified internal applicants, a larger proportion (14.00%) were PWD. None of the employees selected for SO positions were PWD.

At the SK-15 and SK-17 levels (GS-15 equivalent), the RAP, comprised of employees at grades SK-14, SK-15, and SK-16, was 6.74%, while the participation of PWD among qualified internal applicants was greater at 15.46%. The Agency noted a difference involving internal selections for senior grade levels at the SK-15 and SK-17 levels; 5.17% of selections were PWD compared to their participation among qualified internal applicants at 15.46%.

At the SK-14 and SK-16 levels (GS-14 equivalent), the RAP, comprised of employees at grades SK-13, SK-14, and SK-15, was 7.94%, and the participation of PWD among qualified internal applicants was 13.11%. On the other hand, 7.02% of selections were PWD compared to 13.11% of qualified internal applicants.

At the SK-13 level (GS-13 equivalent), the RAP, comprised of employees at the SK-12 level, was 17.89%, and the participation of PWD among qualified internal applicants was 36.67%. Among selections for internal promotions at the SK-13 level, 11.11% were PWD, and 36.67% of the qualified internal applicants were PWD.

2. Does your agency have a trigger involving PWTD among the qualified internal applicants and/or selectees for promotions to the senior grade levels? (The appropriate benchmarks are the relevant applicant pool for qualified internal applicants and the qualified applicant pool for selectees.) For non-GS pay plans, please use the approximate senior grade levels. If “yes”, describe the trigger(s) in the text box.

a. SES

Qualified Internal Applicants (PWTD)	Yes	0	No	X
Internal Selections (PWTD)	Yes	X	No	0

b. Grade GS-15

Qualified Internal Applicants (PWTD)	Yes	0	No	X
Internal Selections (PWTD)	Yes	X	No	0

c. Grade GS-14

Qualified Internal Applicants (PWTD)	Yes	X	No	0
Internal Selections (PWTD)	Yes	0	No	X

d. Grade GS-13

Qualified Internal Applicants (PWTD)	Yes	X	No	0
Internal Selections (PWTD)	Yes	0	No	X

Applying the same comparisons to PWTD as described in Section IV.D.1, the Agency presents information on trigger identification for PWTD in promotions to senior grade levels. Of 972 qualified internal applications for senior grade level positions, 24 (2.47%) were submitted by PWTD. Of the promotions to senior grade levels in Table B11, 1.47% were PWTD. [Redacted to protect privacy.] Overall, the Agency was successful in supporting PWTD in their interest in and application for senior grade level positions at the highest levels and was less successful in selecting PWTD for those promotions.

Differences were observed in the qualified applicant pools for both the GS-13 and GS-14 equivalent senior grade levels and among selectees for both the GS-15 and SES equivalent senior grade levels. The following presents data for each grade level.

At the SO level, the Agency notes that the RAP was 1.41% PWTD, and the participation among qualified internal applicants of PWTD was 3.00%. Zero selections for SO positions were PWTD among the qualified internal applicants who were 3.00% PWTD.

At the SK-15 and SK-17 level (GS-15 equivalent), the RAP was 1.39%, and among the qualified internal applicants, 3.54% were PWTD. For the internal selections to grades SK-15 and SK-17, 3.54% of the qualified internal applicant pool was PWTD, and 1.72% of selections for SK-15 or SK-17 positions were PWTD.

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At the SK-14 and SK-16 level (GS-14 equivalent), the Agency observed a difference among qualified internal applicants. The RAP was 1.59% while 0.66% of the qualified internal applicants were PWTDD. Selections were 1.75% PWTDD; therefore, no difference was found among selectees.

At the SK-13 level (GS-13 equivalent), the Agency observed a difference involving PWTDD among qualified internal applicants. The RAP was 5.96%, and the participation of PWD among qualified internal applicants was 0.00%. The Agency did not have a trigger involving internal selections. None of the qualified internal applicants were PWTDD, and none were selected.

3. Using the qualified applicant pool as the benchmark, does your agency have a trigger involving PWD among the new hires to the senior grade levels? For non-GS pay plans, please use the approximate senior grade levels. If “yes”, describe the trigger(s) in the text box.

a. New Hires to SES (PWD)	Yes	<input checked="" type="checkbox"/>	No	0
b. New Hires to GS-15 (PWD)	Yes	0	No	<input checked="" type="checkbox"/>
c. New Hires to GS-14 (PWD)	Yes	<input checked="" type="checkbox"/>	No	0
d. New Hires to GS-13 (PWD)	Yes	<input checked="" type="checkbox"/>	No	0

Applying the same grade equivalencies that were described in Section IV, the Agency presents information on trigger identification for PWD new hires to senior grade levels based on reviewing data underlying Tables B7 and B8. Among the newly hired staff members in FY 2018 and persons hired into senior grade level positions, 9.09% newly hired permanent staff in senior grade levels identified as both PWD and PWTDD. [Redacted to protect privacy.] The following evaluates participation of PWD in each grade equivalent level.

Because no permanent staff PWD employees were hired into senior grade levels for the GS-13, GS-14, or SES equivalent positions, participation of PWD was higher among the QAP than among newly hired senior grade staff for each of those grade level equivalencies. At the GS-15 equivalent, SK-15 and SK-17 level, there was no trigger for the permanent new hires for either PWD or PWTDD because 33.33% of the newly hired staff at those levels were both PWD and PWTDD. [Redacted to protect privacy.] The following describes trigger analysis at each grade equivalent level SES, GS-15, GS-14, and GS-13.

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As described above (see Part E, Section III above), the QAP from Table B7 summarizes data where the applicant self-identified with a disability and qualified for the position. Data in this table describe vacancies for permanent and temporary positions with the SEC that were posted in USAJOBS with a closing date during the fiscal year. In contrast, Table B8 presents data on *new hires* on boarded during the course of the fiscal year; some of whom applied for a vacancy posted prior to the start of the fiscal year. Differences may be observed in the demographic statistics of those selected versus those on boarded as *new hires*. Triggers comparing the composition of PWD and PWTD in applicant flow versus new hire data should be interpreted with these difference in mind.

At the SO level, the QAP was 4.83% PWD, and none of the newly hired permanent SOs identified as PWD. [Redacted to protect privacy.] At the SK-15 and SK-17 levels (GS-15 equivalent), the QAP was 1.96% PWD, and 33.33% of the permanent new hires for SK-15 and SK-17 positions identified as PWD. [Redacted to protect privacy.] At the SK-14 and SK-16 levels, the QAP was 10.65% while none of the permanent new hires to SK-14 and SK-16 positions identified as PWD. [Redacted to protect privacy.] At the SK-13 level, the QAP was 4.55% while none of the new hires to SK-13 positions identified as PWD. [Redacted to protect privacy.]

4. Using the qualified applicant pool as the benchmark, does your agency have a trigger involving PWTD among the new hires to the senior grade levels? For non-GS pay plans, please use the approximate senior grade levels. If “yes”, describe the trigger(s) in the text box.

a. New Hires to SES (PWTD)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
b. New Hires to GS-15 (PWTD)	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>
c. New Hires to GS-14 (PWTD)	Yes <input checked="" type="checkbox"/>	No <input type="checkbox"/>
d. New Hires to GS-13 (PWTD)	Yes <input type="checkbox"/>	No <input checked="" type="checkbox"/>

Applying the same grade equivalencies that were described in Section IV and the tables reviewed in Section IV above, the Agency presents information on trigger identification for PWTD new hires to senior grade levels. Of the newly hired permanent staff in senior grade levels, 9.09% were PWTD in SK-15 or SK-17 positions. [Redacted to protect privacy.]

For two of the senior grade level positions, the Agency found a trigger in differences in participation of PWTD between qualified applicants and among new hires. Because no PWTD employees were hired into senior grade level positions in the SO or the SK-14 and SK-16 (GS-14 equivalent) positions, participation of PWTD was higher among the QAP than among newly hired senior grade staff for each of those grade level equivalencies.

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For two of the senior grade level positions, the Agency found no evidence for a trigger between qualified applicants and among new hires. At the SK-15 and SK-17 level (GS-15 equivalent), there was no trigger for the permanent new hires for either PWD or PWTD. For SK-13 (GS-13 equivalent) positions, there was no opportunity to observe a difference for PWTD newly hired staff. No PWTD were available in the QAP, and none were selected.

More detail about each senior grade level follows in descending order by level. At the SO level, the Agency found a difference involving PWTD among new hires. The QAP was 0.97%, and none of the permanent new hires to SO positions identified as PWTD. [Redacted to protect privacy.] At the SK-15 and SK-17 levels, the QAP was 1.12%, and of the permanent new hires to SK-15 and SK-17 positions, 33.33% were PWTD. [Redacted to protect privacy.] At the SK-14 and SK-16 levels, the QAP was 1.61%, and none of the permanent new hires to SK-14 and SK-16 positions were PWTD. At the SK-13 level, the qualified applicant pool was 0.00% and there were no permanent new hires who were PWTD. [Redacted to protect privacy.]

5. Does your agency have a trigger involving PWD among the qualified internal applicants and/or selectees for promotions to supervisory positions? (The appropriate benchmarks are the relevant applicant pool for qualified internal applicants and the qualified applicant pool for selectees.) If “yes”, describe the trigger(s) in the text box.

a. Executives

Qualified Internal Applicants (PWD)	Yes 0	No X
Internal Selections (PWD)	Yes X	No 0

b. Managers

Qualified Internal Applicants (PWD)	Yes 0	No X
Internal Selections (PWD)	Yes X	No 0

c. Supervisors

Qualified Internal Applicants (PWD)	Yes 0	No X
Internal Selections (PWD)	Yes X	No 0

The SEC cross-walked the Agency’s alternative pay plan supervisory levels to the Executive, Manager, and Supervisor levels according to the following equivalencies: Executives = SO; Managers = SK-17 and the supervisory Administrative Law Judges in pay plan Administrative Law (AL); and Supervisors = employees or positions at SK-levels below SK-17 who hold supervisory status. We note that, similar to the senior grade level equivalencies, the relevant applicant pools (RAP) for supervisory levels at the Agency combine data across multiple SK levels. This combination was made to conform analyses to the format provided, though the actual RAPs for the specific leadership levels differ.

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FY 2018 data underlying Table B11 are relevant for assessing whether triggers exist with regard to promotions to supervisory positions. Among the promotions in FY 2018 to a leadership position at the supervisor, manager, or executive level, 5.88% identified as PWD. The following evaluates participation of PWD in each leadership level. *[Redacted to protect privacy.]*

For all three leadership levels, the participation of PWD in the qualified internal applicant pool exceeds that in the RAP. However, differences were found when comparing PWD selections into leadership positions to the qualified internal applicant pools at all three leadership levels. As found for senior grade levels, overall, the Agency was successful in supporting PWD in their interest in and application for leadership roles and was less successful in selecting PWD for those promotions.

For executives, the Agency had a trigger involving internal selections. The RAP, comprised of permanent managers with supervisory status at the SK-17 level, was 6.33%, and the qualified internal applicants were 14.00% PWD. Therefore, no trigger was found for qualified internal applicants. However, the Agency found lower participation of PWD among selections. None of the internal selections for SO positions identified as PWD, while 14.00% of the qualified internal applicants were PWD.

For managers, the RAP, comprised of permanent supervisors at the SK-13 through SK-15 levels, was 7.34%, and the qualified internal applicant pool was 16.06%. The SK-17 manager selections noted in internal competitive promotion data included 3.7% PWD. *[Redacted to protect privacy.]*

For supervisors, the Agency did not have a trigger involving qualified internal applicants. The RAP, comprised of both supervisory and non-supervisory employees at the SK-12 through SK-14 levels, was 8.98% PWD, and the qualified internal applicants were 14.94% PWD. There was a difference found for internal selections; 14.94% of the qualified internal applicants identified as PWD, and 7.22% were selected.

6. Does your agency have a trigger involving PWTD among the qualified internal applicants and/or selectees for promotions to supervisory positions? (The appropriate benchmarks are the relevant applicant pool for qualified internal applicants and the qualified applicant pool for selectees.) If “yes”, describe the trigger(s) in the text box.

a. Executives

Qualified Internal Applicants (PWTD)	Yes 0	No X
Internal Selections (PWTD)	Yes X	No 0

b. Managers

Qualified Internal Applicants (PWTD)	Yes 0	No X
Internal Selections (PWTD)	Yes X	No 0

c. Supervisors

Qualified Internal Applicants (PWTD)	Yes	<input checked="" type="checkbox"/>	No	0
Internal Selections (PWTD)	Yes	0	No	<input checked="" type="checkbox"/>

Applying the same grade equivalencies that were described in Section IV, the Agency presents information on trigger identification for PWTD internal promotions to supervisory positions from data underlying Table B11. Promotions to the supervisory level included 1.47% PWTD. [Redacted to protect privacy.] The following evaluates participation of PWTD in each leadership level.

For the manager and executive levels, the participation of PWTD in the qualified internal applicant pool exceeds that in the RAP. Such was not true for the supervisor level where a difference in participation between the RAP and qualified internal applicants was noted. Further, differences were found when comparing PWTD selections into leadership positions to the qualified internal applicant pools for both managers and executives. As found for senior grade levels, overall, the Agency was successful in supporting PWTD in their interest in and application for senior leadership roles and was less successful in selecting PWTD for those promotions.

For executives, the RAP was 1.52% PWTD and 3.30% of the qualified internal applicants were PWTD. The Agency did identify a difference in participation for PWTD involving internal selections; no PWTD were among the employees selected for SO positions. [Redacted to protect privacy.]

For managers, the RAP was 1.13% PWTD and a larger proportion 4.24% of the qualified internal applicants were PWTD. The Agency identified a difference involving internal selections; no PWTD were selected out of manager selections, though 4.24% of the qualified internal applicants were PWTD. [Redacted to protect privacy.]

For supervisors, the RAP was 2.00%, and the Agency noted that a smaller proportion (1.29%) of the qualified internal applicants were PWTD. However, the Agency found stronger participation of PWTD among those selected for supervisory positions at 2.06% as compared to their availability among qualified internal applicants at 1.29%.

7. Using the qualified applicant pool as the benchmark, does your agency have a trigger involving PWD among the selectees for new hires to supervisory positions? If “yes”, describe the trigger(s) in the text box.

a. New Hires for Executives (PWD)	Yes X	No 0
b. New Hires for Managers (PWD)	Yes 0	No X
c. New Hires for Supervisors (PWD)	Yes X	No 0

Applying the same grade equivalencies that were described in Section IV, the Agency presents information on trigger identification for PWD new hires into leadership positions. Data underlying Tables B7 and B8 are relevant for assessing whether differences exist with regard to applicants and new hires in supervisory positions for PWD (this question) and PWTD (*see the next question*). An anomaly was found in FY 2018 new hire data for PWD at the executive level.

Among the newly hired staff members in FY 2018, 22.22% of newly hired permanent staff in leadership positions were both PWD and PWTD. [*Redacted to protect privacy.*] The following evaluates participation of PWD in each leadership level. Because no permanent staff PWD employees were hired into either SO or supervisor positions, participation of PWD was higher among the QAP than among newly hired leaders. At the manager level, there was no trigger for the permanent new hires for either PWD or PWTD.

As described above, the QAP from Table B7 summarizes data where the applicant self-identified with a disability and qualified for the position. Data in this pool describe vacancies for permanent and temporary positions with the SEC that were posted in USAJOBS with a closing date during the fiscal year. In contrast, Table B8 presents data on new hires on boarded during the course of the fiscal year; some of whom applied for a vacancy posted prior to the start of the fiscal year. Differences may be observed in the demographic statistics of those selected versus those on boarded as new hires. Triggers comparing the composition of PWD and PWTD in applicant flow versus new hire data should be interpreted with these differences in mind.

For executives, the QAP was 4.83%, and none of the newly-hired permanent executives identified as PWD. For managers, PWD participation of 40.00% among newly hired managers exceeds their participation in the QAP at 2.40%. [*Redacted to protect privacy.*] For supervisors, no PWD were newly hired into supervisory positions, while 1.56% of the QAP were PWD.

8. Using the qualified applicant pool as the benchmark, does your agency have a trigger involving PWTD among the selectees for new hires to supervisory positions? If “yes”, describe the trigger(s) in the text box.

a. New Hires for Executives (PWTD)	Yes X	No 0
b. New Hires for Managers (PWTD)	Yes 0	No X
c. New Hires for Supervisors (PWTD)	Yes 0	No X

Differences were found in FY 2018 new hire data for PWTD at the executive level, but no differences were found at the manager or supervisor levels. Of the newly hired permanent staff in leadership positions 22.22% were both PWD and PWTD in manager positions. [*Redacted to protect privacy.*]

For executives, the qualified applicant pool was 0.97% PWTD. However, no PWTD were selected as new hires for executive positions in FY 2018. For managers, the qualified applicant pool was 1.60% PWTD, and 40.00% of the newly-hired permanent managers were PWTD. For supervisors, the qualified applicant pool was 0.00% PWTD, and none of the newly-hired permanent supervisors were PWTD. The manager and supervisor data do not suggest the presence of a trigger.

SECTION V: PLAN TO IMPROVE RETENTION OF PERSONS WITH DISABILITIES

To be a model employer for persons with disabilities, agencies must have policies and programs in place to retain employees with disabilities. In this section, agencies should: (1) analyze workforce separation data to identify barriers to retaining employees with disabilities; (2) describe efforts to ensure accessibility of technology and facilities; and (3) provide information on the reasonable accommodation program and workplace personal assistance services.

Voluntary and Involuntary Separations

1. In this reporting period, did the agency convert all eligible Schedule A employees with a disability into the competitive service after two years of satisfactory service (5 C.F.R. § 213.3102(u)(6)(i))? If “no”, please explain why the agency did not convert all eligible Schedule A employees.

Yes No 0 N/A 0

The SEC maintains discretion on conversions to a career or career-conditional appointment among employees on Schedule A appointments. As a general practice, those Schedule A employees who were not converted voluntarily accepted a new Schedule A appointment within the Agency. Ten employees were converted to the competitive service under the Schedule A hiring authority during FY 2018. Seven of those employees were converted within two years of first entering on duty with the SEC. Three employees were successfully converted to the competitive service during FY 2018 after serving multiple Schedule A appointments; these employees were converted within two years of being placed into their most recent Schedule A appointment.

2. Using the inclusion rate as the benchmark, did the percentage of PWD among voluntary and involuntary separations exceed that of persons without disabilities? If “yes”, describe the trigger below.

a. Voluntary Separations (PWD) Yes No 0
 b. Involuntary Separations (PWD) Yes No 0

Table B14 provides FY 2018 data on voluntary and involuntary separation by disability. These data were used to calculate the inclusion rates. Inclusion rates were calculated as the number of PWD who separated among all PWD in the workforce, compared to the same proportion among persons with no disability (this category is combined with those who did not self-identify as having a disability). FY 2018 data show that PWD separated at higher rates than those with no disability.

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For voluntary separations, the percentage of PWD exceeded that of persons without disabilities. The inclusion rate for PWD was 4.19%, and for people without disabilities, including those who did not self-identify, the inclusion rate was 3.92%. For involuntary separations, the percentage of PWD exceeded that of persons without disabilities. The inclusion rate for PWD was 0.52%, and for people without disabilities, including those who did not self-identify, the inclusion rate was 0.05%.

3. Using the inclusion rate as the benchmark, did the percentage of PWTD among voluntary and involuntary separations exceed that of persons without targeted disabilities? If “yes”, describe the trigger below.

a. Voluntary Separations (PWTD)	Yes 0	No X
b. Involuntary Separations (PWTD)	Yes 0	No X

Using data from Table B14 to calculate the inclusion rates for PWTD, the following was found in FY 2018 data. Inclusion rates were calculated as the number of PWTD who separated among all PWTD in the workforce, compared to that same proportion among persons with no disability (this group also includes those who did not self-identify as having a disability and those with a disability that is not targeted).

No evidence of differentially higher separation among PWTD was found in FY 2018 data. For voluntary separations, the percentage of employees with no targeted disability exceeded that of PWTD. The inclusion rate for PWTD was 1.14%, and for people without targeted disabilities, it was 4.00%.

For involuntary separations, the percentage of persons without targeted disabilities exceeded that of PWTD. The inclusion rate for PWTD was 0.00%, and for people without targeted disabilities, the inclusion rate was 0.09%.

4. If a trigger exists involving the separation rate of PWD and/or PWTD, please explain why they left the agency using exit interview results and other data sources.

To understand the reasons why PWD were separating from the Agency, voluntary separation data were more closely reviewed, combined with other demographic information about employees with disabilities. Analysis considered any trends in employee separation by Division or Office, by occupation, by grade, and by age. The most influential trend observed in these data was a relationship between age and disability. The largest portion of voluntary separations for PWD and PWTD were retirements from federal service. The Bureau of Labor Statistics has similarly documented the age profile of the U.S. population of PWD (Source: [bls.gov/spotlight/2018/labor-force-characteristics-of-people-with-a-disability/home.htm](https://www.bls.gov/spotlight/2018/labor-force-characteristics-of-people-with-a-disability/home.htm)).

The very small number of PWD separated under involuntary conditions limits the reliability of general conclusions from these data. [Redacted to protect privacy.] At the same time, even this small volume represents a proportion of the PWD employee population, such that exploring the involuntary separations may be informative. With that caveat, OEEO plans to gather data about the reasons for removing involuntarily separated PWD to uncover any preventive action or support needed for current and future employees.

The SEC invites all departing employees to complete an exit survey during their last pay period on SEC rolls. This survey asks exiting employees to self-identify if they have a disability and whether or not an accommodation was needed or provided. Among 83 employees who completed the exit survey in FY 2018, seven self-identified as having a disability (8.43%). Among exiting employees who reported a disability in FY 2018, two reported that they were provided reasonable accommodation.

The small number of separating employees who self-identified with a disability and completed an exit survey limits the reliability of conclusions to be drawn from these data about the reasons why those employees left the Agency. To this end, in FY 2018 the Agency analyzed information from the exit survey across two fiscal years to support more general conclusions about why employees with disabilities left the SEC.

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Across FY 2017 and FY 2018, 60% of employees who separated and reported a disability indicated they left the SEC due to retirement. Of note, all departing employees who self-identified as having a disability were slightly more positive when responding to items on the exit survey related to diversity and inclusion when compared to employees who did not report a disability: 90% agreed that their workgroup was open to diverse viewpoints and backgrounds (compared to 79% of employees who did not report a disability); 90% agreed that their supervisor/team lead treated them with respect (versus 81%); 80% agreed their co-workers fostered an cohesive work environment (versus 79%); and 80% agreed policies and programs promoted diversity in the workplace (versus 70%). The results of the exit survey suggest employees who separated and indicated a disability were more satisfied with SEC diversity and inclusion efforts than other separated employees.

The analyses described here were completed as part of the in-process barrier analysis for PWD and PWTD described more fully in Section VII, *infra*.

Accessibility of Technology and Facilities

Pursuant to 29 C.F.R. § 1614.203(d)(4), federal agencies are required to inform applicants and employees of their rights under Section 508 of the Rehabilitation Act of 1973 (29 U.S.C. § 794(b)) concerning the accessibility of Agency technology, and the Architectural Barriers Act of 1968 (42 U.S.C. § 4151-4157) concerning the accessibility of Agency facilities. In addition, agencies are required to inform individuals where to file complaints if other agencies are responsible for a violation.

1. Please provide the internet address on the agency's public website for its notice explaining employees' and applicants' rights under Section 508 of the Rehabilitation Act, including a description of how to file a complaint.

Information specific to the accessibility of SEC facilities and technology under Sections 504 and 508 of the Rehabilitation Act is not currently consolidated into one specific notice or resource. Such information can be gathered from a variety of sources, including 17 C.F.R. §§ 200.601 to 200.670, *Enforcement of Nondiscrimination on the Basis of Handicap in Programs or Activities Conducted by the Securities and Exchange Commission* (SEC 504 regulations), SEC Administrative Regulation 24-10 (SECR 24-10), *Information and Communication Technology (ICT) Section 508/Accessibility Program*, and SEC Administrative Regulation 11-3 (SECR 11-3), *Leasing Program*.

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Information about the SEC's Accessibility/Disability Program is posted on SEC.gov: sec.gov/disability/sec_access.htm and sec.gov/accessibility/sec-accommodation-procedures.pdf. SEC is in the process of updating the Accessibility page of SEC.gov with applicable complaint-filing procedures under both Sections 504 and 508 of the Rehabilitation Act and the Architectural Barriers Act. Updates will include an explanation of the Rehabilitation Act and Architectural Barriers Act, informal processes for providing feedback about accessibility of facilities and technology to SEC, contact information and specific complaint processes for filing a formal claim related to accessibility, and additional resources for individuals to learn more. *A draft SEC Operating Procedure setting forth the complaint process related to Sections 504 and/or 508 and the Architectural Barriers Act is expected to be finalized in FY19, and posted on SEC.gov thereafter.*

Every SEC vacancy announcement posted to USAJOBS includes information about obtaining accommodations, including alternative methods to apply. The name of SEC's Special Programs Manager serving as the Selective Placement Program Coordinator (SPPC) is posted on OPM's website. OHR has built a separate page providing more in-depth information about hiring PWD (sec.gov/ohr/sec-disability-program-page.html). This page includes a link to an online form (sec.gov/forms/ADA4Applicants) for requesting accommodations in the technology-enabled job application process and information on alternate methods for contacting the Disability Program at the SEC.

The SEC also currently posts information on how to file an EEO complaint under, *inter alia*, Section 501 of the Rehabilitation Act at sec.gov/eeoinfo/eeocomplaints.htm.

2. Please provide the internet address on the agency's public website for its notice explaining employees' and applicants' rights under the Architectural Barriers Act, including a description of how to file a complaint.

Information specific to the accessibility of facilities under the Architectural Barriers Act is not currently consolidated into one specific notice or resource. Such information can be gathered from a variety of sources.

Information about the SEC's Disability Program and accommodation procedures is posted on SEC.gov (sec.gov/disability/sec_access.htm and sec.gov/accessibility/sec-accommodation-procedures.pdf). These resources provide information on accessibility in workspace modifications and appropriate response to other requests, including requests to make the SEC program accessible to disabled members of the public. The SEC posts information on how to file an EEO complaint at sec.gov/eeoinfo/eeocomplaints.htm. In line with the Agency's plans for implementing the required and

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recommended elements of Section 501 of the Rehabilitation Act, the Agency will update the SEC website with applicable procedures under the Architectural Barriers Act related to the accessibility of facilities.

Such updates are intended to address the required notice explaining employees' and applicants' rights under Section 508 and the Architectural Barriers Act as well as other policy and procedural changes to support reasonable accommodation for employees and applicants for employment. Updates will include contact information and specific complaints processes for issues related to accessibility under both Section 508 of the Rehabilitation Act and the Architectural Barriers Act.

3. Describe any programs, policies, or practices that the agency has undertaken, or plans on undertaking over the next fiscal year, designed to improve accessibility of agency facilities and/or technology.

Regarding the accessibility of technology, the Agency developed a *Technology Strategic Plan* to cover the years 2018 – 2020. The plan's technology priorities include improvements to the information technology (IT) operational environment and technology delivery model to provide high levels of system and infrastructure reliability and availability. Some initiatives within the plan will help provide high-quality user support and best-in-class infrastructure that benefit PWD and PWTD. These initiatives also support accessibility to SEC's technology for employees, applicants, and members of the public.

The Agency will conduct a review of plans for the IT operational environment found in the *Technology Strategic Plan* against the required and recommended elements for technology accessibility embedded in Section 508. The Agency will revise current policy and procedure, as appropriate, related to accessibility of facilities as required by the Architectural Barriers Act during FY 2019.

Reasonable Accommodation Program

Pursuant to 29 C.F.R. § 1614.203(d)(3), agencies must adopt, post on their public website, and make available to all job applicants and employees, reasonable accommodation procedures.

1. Please provide the average time frame for processing initial requests for reasonable accommodations during the reporting period. (Please do not include previously approved requests with repetitive accommodations, such as interpreting services.)

The SEC has established a reasonable accommodation (RA) processing timeline of 20 business days from the day of request to fulfillment, absent extenuating circumstances. Excluding the provision of adjustable height tables (AHTs), in FY 2018, 72% of initial requests for accommodation were processed within 20 business days.

SEC is currently engaged in a system design of an automated electronic case management system for processing RA requests as described in Part H of this report (*supra*).

In the meantime, tools and a more structured set of procedures were developed and used in FY 2018 for capturing data related to processing RA requests. From those data, the SEC notes a significant improvement in processing timeliness for those requests closed out during the year. The time frame for processing initial requests for RA during FY 2018 was 13.2 days, a greater than 40% decrease from the 22.3 days reported in FY 2017.

Data reviewed on requests for specific types of RA identified the need for additional focus on requests for AHT. In FY 2018, that focus led to notable improvement in processing efficiency for AHT as a RA. During FY 2018 requests for AHT were processed in 11 days, an almost 50% improvement over the processing time of 21.6 days reported for such requests in FY 2017.

RA requests, excluding requests for AHT, were processed in 14 days during FY 2018, which also represents a significant (>37% decrease) improvement over the 22.3 days reported for such requests in FY 2017.

2. Describe the effectiveness of the policies, procedures, or practices to implement the agency's reasonable accommodation program. Some examples of an effective program include timely processing requests, timely providing approved accommodations, conducting training for managers and supervisors, and monitoring accommodation requests for trends.

After a steady increase in participation over the past six years, in FY 2018 the Agency achieved the goals established under Section 501 of the Rehabilitation Act for both PWTD and PWD at the lower salary levels and for PWTD among higher salaried employees. In FY 2018, OEEO and OHR established a strong cross functional approach to supporting PWD and PWTD in the Agency's workforce, while leveraging OMWI's strong EAG network. In recognition of this partnership, leaders in OHR and OEEO were invited to share their thoughts in a cross Agency panel discussion at the July meeting of the *Federal Exchange on Employment with Disabilities* (FEED).

The interactive portal, *AskHR*, on the Agency's intranet provides employees with information about reasonable accommodation and the processes for making requests. To support employees in making such a request, the Agency has made available a comprehensive resource guide, "*Requesting Accommodations at SEC*," for everyone involved in the accommodations process. It explains how persons with disabilities should request accommodations, how requests are processed, and, as applicable, how requestors may seek review of decisions where a request has been denied.

The SEC provides temporary accommodations to employees with short-term medical conditions even when the condition does not constitute a covered disability when supervisory officials and the Disability Program Office decide that it is appropriate to do so. In FY 2018, the SEC processed 112 Temporary Medical Telework (TMT) requests, processed 151 RA requests, of which 38 were requests for telework as a reasonable accommodation.

All new SEC managers participate in mandatory training regarding the reasonable accommodation process as part of the LD 307 *Fundamentals of Human Resource Management* training. Additionally, the SEC's *New Employee Orientation* includes a presentation on the following programs and processes: RA, TMT, Telework, and Leave (i.e., annual/sick, advance leave, and FMLA, etc.). This information is included in the New Employee Handbook and made available on the *AskHR* portal.

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In FY 2018, the SEC revisited and revised the business requirements to implement an electronic case management system that would allow employees to request reasonable accommodations personally and privately. While the project was delayed in FY 2018, OHR did create RA and TMT Request and Agreement forms to simplify the process for employees making requests; to ensure current, accurate, and complete information is obtained to reduce processing times; and to improve the reliability of records indicating customer approval of the reasonable accommodation(s) provided. On September 26, 2018, OHR's Disability Program Office hosted a *Conversation with OHR* information session to introduce the new procedures for submitting RA requests to all interested employees. This session was announced and marketed to all employees and managers through *SEC Today*. This session also discussed the anticipated launch of procedures for requesting personal assistance services (PAS) described below.

Additionally, OHR continues to find ways to strengthen the current manual tracking process, including tracking timeliness for processing RA requests, and meeting on a monthly basis with the Chief Human Capital Officer to review and discuss timeliness and processing of all RA cases. The Agency will continue its efforts to implement the business requirements for the electronic case management system as further described in Part H of this report, *supra*.

Further, the Disability Program Office updated the Agency's RA policy to include requests for PAS. The revised policy was sent to EEOC for approval during FY 2018 and the EEOC provided written comments on February 5, 2019. During FY 2019, the Agency will review the electronic case management system's business requirements, the new policy, and related procedural changes that support RA for employees and applicants for employment. This review will address coverage of required and recommended elements defined under Section 501 of the Rehabilitation Act. Changes to RA procedures will likely necessitate updates to training, job aids, notices, and other information sources in FY 2019 and beyond.

Finally, to understand better how the Agency can support PWD and PWTD, OHR updated the exit survey. As of September 2018, the Agency's survey of departing staff, who self-identified as PWD asks: "What accommodations, personal assistance, or other support could improve the inclusion and advancement of individuals with disabilities at the SEC?"

Personal Assistance Services Allowing Employees to Participate in the Workplace

Pursuant to 29 C.F.R. § 1614.203(d)(5), federal agencies, as an aspect of affirmative action, are required to provide personal assistance services (PAS) to employees who need them because of a targeted disability, unless doing so would impose an undue hardship on the Agency.

1. Describe the effectiveness of the policies, procedures, or practices to implement the PAS requirement. Some examples of an effective program include timely processing requests for PAS, timely providing approved services, conducting training for managers and supervisors, and monitoring PAS requests for trends.

The Disability Program Office updated the Agency's RA policy to include requests for PAS. The revised policy was sent to EEOC for approval during FY 2018 and the EEOC provided written comments on February 5, 2019. While that policy was under revision and review in FY 2017, the Agency entered into a contract to support employees needing PAS. In FY 2018, OHR developed procedures for employees to submit confidential requests for PAS through *AskHR*. The new form used to capture requests will provide information that may be used to understand program adoption and effectiveness going forward. The Agency announced the new PAS form and procedures to employees on October 1, 2018.

SECTION VI: EEO COMPLAINT AND FINDINGS DATA

EEO Complaint Data Involving Harassment

1. During the last fiscal year, did a higher percentage of PWD file a formal EEO complaint alleging harassment, as compared to the government-wide average?

Yes 0 No **X** N/A 0

2. During the last fiscal year, did any complaints alleging harassment based on disability status result in a finding of discrimination or a settlement agreement?

Yes 0 No **X** N/A 0

3. If the agency had one or more findings of discrimination alleging harassment based on disability status during the last fiscal year, please describe the corrective measures taken by the agency.

During FY 2018, the Agency did not have any findings of discrimination alleging harassment based on disability status.

EEO Complaint Data Involving Reasonable Accommodation

1. During the last fiscal year, did a higher percentage of PWD file a formal EEO complaint alleging failure to provide a reasonable accommodation, as compared to the government-wide average?

Yes 0 No **X** N/A 0

2. During the last fiscal year, did any complaints alleging failure to provide reasonable accommodation result in a finding of discrimination or a settlement agreement?

Yes 0 No **X** N/A 0

3. If the agency had one or more findings of discrimination involving the failure to provide a reasonable accommodation during the last fiscal year, please describe the corrective measures taken by the agency.

During FY 2018, the Agency did not have any findings of discrimination involving the failure to provide reasonable accommodation.

SECTION VII: IDENTIFICATION AND REMOVAL OF BARRIERS

Element D of MD-715 requires agencies to conduct a barrier analysis when a trigger suggests that a policy, procedure, or practice may be impeding the employment opportunities of a protected EEO group.

1. Has the agency identified any barriers (policies, procedures, and/or practices) that affect employment opportunities for PWD and/or PWTD?

Yes 0 No **X**

2. Has the agency established a plan to correct the barrier(s) involving PWD and/or PWTD?

Yes 0 No 0 N/A **X**

3. Identify each trigger and plan to remove the barrier(s), including the identified barrier(s), objective(s), responsible official(s), planned activities, and, where applicable, accomplishments.

Trigger 1	<p>There was a lower-than-expected participation rate of Persons with Targeted Disabilities (PWTD) in the total workforce and in promotions to higher level positions when this study was initiated based on data from FY 2014. The participation rate of PWTD in the SEC's workforce was less than 1% in FY 2014 based on the then-current Standard Form 256 (SF-256) <i>Self Identification of Disability</i>. Participation of PWTD in the permanent workforce has increased based on the revised categories reflected in the new October 2016 version of the SF-256 to 2.02% in FY 2018.</p> <p>In FY 2018 data, the participation rate of Persons with Disabilities (PWD) in the total permanent workforce and among higher salaried employees as documented in responses to earlier sections of Part J is below the goal of 12% established by Section 501 of the Rehabilitation Act. The participation rate of higher salaried employees is 8.64%.</p> <p>Participation of PWD, and sometimes PWTD, among new hires and internal competitive promotions to mission critical, senior grade level, and leadership positions and among those who were selected for career development is below their availability in the relevant or qualified applicant pools. Further, the participation rate of PWD and PWTD among employees receiving higher value awards and for PWD among those separating from the Agency in both FY 2017 and FY 2018 exceeded that expected based on their participation in the total workforce and in comparison to persons with no disability.</p>
Barrier(s)	No barrier has been identified.
Objective(s)	<p>While the Agency has not identified specific policies, practices, or procedures that represent a barrier that affects employment opportunity for PWD or PWTD, representatives of OEEO and OHR agreed to take action toward enhancing equal employment opportunity for persons with targeted disabilities in the following areas:</p> <ul style="list-style-type: none"> • Develop and implement policies and procedures specific to the recruitment, hiring, advancement, and retention of persons with disabilities (PWD) or persons with targeted disabilities (PWTD) that are aligned with the federal government-wide flexibilities and requirements for affirmative action; • Enhance consistency and structure in the posting, screening, and interview processes for selection; • Create awareness on the part of hiring managers and subject matter experts (or others involved in the Agency's recruitment and selection processes) about the requirements for, and flexibilities available under, government-wide programs supporting PWD and PWTD; and employment programs, especially reasonable accommodation and disability programs, supportive of PWD and PWTD. <p>The objective of these efforts will be to continue to implement action plans developed to address the experience of PWTD and expand those plans to cover PWD in line with EEOC regulations. Additional action will focus on:</p> <ul style="list-style-type: none"> • Analysis of quantitative and qualitative data, including employee perceptions among the population of PWD and PWTD; • Implementing the recommended and required actions under Section 501 of the Rehabilitation Act of 1973; • Implementing, as feasible, revisions to the workforce data tables presenting information on PWD and PWTD, as per instruction from EEOC; and • Reviewing and updating agreed-upon action plans to address the broader population of PWD and/or to cover Section 501 regulatory changes.

Responsible Official(s)		Performance Standards Address the Plan? (Yes or No)
Title	Name	
Chief Human Capital Officer, OHR	Jamey McNamara	Yes
Director, OEEO	Peter J. Henry	Yes

Barrier Analysis Process Completed? (Yes or No)	Barrier(s) Identified? (Yes or No)
No	No

Sources of Data	Sources Reviewed? (Yes or No)	Identify Information Collected
Workforce Data Tables	Yes	Workforce data tables and participation rates for PWD and PWTD from FY 2011 – FY 2018 Demographic information related to retention for separated and on rolls PWD
Complaint Data (Trends)	Yes	EEO complaint activity filed between FY 2012 – FY 2017 to identify any trends in complaints filed by PWD or PWTD
Grievance Data (Trends)	Yes	Grievances filed by persons with disability between FY 2012 and FY 2018
Findings from Decisions (e.g., EEO, Grievance, MSPB, Anti-Harassment Processes)	No	Not applicable
Climate Assessment Survey (e.g., FEVS)	Yes	Federal Employee Viewpoint Survey (FEVS) data to compare responses from persons with disabilities to those with no disability Responses from PWD and PWTD to a <i>Workplace Experience Survey</i> conducted at the SEC during FY 2018
Exit Interview Data	Yes	Responses provided by PWD to the Agency's exit survey data from FY 2016 through FY 2018
Focus Groups	No	
Interviews	Yes	Interviews with subject matter experts in OHR and OMWI and subject matter experts in disabled student service offices at Gallaudet University and Rochester Institute of Technology
Reports (e.g., Congress, EEOC, MSPB, GAO, OPM)	Yes	Reports and regulations related to the employment of PWD and PWTD in the federal workforce offered by OPM, EEOC, DOL/ODEP, EARN, and other agencies and supporting organizations
Other (Please Describe)	Yes	Laws and federally mandated hiring and promotions policies, practices, and procedures applicable to recruitment and retention of persons with disabilities The Agency's hiring and promotions policies, practices, and procedures applicable to people with disabilities, including those with targeted disabilities Selection case files (hiring and promotions) from FY 2014 and FY 2015 Research literature, collective bargaining agreement language, and reports to better understand career development, promotion, retention, or recruiting and hiring processes related to PWD and PWTD Information about best practices in recruiting PWD in the federal government and private industry

Target Date (mm/dd/yyyy)	Planned Activities	Sufficient Staffing & Funding (Yes or No)	Modified Date (From) (mm/dd/yyyy)	Completion Date (mm/dd/yyyy)
11/30/2017	OEEO will conduct a <i>Workplace Experience Survey</i> of the Agency workforce to explore employee perceptions among the population of PWD and PWTD as well as those without disabilities on, among other topics, the recruitment, hiring, promotion, recognition, and retention of talent. This action was completed on November 6, 2017.	Yes		11/6/2017
01/31/2018	The Agency will establish a cross-functional working group with representatives from OEEO and OHR to develop action plans and implement required and recommended activity under Section 501 of the Rehabilitation Act of 1973. This action was completed on November 2, 1017.	Yes		11/02/2017
03/31/2019	To help determine the reasons for removal of PWD, OEEO review files from any specifically related EEO activity and interview the supervisors of PWD who were involuntarily separated in FY 2017 and FY 2018. This action was completed by March 31, 2019	Yes		03/31/2019
09/30/2019	In collaboration with internal and contracted IT support, OEEO will identify a feasible approach(es) to address the set of B workforce data tables as per current instruction for the FY 2019 report.	Yes	02/28/2019	
03/31/2020	OEEO will summarize and interpret the research results the basis for identifying any areas of opportunity for improvement in ensuring equal employment opportunity among PWD and PWTD in the workforce.	Yes	12/31/2019	
05/31/2020	To the extent areas needing improvement in supporting PWD and/or PWTD are found, the SEC will begin to develop an action plan to help foster equal employment opportunity.	Yes	03/31/2020	
09/30/2020	OEEO will begin to design an evaluation plan to monitor results based on the work completed on this study.	Yes		

Fiscal Year	Accomplishments
2018	<p>The following provides detail about OEEO's analytic work in support of this analysis during FY 2018.</p> <ol style="list-style-type: none"> 1. OEEO conducted a <i>Workplace Experience Survey</i> of the Agency workforce to explore employee perceptions of, among other topics, promotional opportunity, recruitment, and hiring for leadership positions. OEEO analyzed 1,360 responses and narrative comments from 469 employees. Among the respondents were 90 responses from employees who self-identified as having a disability other than those targeted and 34 responses from PWTD. Analyses compare responses on a variety of index and item level results. PWD and PWTD reported more favorable perceptions in the areas of: interview processes, availability of information about the EEO process and related policies, supervisory relations, work team inclusion, and training for success within occupation. 2. In line with implementation of Section 501 requirements, OEEO facilitated the Agency's decision to include persons hired under authorities that take disability into account as PWD. This action allowed the Agency to target support, development, and retention efforts toward two persons hired under Schedule A, part u and 38 veterans, who received hiring preference based on a service connected disability, as PWD. 3. OEEO used a series of self-service workforce data summary tools to review the demographic composition and disability status data within specific occupations of the entire workforce, newly hired staff, AFD, and separations by critical organizational characteristics. 4. OEEO analyzed the increase in self-identification from five-year trend data. Analysis uncovered the positive impact of annual employee demographic resurveys and more inclusive definitions of PWD and PWTD between FY 2013 and FY 2018. Specifically, we observed a 0.93% point increase in self-identified PWD after the first annual employee resurvey in FY 2015, an additional 0.90% point increase after the changes to SF-256, and a 0.66% point increase as a result of the resurvey in FY 2018. 5. OEEO analyzed the number and percent of complaint records filed by PWD between FY 2013 and FY 2017. Results were concerning in the relative volume of complaint activity filed by PWD. The inclusion rate of PWD among formal or informal EEO complaint related activity was three times that of persons with no disability. Further, complaint activity for PWD was more likely to lead to the formal stage. 6. With respect to retention, OEEO investigated turnover data for PWD and PWTD among those who separated the Agency in FY 2016 through FY 2018. These data revealed that PWD separations were more frequently due to retirement as compared to separations among persons with no disability; almost half of the PWD separations (48.00%) were coded for retirement, compared to about one third (34.75%) of separations among persons with no disability. Further review of these data established a correlation between age, disability, and retirement. PWD represent more than twice the proportion of the separations for employees over the age of 60 (17.24%) as compared to their participation among separations for persons under 40 (6.44%). On average, PWD in the Agency workforce are older (PWD average age = 49.32; No Disability average age = 46.88, $t = -4.68$, $p < .001$), and, therefore, more likely to be eligible for retirement. <p>As further explored below, OEEO and OHR established a strong cross functional approach to supporting PWD and PWTD in the Agency's workforce, while leveraging OMMW's EAG network. In recognition of this partnership, leaders in OHR and OEEO were invited to share their thoughts in a cross Agency panel discussion at the July meeting of the <i>Federal Exchange on Employment with Disabilities</i> (FEED).</p> <p>OHR and OEEO jointly sponsored a resurvey of the workforce in July and August 2018 following successful resurvey efforts in prior years. OHR provided each employee individualized information showing their current demographic and disability coding. Pre- and post-analysis of the resurvey effort showed that 57 employees had their disability information change in some way with a net increase of 22 PWD (6.8%) and six PWTD (7.4%).</p> <p>To understand better how the Agency can support PWD and PWTD, OHR updated the exit survey. As of September 2018, the Agency's survey of departing staff, who self-identify as PWD asks: "What accommodations, personal assistance, or other support could improve the inclusion and advancement of individuals with disabilities at the SEC?" OHR plans to use and share the information with other stakeholders, including OEEO and DIAC in support of current and future employees with disabilities.</p> <p>OHR continued to make significant enhancements to the SEC's training and development programs, which provide support for the career growth of PWD. As described above in Part J, Section IV, the SEC added to the offerings within its career development program.</p> <ul style="list-style-type: none"> • OHR developed and worked with NTEU to finalize a Competency Assessment Survey to inform workforce planning efforts and shape the future of SEC-wide training and development programs. The survey was launched in September 2018, and data collection continued into the new fiscal year. • In early FY 2018, OHR-SECU implemented development plans for specific occupations or combinations of occupations in the Agency's learning management system, LEAP. The development plan for examiners and accountants includes suggested developmental activities and training classes focused on specific technical knowledge and skill. Further, LEAP provides career path information based on the career ladders and occupational series to enable employees to identify the next step in development within occupation or to find lateral transfer opportunities based on competency profile similarity. These tools support employees in pursuing career growth within the Agency. • SECU expanded offerings under the <i>Career Horizons</i> program that provide individualized support for employees in creating development plans and pursuing career growth.

Fiscal Year	Accomplishments
2018 (continued)	<p>In recognition of the critical importance of mentoring to support career development, the Agency considered options for and developed a pilot mentoring program. In June and July of 2018, a pilot was successfully launched leading to the first cohort of 30 participants. An orientation session for both mentors and participants was held on September 28, 2018. Throughout FY 2019, mentors will meet with participants on a periodic basis. Formal events are planned to help guide the mentoring relationship toward success. To encourage participation among PWD, DIAC shared information about the mentoring program with their membership by quarterly meetings and their shared mailing list.</p> <ul style="list-style-type: none"> • In total, 142 permanent employees submitted a statement of interest in the program. Among them, eight (5.63%) were PWD, for an inclusion rate of 2.09%. By way of comparison, the inclusion rate of persons with no disability and those who did not self-identify among applicants was 3.37%. • On a first come, first serve basis, 30 participants were accepted into the mentoring program (29 permanent and one temporary employee) and matched with volunteer mentors with either or both deep technical expertise and leadership experience. The 29 permanent employee participants include two (6.90%) PWD, for an inclusion rate of 0.52%. The inclusion rate of persons with no disability among participations was 0.68%. <p>OHR will partner with OMWI and DIAC to improve PWD participation in future mentoring program offerings.</p>
2017	<p>In January 2017, the EEOC issued revised regulations under the federal government's obligation to engage in affirmative action for people with disabilities that modified Section 501 of the Rehabilitation Act of 1973. This revision addresses the hiring, retention, and career opportunity for persons with disabilities and those with targeted disabilities. OEEO had previously initiated barrier analysis focused on persons with targeted disabilities.</p> <p>Representatives from OEEO and OHR implemented a number of actions responsive to the recommendations from the original study of the SEC's PWTD workforce, including:</p> <ul style="list-style-type: none"> • Reviewing best practices and recommendations from OPM and the EEOC regarding the employment of PWD and PWTD; • Publishing revised policy on Requirements for Screening and Interviewing Job Candidates that requires documentation for each hiring action; • Developing an enhanced communication plan, including open information sessions, on the requirements under the revised policy for screening and interviewing job candidates (these sessions improve transparency and further educate SEC employees on available career opportunities and resources); • Conducting training open to all employees and mandatory training for anyone involved in the hiring or promotions process; • Increasing the quality of interaction between HR specialists and hiring managers toward more strategic conversation and the consideration of hiring options that take disability into account; • Reviewing OHR's FY 2017 Strategic Recruitment Plan; • Resurveying the workforce in July and August of 2017 to encourage review of employee data and self-identification of disability; • Continuing to evaluate workforce and applicant flow data to determine progress towards removing the potential barriers for PWTD, including reviewing the impact of revised disability and targeted disability categories in the revised SF-256 as they influence participation of PWD and PWTD; • Verifying the hiring and assignment of a Special Programs Manager within OHR focused on supporting the recruitment, hiring, development, and retention of PWD and PWTD; and • Developing an enhanced communications plan, in concert with DIAC, which included hosting guest speakers, events and open information sessions supporting the population of PWD and PWTD. <p>In Quarter (Q2) and Q4 of FY 2017, representatives from OEEO and OHR worked together on transitioning to the new October 2016 version of SF-256 Self-Identification of Disability. OHR recoded employees on rolls against the categories of disability on the new form in Q2 of FY 2017. OHR and OEEO jointly sponsored a resurvey of the workforce in July and August 2017 (Q4). As part of this resurvey effort, OHR provided each employee individualized information showing their current demographic and disability coding. The resurvey encouraged employees to verify and update their disability information. Employees could update their personal information through either employee self-service or with individualized support from OHR for personnel processing. The resurvey of the workforce included a broad-based outreach and communications campaign to all employees, to include messaging describing the value of self-identification, as suggested by OPM's Office of Diversity and Inclusion. Pre- and post-analysis of the resurvey effort showed that 76 employees had their disability information change in some way with a net increase of 20 persons with disabilities (7%) and three persons with targeted disabilities (3%).</p> <p>Further, to support the accurate reporting of information about PWD and PWTD from FPPS, OEEO contracted with a service provider to develop an automated tool that extracts, accurately codes, summarizes, and provides reporting on demographic information about employees and applicants for employment. This tool, the Equal Employment Opportunity-Analytic Tool (EEO-AT), was used to generate the data for workforce data tables in this report as well as the responses to data-related questions. The EEO-AT provides for more efficient and accurate summary data, more effective interface with FedSEP, and greater facility for OEEO to respond to anticipated and future changes to reporting demographic information.</p>

Fiscal Year	Accomplishments
2016	<p>OHR engaged in the following recruitment/outreach initiatives:</p> <ul style="list-style-type: none"> • Partnered with the Department of the Army's <i>Wounded Warriors</i> Program and Department of Labor to successfully implement a <i>Disability Hiring Event</i>, which resulted in the direct hire of two persons with disabilities; • Participated in two Career Fairs: <i>EOP Career Fair</i> and <i>Veterans' Resource Expo</i>; • Partnered with George Mason University and implemented the MASON Life Program at the SEC and sponsored internships for students with intellectual and physical disabilities; • Partnered with DIAC to solicit participation in career fairs and leverage their professional networks/partnerships with other organizations; • Explored recruiting strategies among various federal and state rehabilitation centers and affinity groups; and • Attended and sponsored the <i>New Perspectives</i> training conference. <p>OHR completed the following:</p> <ul style="list-style-type: none"> • Training managers and supervisors to ensure they are aware of how the Schedule A hiring authority is used by the SEC to hire persons with severe disabilities and the role of managers/supervisors in the recruitment and hiring process; • Surveying disability organizations at universities near the SEC Home Office and Regional Offices to obtain information to improve recruitment of applicants with disabilities; • Using the Hiring Checklist in strategic conversations with hiring managers to ensure they are aware of flexibilities available to hire persons with disabilities; • Implementing and monitoring compliance with the Agency's selection policy memorandum outlining the requirements for screening and interviewing job candidates (published on September 26, 2016); and • Developing and refining targeted recruitment strategy and performance metrics to measure effectiveness of the Agency's outreach efforts to applicants with disabilities.

4. Please explain the factor(s) that prevented the agency from timely completing any of the planned activities.

Updates to the EEOC's timelines, instructions, and requirements under MD-715 2.0 extended the timeline for implementing feasible changes to workforce data tables providing information on PWD and PWTD in collaboration with a shared service provider. The modified date is September 30, 2019.

5. For the planned activities that were completed, please describe the actual impact of those activities toward eliminating the barrier(s).

As described in other sections of Part J above, after a steady increase in participation over the past six years, the Agency achieved the goals established under Section 501 of the Rehabilitation Act for both PWTD and PWD at the lower salary levels and for PWTD among higher salaried employees by the end of FY 2018. Because of the relatively small size of the PWD and PWTD populations, small changes in workforce participation, year over year, can have large impacts on the observed rates of change. Nonetheless, the SEC notes the following indications of growth within this employee population. From FY 2013 to FY 2018:

- The permanent workforce of PWTD experienced net growth of 16 persons or 22.22%, which outpaces the 9.47% net growth in the total permanent workforce over that same time period. Participation of PWTD in the total permanent workforce rose from 1.81% to 2.02%. PWTD among higher salaried employees increased from 1.54% to 2.01% (60 to 87 PWTD employees).
- The permanent PWD workforce experienced net growth of 159 persons or 71.30%. Participation of PWD rose from 5.60% in the total workforce to 8.76% and from 5.14% to 8.62% among higher salaried employees, with an additional 175 persons in higher salaried jobs identified as PWD.

Trend data over time revealed that increased participation resulted from greater self-identification based on employee resurveys, changes to categories defining PWD, and a general increase in the proportion of SEC staff in higher salaried jobs. OEEO will continue to monitor the PWD and PWTD workforce participation for signs of continued or accelerated growth and consider effects of underreporting on these statistics.

Data from SF-256s collected prior to October 2016 were recharacterized in line with the definitions found in the revised form in order to estimate over-time trends. Accordingly, the numbers of employees who are reported in this trend analysis as PWTD and/or PWD in prior years may underestimate the workforce due to the addition of disability and targeted disability categories.

6. If the planned activities did not correct the trigger(s) and/or barrier(s), please describe how the agency intends to improve the plan for the next fiscal year.

Triggers from the original study of PWTD continue to require focused attention toward improvement. Starting in FY 2016 and through FY 2018, representatives of OEEO and OHR initiated and completed actions intended to address the recommendations to improve equal employment opportunity. These actions were completed in FY 2018. The Agency will be implementing additional required and recommended actions during FY 2019 and beyond.

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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 Chairman of the SEC, I am committed to 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.

For this reason and because it is the right thing to do, we must all strongly support our nation'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, promotion, separation, performance evaluation, training and career development, assignment of duties, details, reassignment, compensation, awards, and benefits. EEO laws protect all employees, applicants for employment, and former employees from discrimination on the basis of race, color, sex (which is not limited to conduct that is sexual in nature and includes pregnancy, gender identity, sexual orientation, and transgender status), age (40 and older), religion, national origin, disability, or genetic information.

Each of us must support an individual's right, without fear of retaliation, to (1) participate in the EEO process and (2) oppose employment practices which are perceived as discriminatory in the workplace. We can all contribute to making the SEC a model EEO employer by ensuring that discrimination, harassment, and retaliation are simply not tolerated. We must also seek to resolve workplace disputes at the earliest opportunity; to do otherwise would undermine the collegial and respectful environment that we expect at the SEC.

All employees must fully participate in investigations into allegations of discrimination, harassment and/or retaliation. Managers and supervisors must also participate in the alternative dispute resolution program for resolving EEO allegations, Conflict-to-Resolution (C2R), when the use of C2R is approved by the EEO Director or Deputy Director.

If you believe you have been subjected to discrimination, harassment, or retaliation in violation of federal EEO laws or SEC policy, please contact the Office of Equal Employment Opportunity (OEEO) or an EEO Counselor within 45 calendar days of the employment action you believe to be discriminatory to preserve your right to participate in the formal EEO complaint process. You can reach OEEO by telephone (202) 551-6040, fax (202) 772-9316, or in person (SPIII, Suite 2900) to allege discrimination and/or obtain additional information regarding your EEO rights and responsibilities. TTY users should call the Federal Relay Service at (800) 877-8339 to be connected with OEEO. OEEO's internal website provides additional information.

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



JAY CLAYTON

February 13, 2019
DATE

POLICY ON PREVENTING HARASSMENT (PPH)

As Chairman of the SEC, I am committed to a work environment that is respectful, inclusive, and allows you to deliver maximum performance in support of the SEC's mission. Harassment is absolutely prohibited because it is wrong, negatively impacts our collegial work environment, and undermines our mission.

The SEC prohibits harassment on each of the following equal employment opportunity (EEO) bases: race, color, sex (which is not limited to conduct that is sexual in nature and includes pregnancy, gender identity, sexual orientation, and transgender status), age (40 and older), religion, national origin, disability, genetic information, or in retaliation for engaging in protected EEO activity. Harassing conduct against or by any employee, intern, contractor, or applicant for employment has no place at the SEC and will not be tolerated.

The SEC will address and put an immediate end to conduct—whether verbal, written, or physical—of which it is aware that is offensive (i.e., degrading, derogatory, or demeaning) or unwelcome 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. Immediate and appropriate corrective and disciplinary action will be recommended when it is determined that harassment has occurred.

Among other things, the Policy on Preventing Harassment (PPH) prohibits the use of SEC equipment or networks to access or distribute material that is offensive on any of the bases listed above, including, but not limited to, sexually explicit, pornographic, sexist, racist, or homophobic material, or material that is offensive to a religious belief. Unwelcome sexual advances, requests for sexual favors, and other verbal or physical harassment of a sexual nature should never occur at the SEC. In addition, some personal relationships (romantic or otherwise) involving SEC employees—particularly between managers/supervisors and their subordinates—may raise EEO-based harassment concerns. Such relationships may create perceptions of favoritism by other employees that lead to allegations of an EEO-based hostile work environment. Consensual relationships, once they end, may also give rise to claims that the relationships were not consensual or that continued overtures have become offensive or unwelcome. A supervisor who has a romantic or sexual relationship with a subordinate employee or an applicant when the supervisor has a role in the selection process must notify his or her supervisor immediately.

The PPH applies in places where SEC employees, interns, and on-site contractors work, and at SEC-sanctioned activities and events, including those outside of the workplace. The PPH prohibits the use of social media (e.g., Twitter, Tumblr, Facebook, LinkedIn, Instagram, Flickr, etc.) to engage in harassment covered by this policy.

Reporting Harassment

Those who believe they are victims of harassment, or are otherwise aware of conduct that is offensive or unwelcome on an EEO basis, are encouraged to report the conduct immediately, preferably within three business days from the date of the alleged incident, to the Office of EEO (OEEO) and/or any SEC manager/supervisor.

To report harassment or to obtain more information on the SEC's PPH, EEO Policy, or other EEO-related matters, please contact OEEO by telephone (202) 551-6040, fax (202) 772-9316, or in person (SP111, Suite 2900). OEEO will accept and process anonymous allegations to the extent possible. Additional information is also available on OEEO's internal website. TTY users should call the Federal Relay Service at (800) 877-8339 to be connected with OEEO.

Reporting Responsibility of Managers/Supervisors

Managers/supervisors must immediately contact OEEO upon learning of conduct that might be inconsistent with the PPH. Failure to do so may result in disciplinary or other corrective action.

Harassment Inquiry

SEC management in coordination with the Offices of General Counsel, Human Resources, and/or OEEO, as appropriate, will conduct a prompt, thorough, and impartial inquiry into conduct that may violate the PPH. All SEC employees must fully participate in any such inquiry. As part of this inquiry: (1) the rights and obligations under the PPH will be explained to the involved parties and (2) the behavior considered objectionable will be explained to the alleged harasser who will be instructed to stop the behavior immediately.

Retaliation Prohibited

The SEC will not tolerate retaliation against anyone who reports harassing conduct or cooperates with or participates in any inquiry into alleged harassing conduct.

PPH Inquiry/EEO Complaint

A harassment inquiry conducted pursuant to the PPH is separate from, and may be conducted at the same time as, a related EEO complaint processed under Equal Employment Opportunity Commission regulations set forth in 29 C.F.R. Pt. 1614. An inquiry under the PPH process does not satisfy an individual's responsibility to initiate EEO counseling within 45 calendar days of an act of alleged discrimination or retaliation under the EEO complaint process, should the individual choose to pursue an EEO complaint.

Confidentiality

Information provided to SEC officials in connection with a harassment inquiry conducted pursuant to the PPH will be kept confidential to the extent possible and will be shared only on a need-to-know basis or as required by law. Unauthorized disclosure of confidential information may result in disciplinary action.

Thank you for your continued efforts to make the SEC a workplace that is inclusive, respectful, and free of harassment.

February 13, 2019

DATE



JAY CLAYTON

FISCAL YEAR 2018 462 REPORT

The SEC previously submitted the FY 2018 462 Report to the EEOC.

SEC'S ORGANIZATIONAL STRUCTURE

The SEC's leadership includes a Chairman and four 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 the Commissioners is designated by the President as the Chairman of the Commission—the Commission's chief executive. The Agency's functional responsibilities are organized into five Divisions and 25 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:

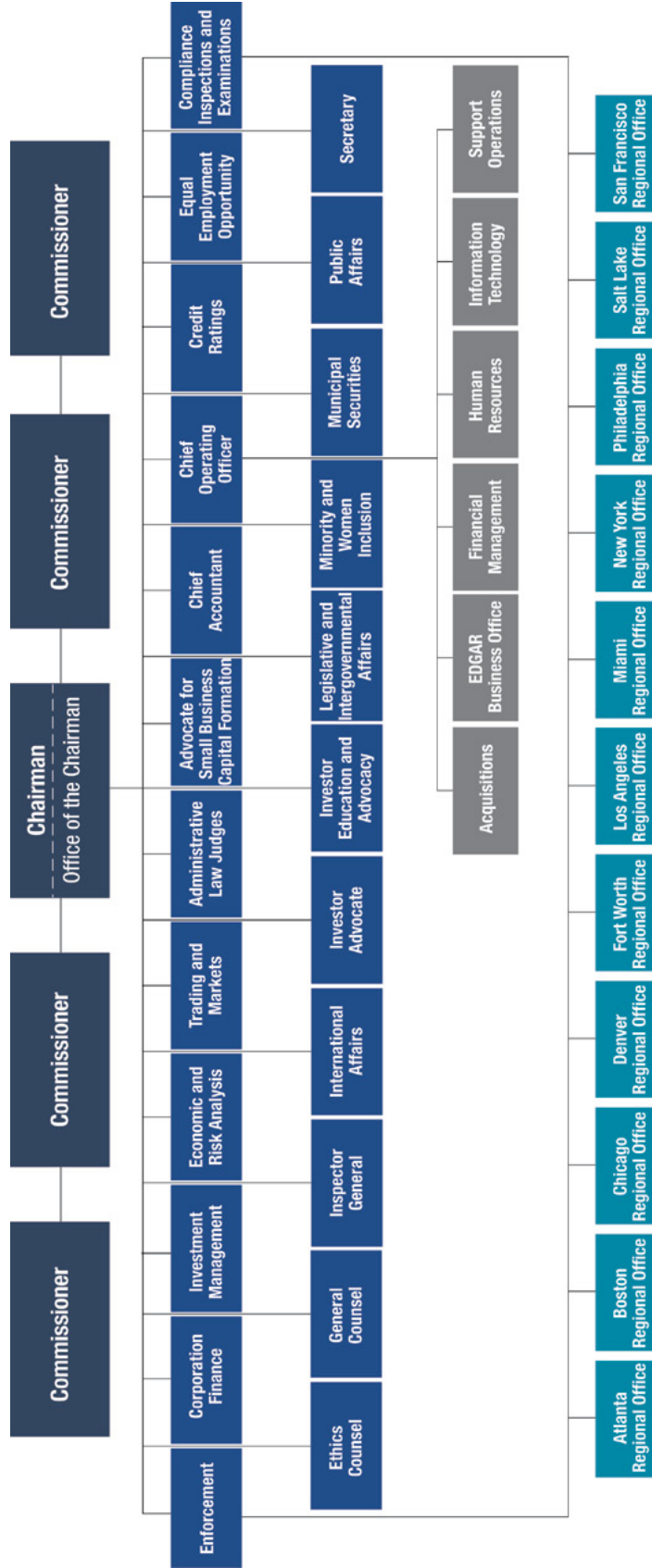
Five Divisions:

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

Twenty-five Offices:

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

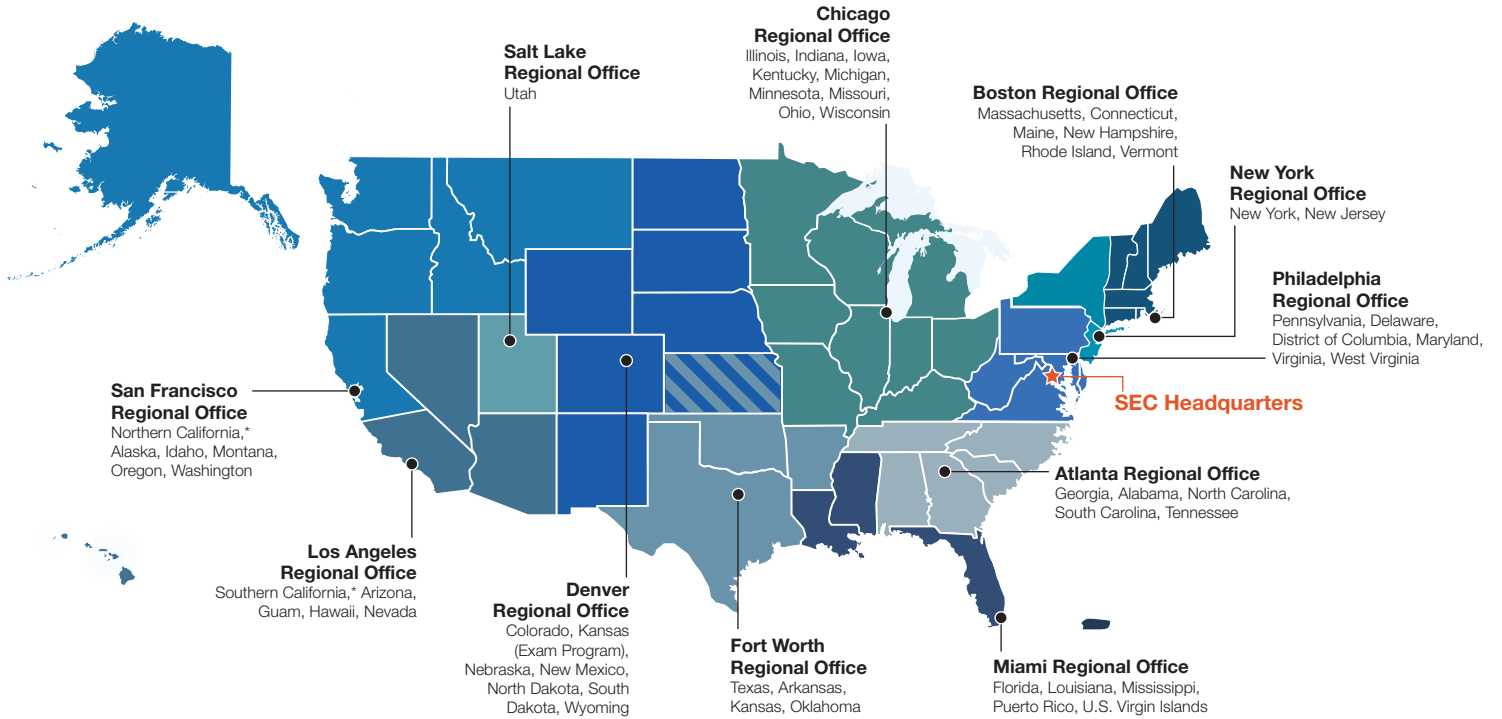
SEC ORGANIZATION CHART



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 Regional Office
- San Francisco Regional Office

U.S. SECURITIES AND EXCHANGE COMMISSION HEADQUARTERS AND REGIONAL OFFICES



* Northern California includes ZIP codes 93600 and above, and 93200–93299
Southern California includes ZIP codes 93599 and below, except 93200–93299

WORKFORCE DATA TABLES¹³

(FOOTNOTES)

¹³ In this year's report, those employees and applicants who are considered persons with disability outside self-identification on SF-256 are included in a new column in Tables B1 through B14. The FedSEP online reporting system does not provide for an additional column in the table format; SEC has included such persons in Tables B1 through B14 in the column labeled: "*Disability (02-03, 06-99)*." As such, the data presented on PWD within the tables for this report may not match those submitted to the EEOC through the FedSEP data portal.

TABLE A1: TOTAL WORKFORCE—DISTRIBUTION BY RACE/ETHNICITY AND SEX
PAY PERIOD 201721 TO 201822

EMPLOYMENT TENURE		RACE/ETHNICITY																			
		TOTAL EMPLOYEES										Non-Hispanic or Latino									
		All		Male		Female		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
		#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
TOTAL		4599	2485	2114	137	118	1829	1192	218	497	284	280	0	3	14	5	3	19			
Prior FY	%	100%	54.03%	45.97%	2.98%	2.57%	39.77%	25.92%	4.74%	10.81%	6.18%	6.09%	0.00%	0.07%	0.30%	0.11%	0.07%	0.41%			
Current FY	#	4448	2405	2043	132	114	1774	1147	207	484	275	270	0	2	12	5	5	21			
Current FY	%	100%	54.07%	45.93%	2.97%	2.56%	39.88%	25.79%	4.65%	10.88%	6.18%	6.07%	0.00%	0.04%	0.27%	0.11%	0.11%	0.47%			
CLF (2010)	%	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	#	-151	-80	-71	-5	-4	-55	-45	-11	-13	-9	-10	0	-1	-2	0	2	2			
Ratio Change	%	0.00%	0.04%	-0.04%	-0.01%	-0.01%	0.11%	-0.13%	-0.09%	0.07%	0.00%	-0.02%	0.00%	-0.03%	-0.03%	0.00%	0.04%	0.06%			
Net Change	%	-3.28%	-3.22%	-3.36%	-3.65%	-3.39%	-3.01%	-3.78%	-5.05%	-2.62%	-3.17%	-3.57%	0.00%	-33.33%	-14.29%	0.00%	66.67%	10.53%			
Permanent		4504	2427	2077	136	114	1789	1172	215	494	270	272	0	2	14	5	3	18			
Prior FY	%	100%	53.89%	46.11%	3.02%	2.53%	39.72%	26.02%	4.77%	10.97%	5.99%	6.04%	0.00%	0.04%	0.31%	0.11%	0.07%	0.40%			
Current FY	#	4359	2352	2007	132	112	1732	1122	206	482	265	264	0	1	12	5	5	21			
Current FY	%	100%	53.96%	46.04%	3.03%	2.57%	39.73%	25.74%	4.73%	11.06%	6.08%	6.06%	0.00%	0.02%	0.28%	0.11%	0.11%	0.48%			
Difference	#	-145	-75	-70	-4	-2	-57	-50	-9	-12	-5	-8	0	-1	-2	0	2	3			
Ratio Change	%	0.00%	0.07%	-0.07%	0.01%	0.04%	0.01%	-0.28%	-0.05%	0.09%	0.08%	0.02%	0.00%	-0.02%	-0.04%	0.00%	0.05%	0.08%			
Net Change	%	-3.22%	-3.09%	-3.37%	-2.94%	-1.75%	-3.19%	-4.27%	-4.19%	-2.43%	-1.85%	-2.94%	0.00%	-50.00%	-14.29%	0.00%	66.67%	16.67%			

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: Datamart FPFS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE A1: TOTAL WORKFORCE—DISTRIBUTION BY RACE/ETHNICITY AND SEX
 PAY PERIOD 201721 TO 201822 *continued*

EMPLOYMENT TENURE		RACE/ETHNICITY																	
		TOTAL EMPLOYEES						Hispanic or Latino						Non-Hispanic or Latino					
		All	Male	Female	Male	Female	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Temporary	#	95	58	37	1	4	40	20	3	3	14	8	0	0	1	0	0	0	1
Prior FY	%	100%	61.05%	38.95%	1.05%	4.21%	42.11%	21.05%	3.16%	3.16%	14.74%	8.42%	0.00%	0.00%	1.05%	0.00%	0.00%	0.00%	1.05%
Current FY	#	89	53	36	0	2	42	25	2	2	10	6	0	0	1	0	0	0	0
	%	100%	59.55%	40.45%	0.00%	2.25%	47.19%	28.09%	2.25%	1.12%	11.24%	6.74%	0.00%	0.00%	1.12%	0.00%	0.00%	0.00%	0.00%
Difference	#	-6	-5	-1	-1	-2	2	5	-1	-2	-4	-2	0	0	0	0	0	0	-1
Ratio Change	%	0.00%	-1.50%	1.50%	-1.05%	-1.96%	5.09%	7.04%	-0.91%	-2.03%	-3.50%	-1.68%	0.00%	0.00%	0.07%	0.00%	0.00%	0.00%	-1.05%
Net Change	%	-6.32%	-8.62%	-2.70%	-100.00%	-50.00%	5.00%	25.00%	-33.33%	-66.67%	-28.57%	-25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	-100.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
 Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE A2: REGIONAL OFFICES AND HEADQUARTERS—DISTRIBUTION BY RACE/ETHNICITY AND SEX
PERMANENT WORKFORCE—PAY PERIOD 201822

PERMANENT EMPLOYEES		RACE/ETHNICITY																															
		TOTAL EMPLOYEES				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		Female		Male		Female		Male		Female		Male		Female		Male		Female		Male		Female		Male		Female		Male			
		#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%				
TOTAL Workforce		4359	100%	2352	53.96%	2007	46.04%	132	3.03%	112	2.57%	1732	39.73%	206	4.73%	482	11.06%	265	6.08%	264	6.06%	0	0.00%	1	0.02%	12	0.28%	5	0.11%	5	0.11%	21	0.48%
CLF (2010)		2777	100%	1452	51.86%	1325	48.14%	67	5.17%	60	4.79%	1045	38.33%	149	5.49%	379	6.53%	179	1.97%	160	1.93%	0	0.07%	1	0.07%	9	0.55%	3	0.53%	3	0.26%	15	0.28%
HQ		100%		52.29%		47.71%		2.41%		2.16%		37.63%		5.37%		13.65%		6.45%		5.76%		0.00%		0.04%		0.32%		0.11%		0.11%		0.54%	
NYRO		375	100%	205	54.67%	170	45.33%	12	3.20%	14	3.73%	161	42.93%	6	1.60%	27	7.20%	26	6.93%	26	6.93%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.53%
CHRO		224	100%	137	61.16%	87	38.84%	5	2.23%	5	2.23%	119	53.13%	6	2.68%	22	9.82%	7	3.13%	8	3.57%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
LARO		163	100%	85	52.15%	78	47.85%	9	5.52%	7	4.29%	48	29.45%	4	2.45%	13	7.98%	24	14.72%	20	12.27%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
BRO		149	100%	83	55.70%	66	44.30%	2	1.34%	2	1.34%	68	45.64%	5	3.36%	4	2.68%	7	4.70%	11	7.38%	7	4.70%	0	0.00%	0	0.00%	0	0.00%	1	0.67%	0	0.00%
PLRO		128	100%	75	58.59%	53	41.41%	3	2.34%	3	2.34%	57	44.53%	9	7.03%	7	5.47%	6	4.69%	3	2.34%	3	2.34%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
FWRO		108	100%	61	56.48%	47	43.52%	3	2.78%	3	2.78%	48	44.44%	8	7.41%	3	2.78%	2	1.85%	1	0.93%	1	0.93%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	2	1.85%
SFRO		124	100%	61	49.19%	63	50.81%	5	4.03%	2	1.61%	40	32.26%	2	1.61%	5	4.03%	12	9.68%	23	18.55%	12	9.68%	0	0.00%	1	0.81%	1	0.81%	1	0.81%	2	1.61%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE A2: REGIONAL OFFICES AND HEADQUARTERS—DISTRIBUTION BY RACE/ETHNICITY AND SEX
 PERMANENT WORKFORCE—PAY PERIOD 201822 *continued*

PERMANENT EMPLOYEES		RACE/ETHNICITY																		
		TOTAL EMPLOYEES						Non-Hispanic or Latino										Two or More Races		
		All	Male	Female	Male	Female	Female	White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Male	Female	
#	101	65	36	4	1	47	18	13	15	1	1	1	0	0	1	0	0	0	0	0
%	100%	64.36%	35.64%	3.96%	0.99%	46.53%	17.82%	12.87%	14.85%	0.99%	0.99%	0.99%	0.00%	0.00%	0.99%	0.00%	0.00%	0.00%	0.00%	0.00%
#	98	63	35	22	11	38	11	3	7	0	6	0	0	0	0	0	0	0	0	0
%	100%	64.29%	35.71%	22.45%	11.22%	38.78%	11.22%	3.06%	7.14%	0.00%	6.12%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
#	95	57	38	0	3	54	32	0	0	1	3	0	0	0	2	0	0	0	0	0
%	100%	60.00%	40.00%	0.00%	3.16%	56.84%	33.68%	0.00%	0.00%	1.05%	3.16%	0.00%	0.00%	0.00%	2.11%	0.00%	0.00%	0.00%	0.00%	0.00%
#	17	8	9	0	1	7	6	1	0	0	2	0	0	0	0	0	0	0	0	0
%	100%	47.06%	52.94%	0.00%	5.88%	41.18%	35.29%	5.88%	0.00%	0.00%	11.76%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

**TABLE A3-1: OCCUPATIONAL CATEGORIES—DISTRIBUTION BY RACE/ETHNICITY AND SEX
PERMANENT WORKFORCE—PAY PERIOD 201822**

OCCUPATIONAL CATEGORIES	RACE/ETHNICITY																			
	TOTAL EMPLOYEES						Non-Hispanic or Latino												Two or More Races	
	All	Male		Female			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native			
							Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female		
Officials and Managers																				
1a. Executive/Senior Level Managers	#	129	76	53	2	0	44	3	4	3	4	3	4	0	1	0	0	0	0	
	%	100%	58.91%	41.09%	1.55%	0.00%	34.11%	2.33%	3.10%	2.33%	3.10%	2.33%	3.10%	0.00%	0.78%	0.00%	0.00%	0.00%	0.00%	
1a. Mid Level Managers	#	396	243	153	15	3	114	10	17	17	17	17	17	0	0	1	0	0	2	
	%	100%	61.36%	38.64%	3.79%	0.76%	28.79%	2.53%	4.29%	4.29%	4.29%	4.29%	4.29%	0.00%	0.00%	0.25%	0.00%	0.00%	0.51%	
1a. First Level Managers	#	357	227	130	16	6	77	16	29	32	18	32	18	0	0	1	0	0	0	
	%	100%	63.59%	36.41%	4.48%	1.68%	21.57%	4.48%	8.12%	8.96%	5.04%	8.96%	5.04%	0.00%	0.00%	0.28%	0.00%	0.00%	0.00%	
1b. Officials	#	526	176	350	11	24	93	47	207	19	19	19	19	0	0	2	0	0	7	
	%	100%	33.46%	66.54%	2.09%	4.56%	17.68%	8.94%	39.35%	3.61%	3.61%	3.61%	3.61%	0.00%	0.00%	0.38%	0.00%	0.00%	1.33%	
1. Officials and Managers—TOTAL	#	1408	722	686	44	33	328	76	257	71	58	71	58	0	1	4	0	0	9	
	%	100%	51.28%	48.72%	3.13%	2.34%	23.30%	5.40%	18.25%	5.04%	4.12%	5.04%	4.12%	0.00%	0.07%	0.28%	0.00%	0.00%	0.64%	
2. Professional Workers	#	2765	1587	1178	85	67	745	113	153	191	198	191	198	0	0	7	4	5	11	
	%	100%	57.40%	42.60%	3.07%	2.42%	26.94%	4.09%	5.53%	6.91%	7.16%	6.91%	7.16%	0.00%	0.00%	0.25%	0.14%	0.18%	0.40%	
3. Technical Workers and Technologists	#	3	3	0	0	0	0	0	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%	0.00%	0.00%	0.00%	0.00%	0.00%	

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPFS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE A3-1: OCCUPATIONAL CATEGORIES—DISTRIBUTION BY RACE/ETHNICITY AND SEX
PERMANENT WORKFORCE—PAY PERIOD 201822 continued

OCCUPATIONAL CATEGORIES	RACE/ETHNICITY																							
	TOTAL EMPLOYEES						Non-Hispanic or Latino																	
	All	Male		Female			Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races					
		#	%	#	%		#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%		
4. Sales Workers	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%		
5. Administrative Support Workers	172	100%	34	19.77%	138	80.23%	2	1.16%	14	8.14%	15	8.72%	2	1.16%	8	4.65%	0	0.00%	1	0.58%	0	0.00%	1	0.58%
6. Skilled Craft and Repair Workers	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
7. Operative and Transportation Operative Workers	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
8. Laborers	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
9. Service Workers	11	100%	6	54.55%	5	45.45%	1	9.09%	2	18.18%	2	18.18%	1	9.09%	0	0.00%	1	9.09%	0	0.00%	0	0.00%	0	0.00%
TOTAL Workforce	4359	100%	2352	53.96%	2007	46.04%	132	3.03%	1732	39.73%	206	4.73%	265	6.08%	264	6.06%	0	0.00%	12	0.28%	5	0.11%	5	0.11%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPFS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE A3-2: OCCUPATIONAL CATEGORIES—DISTRIBUTION BY RACE/ETHNICITY AND SEX
PERMANENT WORKFORCE—PAY PERIOD 201822

OCCUPATIONAL CATEGORIES	RACE/ETHNICITY																	
	TOTAL EMPLOYEES						Hispanic or Latino						Non-Hispanic or Latino					
	All	Male	Female	Male	Female	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
Officials and Managers																		
1a. Executive / Senior Level Managers	#	129	76	53	2	0	44	3	4	0	1	0	0	0	0	0	0	0
	%	2.96%	3.23%	2.64%	1.52%	0.00%	3.93%	1.46%	1.52%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
1a. Mid Level Managers	#	396	243	153	15	3	114	10	17	0	17	0	1	0	0	0	0	2
	%	9.08%	10.33%	7.62%	11.36%	2.68%	11.55%	4.85%	6.44%	0.00%	6.42%	0.00%	8.33%	0.00%	0.00%	0.00%	0.00%	9.52%
1a. First Level Managers	#	357	227	130	16	6	77	16	29	0	18	0	1	0	0	0	0	0
	%	8.19%	9.65%	6.48%	12.12%	5.36%	9.35%	7.77%	6.02%	0.00%	12.08%	0.00%	8.33%	0.00%	0.00%	0.00%	0.00%	0.00%
1b. Officials	#	526	176	350	11	24	93	47	207	0	19	0	2	0	0	0	0	7
	%	12.07%	7.48%	17.44%	8.33%	21.43%	5.60%	22.82%	42.95%	0.00%	7.17%	0.00%	16.67%	0.00%	0.00%	0.00%	0.00%	33.33%
1. Officials and Managers—TOTAL	#	1408	722	686	44	33	527	76	257	0	71	0	4	0	0	0	0	9
	%	32.30%	30.70%	34.18%	33.33%	29.46%	30.43%	36.89%	53.32%	0.00%	26.79%	0.00%	33.33%	0.00%	100%	0.00%	0.00%	42.86%
2. Professional Workers	#	2765	1587	1178	85	67	745	113	153	0	191	0	7	4	5	11	11	11
	%	63.43%	67.47%	58.69%	64.39%	59.82%	66.40%	54.85%	31.74%	0.00%	72.08%	0.00%	58.33%	80.00%	100%	100%	100%	52.38%
3. Technical Workers and Technologists	#	3	3	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	0.07%	0.13%	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%

Notes: Percentages computed down columns and NOT across rows. Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

**TABLE A3-2: OCCUPATIONAL CATEGORIES—DISTRIBUTION BY RACE/ETHNICITY AND SEX
PERMANENT WORKFORCE—PAY PERIOD 201822 continued**

OCCUPATIONAL CATEGORIES	RACE/ETHNICITY																	
	TOTAL EMPLOYEES						Non-Hispanic or Latino											
	#	%	Male		Female		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
			All															
4. Sales Workers	#	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%
5. Administrative Support Workers	#	172	34	138	12	14	45	15	71	2	8	0	0	1	1	0	0	1
	%	3.95%	1.45%	6.88%	10.71%	0.81%	4.01%	7.28%	14.73%	0.75%	3.03%	0.00%	0.00%	8.33%	20.00%	0.00%	0.00%	4.76%
6. Skilled Craft and Repair Workers	#	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%
7. Operative and Transportation Operative Workers	#	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%
8. Laborers	#	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%
9. Service Workers	#	11	6	5	1	2	4	2	1	1	0	0	0	0	0	0	0	0
	%	0.25%	0.26%	0.25%	0.00%	0.12%	0.36%	0.97%	0.21%	0.38%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL Workforce	#	4359	2352	2007	112	1732	1122	206	482	265	264	0	1	12	5	5	5	21
	%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%

Notes: Percentages computed down columns and NOT across rows. Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPFS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE A4-1: PARTICIPATION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX
PERMANENT EMPLOYEES—PAY PERIOD 201822

SK, SO, AND RELATED GRADES	RACE/ETHNICITY																			
	TOTAL EMPLOYEES										Non-Hispanic or Latino									
	All		Male		Female		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
SK-02	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-03	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-04	2	100%	1	50.00%	1	50.00%	0	0.00%	1	50.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-05	3	100%	1	33.33%	2	66.67%	0	0.00%	0	0.00%	1	33.33%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-06	7	100%	3	42.86%	4	57.14%	1	14.29%	0	0.00%	1	14.29%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-07	51	100%	10	19.61%	41	80.39%	1	1.96%	3	5.88%	4	7.84%	0	0.00%	2	3.92%	0	0.00%	0	0.00%
SK-08	20	100%	0	0.00%	20	100%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-09	35	100%	6	17.14%	29	82.86%	0	0.00%	3	8.57%	4	11.43%	5	14.29%	17	48.57%	0	0.00%	0	0.00%
SK-10	1	100%	0	0.00%	1	100%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%	0	0.00%
SK-11	99	100%	20	20.20%	79	79.80%	3	3.03%	11	11.11%	13	13.13%	8	8.08%	53	53.54%	2	2.02%	0	0.00%
SK-12	218	100%	57	26.15%	161	73.85%	6	2.75%	8	3.67%	50	22.94%	22	10.09%	18	8.26%	4	1.83%	1	0.46%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE A4-1: PARTICIPATION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX
 PERMANENT EMPLOYEES—PAY PERIOD 201721 *continued*

SK, SO, AND RELATED GRADES	RACE/ETHNICITY																			
	TOTAL EMPLOYEES						Non-Hispanic or Latino								Two or More Races					
	#	%	Male	Female	Male	Female	White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Male	Female		
SK-13	380	100%	188	192	10	11	111	71	34	89	28	20	0	0	4	0	1	1	0.26%	0.26%
			49.47%	50.53%	2.63%	2.89%	29.21%	18.68%	8.95%	23.42%	7.37%	5.26%	0.00%	0.00%	1.05%	0.00%	0	0	0.00%	0.00%
SK-14	2152	100%	1205	947	67	60	895	586	89	132	148	158	0	0	3	2	3	9	0.14%	0.42%
			55.99%	44.01%	3.11%	2.79%	41.59%	27.23%	4.14%	6.13%	6.88%	7.34%	0.00%	0.00%	0.14%	0.09%	0	0	0.09%	0.09%
SK-15	365	100%	241	124	17	5	175	79	16	24	32	16	0	0	1	0	0	0	0.00%	0.00%
			66.03%	33.97%	4.66%	1.37%	47.95%	21.64%	4.38%	6.58%	8.77%	4.38%	0.00%	0.00%	0.27%	0.00%	0	0	0.00%	0.00%
SK-16	495	100%	296	199	10	7	239	146	13	18	32	24	0	0	2	2	0	2	0.00%	0.00%
			59.80%	40.20%	2.02%	1.41%	48.28%	29.49%	2.63%	3.64%	6.46%	4.85%	0.00%	0.00%	0.40%	0.40%	0	0	0.00%	0.40%
SK-17	397	100%	245	152	15	3	202	113	10	17	17	17	0	0	1	0	0	2	0.00%	0.00%
			61.71%	38.29%	3.78%	0.76%	50.88%	28.46%	2.52%	4.28%	4.28%	4.28%	0.00%	0.00%	0.25%	0.00%	0	0	0.00%	0.50%
All other (Non-SK, Non-SO)	5	100%	3	2	0	0	2	2	0	0	1	0	0	0	0	0	0	0	0.00%	0.00%
			60.00%	40.00%	0.00%	0.00%	40.00%	40.00%	0.00%	0.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0	0	0.00%	0.00%
Senior Officer	129	100%	76	53	2	0	68	44	3	4	3	4	0	1	0	0	0	0	0.00%	0.00%
			58.91%	41.09%	1.55%	0.00%	52.71%	34.11%	2.33%	3.10%	2.33%	3.10%	0.00%	0.78%	0.00%	0.00%	0	0	0.00%	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
 Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE A4-1: PARTICIPATION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX
 TEMPORARY WORKFORCE—PAY PERIOD 2018221

SK, SO, AND RELATED GRADES	RACE/ETHNICITY																			
	TOTAL EMPLOYEES										Non-Hispanic or Latino									
	#	%	Male		Female		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	
SK-02	#	0	0	0	0	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%	0.00%	0.00%	0.00%	0.00%	
SK-03	#	0	0	0	0	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%	0.00%	0.00%	0.00%	0.00%	
SK-04	#	2	1	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	
	%	100%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-05	#	0	0	0	0	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%	0.00%	0.00%	0.00%	0.00%	
SK-06	#	0	0	0	0	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%	0.00%	0.00%	0.00%	0.00%	
SK-07	#	0	0	0	0	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%	0.00%	0.00%	0.00%	0.00%	
SK-08	#	0	0	0	0	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%	0.00%	0.00%	0.00%	0.00%	
SK-09	#	1	0	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	0.00%	100%	0.00%	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-10	#	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	0.00%	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-11	#	1	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	
	%	100%	100%	0.00%	0.00%	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-12	#	5	2	3	0	1	1	2	0	0	1	2	0	0	0	0	0	0	0	
	%	100%	40.00%	60.00%	0.00%	20.00%	20.00%	40.00%	0.00%	0.00%	20.00%	40.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
 Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE A4-1: PARTICIPATION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX
 TEMPORARY WORKFORCE—PAY PERIOD 2018221 continued

SK, SO, AND RELATED GRADES		RACE/ETHNICITY															
		TOTAL EMPLOYEES				Hispanic or Latino				Non-Hispanic or Latino				Two or More Races			
		All	Male	Female	%	Male	Female	Male	Female	Male	Female	Male	Female			Male	Female
#	2	1	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0
%	100%	50.00%	50.00%	50.00%	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%
#	27	14	13	8	0	0	0	0	0	0	0	0	0	0	0	0	0
%	100%	51.85%	48.15%	29.63%	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	0	0	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%	0.00%	0.00%	0.00%
#	28	19	9	7	0	0	0	0	0	0	0	0	0	0	0	0	0
%	100%	67.86%	32.14%	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%
#	1	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0
%	100%	0.00%	100%	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%
#	1	1	0	0	0	0	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%	0.00%	0.00%	0.00%	0.00%
#	20	14	6	5	0	0	0	1	0	0	0	0	0	0	0	0	0
%	100%	70.00%	30.00%	25.00%	0.00%	0.00%	0.00%	5.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
 Source: Datamart FPFS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE A4-2: INCLUSION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX
PERMANENT WORKFORCE—PAY PERIOD 2018221

SK, SO, AND RELATED GRADES	RACE/ETHNICITY																			
	TOTAL EMPLOYEES						Hispanic or Latino						Non-Hispanic or Latino						Two or More Races	
	#	%	Male		Female		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Male	Female		
			All		Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female				
SK-02	#	0	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%	0.00%
SK-03	#	0	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%	0.00%
SK-04	#	2	1	1	0	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0
	%	0.05%	0.04%	0.05%	0.00%	0.00%	0.06%	0.00%	0.00%	0.21%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-05	#	3	1	2	0	0	0	1	1	1	0	0	0	0	0	0	0	0	0	0
	%	0.07%	0.04%	0.10%	0.00%	0.00%	0.00%	0.09%	0.49%	0.21%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-06	#	7	3	4	1	0	1	1	1	3	0	0	0	0	0	0	0	0	0	0
	%	0.16%	0.13%	0.20%	0.76%	0.00%	0.06%	0.09%	0.49%	0.62%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-07	#	51	10	41	1	3	5	10	4	26	0	2	0	0	0	0	0	0	0	0
	%	1.17%	0.43%	2.04%	0.76%	2.68%	0.29%	0.89%	1.94%	5.39%	0.00%	0.76%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-08	#	20	0	20	0	1	0	2	0	15	0	1	0	0	0	0	0	0	0	1
	%	0.46%	0.00%	1.00%	0.00%	0.89%	0.00%	0.18%	0.00%	3.11%	0.00%	0.38%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	4.76%
SK-09	#	35	6	29	0	3	1	4	5	17	0	2	0	0	0	0	0	0	0	3
	%	0.80%	0.26%	1.44%	0.00%	2.68%	0.06%	0.36%	2.43%	3.53%	0.00%	0.76%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	14.29%
SK-10	#	1	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0
	%	0.02%	0.00%	0.05%	0.00%	0.00%	0.00%	0.00%	0.00%	0.21%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-11	#	99	20	79	3	11	9	13	8	53	0	2	0	0	0	0	0	0	0	0
	%	2.27%	0.85%	3.94%	2.27%	9.82%	0.52%	1.16%	3.88%	11.00%	0.00%	0.76%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-12	#	218	57	161	6	8	23	50	22	81	4	18	0	0	1	1	1	1	1	3
	%	5.00%	2.42%	8.02%	4.55%	7.14%	1.33%	4.46%	10.68%	16.80%	1.51%	6.82%	0.00%	0.00%	8.33%	20.00%	20.00%	20.00%	20.00%	14.29%

Notes: Percentages computed down columns and NOT across rows. Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE A4-2: INCLUSION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX
 PERMANENT WORKFORCE—PAY PERIOD 2018221 continued

SK, SO, AND RELATED GRADES	RACE/ETHNICITY																		
	TOTAL EMPLOYEES						Hispanic or Latino						Non-Hispanic or Latino						
	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female
SK-13	#	380	188	192	10	11	71	34	89	28	20	0	0	4	0	1	1	1	1
	%	8.72%	7.99%	9.57%	7.58%	9.82%	6.33%	16.50%	18.46%	10.57%	7.58%	0.00%	0.00%	33.33%	0.00%	20.00%	20.00%	4.76%	4.76%
SK-14	#	2152	1205	947	67	60	586	89	132	148	158	0	0	3	2	3	9	9	9
	%	49.37%	51.23%	47.18%	50.76%	53.57%	51.67%	43.20%	27.39%	55.85%	59.85%	0.00%	0.00%	25.00%	40.00%	60.00%	42.86%	42.86%	42.86%
SK-15	#	365	241	124	17	5	79	16	24	32	16	0	0	1	0	0	0	0	0
	%	8.37%	10.25%	6.18%	12.88%	4.46%	10.10%	7.77%	4.98%	12.08%	6.06%	0.00%	0.00%	8.33%	0.00%	0.00%	0.00%	0.00%	0.00%
SK-16	#	495	296	199	10	7	146	13	18	32	24	0	0	2	2	0	2	2	2
	%	11.36%	12.59%	9.92%	7.58%	6.25%	13.80%	6.31%	3.73%	12.08%	9.09%	0.00%	0.00%	16.67%	40.00%	0.00%	9.52%	9.52%	9.52%
SK-17	#	397	245	152	15	3	202	10	17	17	17	0	0	1	0	0	2	2	2
	%	9.11%	10.42%	7.57%	11.36%	2.68%	11.66%	4.85%	3.53%	6.42%	6.44%	0.00%	0.00%	8.33%	0.00%	0.00%	9.52%	9.52%	9.52%
All other (Non-SK, Non-SO)	#	5	3	2	0	0	2	0	0	1	0	0	0	0	0	0	0	0	0
	%	0.11%	0.13%	0.10%	0.00%	0.00%	0.12%	0.00%	0.00%	0.38%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Senior Officer	#	129	76	53	2	0	44	3	4	3	4	0	1	0	0	0	0	0	0
	%	2.96%	3.23%	2.64%	1.52%	0.00%	3.93%	1.46%	0.83%	1.13%	1.52%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL	#	4359	2352	2007	132	112	1122	206	482	265	264	0	1	12	5	5	21	21	21
	%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%

Notes: Percentages computed down columns and NOT across rows. Total calculations shown may not match that derived from detail data presented due to rounding.
 Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE A4-2: INCLUSION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX
 TEMPORARY WORKFORCE—PAY PERIOD 201822

SK, SO, AND RELATED GRADES	RACE/ETHNICITY																			
	TOTAL EMPLOYEES										Non-Hispanic or Latino									
	All		Male		Female		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Two or More Races	
	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
SK-02	#	0	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%	0.00%
SK-03	#	0	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%	0.00%
SK-04	#	2	1	1	0	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0
	%	2.25%	1.89%	2.78%	0.00%	0.00%	0.00%	50.00%	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-05	#	0	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%	0.00%
SK-06	#	0	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%	0.00%
SK-07	#	0	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%	0.00%
SK-08	#	0	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%	0.00%
SK-09	#	1	0	1	0	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0
	%	1.12%	0.00%	2.78%	0.00%	2.78%	0.00%	50.00%	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-10	#	1	0	1	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0
	%	1.12%	0.00%	2.78%	0.00%	0.00%	0.00%	4.00%	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-11	#	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	1.12%	1.89%	0.00%	0.00%	0.00%	0.00%	2.38%	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	#	5	2	3	0	1	1	2	0	0	0	1	0	0	0	0	0	0	0	0
	%	5.62%	3.77%	8.33%	0.00%	50.00%	2.38%	8.00%	0.00%	0.00%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%

Notes: Percentages computed down columns and NOT across rows. Total calculations shown may not match that derived from detail data presented due to rounding.
 Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE A4-2: INCLUSION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX
 TEMPORARY WORKFORCE—PAY PERIOD 201822 *continued*

SK, SO, AND RELATED GRADES		RACE/ETHNICITY																					
		TOTAL EMPLOYEES						Hispanic or Latino						Non-Hispanic or Latino									
		All		Male		Female		Male		Female		Male		Female		Male		Female		Male		Female	
		#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
SK-13	#	2	1	1	0	0	1	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	%	2.25%	1.89%	2.78%	0.00%	0.00%	2.38%	4.00%	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-14	#	27	14	13	0	0	10	8	0	0	4	5	0	0	0	0	0	0	0	0	0	0	
	%	30.34%	26.42%	36.11%	0.00%	0.00%	23.81%	32.00%	0.00%	0.00%	40.00%	83.33%	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	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%	0.00%	0.00%	0.00%	
SK-16	#	28	19	9	0	0	16	7	0	0	3	1	0	1	0	0	0	0	0	0	0	0	
	%	31.46%	35.85%	25.00%	0.00%	0.00%	38.10%	28.00%	0.00%	0.00%	30.00%	16.67%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
SK-17	#	1	0	1	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0	0	
	%	1.12%	0.00%	2.78%	0.00%	0.00%	0.00%	4.00%	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%	
All other (Non-SK, Non-SO)	#	1	1	0	0	0	0	0	0	1	0	0	0	0	0	0	0	0	0	0	0	0	
	%	1.12%	1.89%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	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%	
Senior Officer	#	20	14	6	0	0	13	5	0	1	1	0	0	0	0	0	0	0	0	0	0	0	
	%	22.47%	26.42%	16.67%	0.00%	0.00%	30.95%	20.00%	0.00%	50.00%	10.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
TOTAL	#	89	53	36	0	2	42	25	1	2	10	6	0	1	0	0	0	0	0	0	0	0	
	%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	100%	

Notes: Percentages computed down columns and NOT across rows. Total calculations shown may not match that derived from detail data presented due to rounding.
 Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE A6: PARTICIPATION RATES FOR MAJOR OCCUPATIONS—DISTRIBUTION BY RACE/ETHNICITY AND SEX
PERMANENT WORKFORCE—PAY PERIOD 201822

JOB TITLE/SERIES		RACE/ETHNICITY															
		TOTAL EMPLOYEES				Hispanic or Latino		Non-Hispanic or Latino						Two or More Races			
		All	Male	Female		Male	Female	White	Black or African American	Asian	Native Hawaiian or Other Pacific Islander	American Indian or Alaska Native	Male	Female	Male	Female	
0905 General Attorney	#	1848	1023	825	41	35	841	592	75	84	115	0	0	2	3	0	5
	%	100%	55.36%	44.64%	2.22%	1.89%	45.51%	32.03%	4.06%	4.55%	6.22%	0.00%	0.00%	0.11%	0.16%	0.00%	0.27%
Occupational CLF		100%	66.70%	33.30%	2.52%	1.85%	59.68%	26.68%	2.60%	1.82%	1.74%	0.02%	0.01%	0.31%	0.23%	0.22%	0.18%
0510 Accountant	#	867	491	376	29	25	382	237	45	46	64	0	0	2	1	0	4
	%	100%	56.63%	43.37%	3.34%	2.88%	44.06%	27.34%	5.19%	5.31%	7.38%	0.00%	0.00%	0.23%	0.12%	0.00%	0.46%
Occupational CLF		100%	39.91%	60.09%	2.19%	3.93%	31.79%	44.23%	5.66%	3.06%	5.49%	0.02%	0.06%	0.19%	0.43%	0.17%	0.29%
1831 Securities Compliance Examining	#	327	217	110	19	3	155	61	19	30	25	0	0	0	0	2	2
	%	100%	66.36%	33.64%	5.81%	0.92%	47.40%	18.65%	5.81%	9.17%	7.65%	0.00%	0.00%	0.00%	0.00%	0.61%	0.61%
Occupational CLF		100%	54.75%	45.25%	3.06%	3.65%	44.11%	28.34%	8.71%	3.69%	3.96%	0.00%	0.00%	0.08%	0.31%	0.24%	0.27%
2210 Information Technology Management	#	285	208	77	17	3	102	26	34	56	14	0	0	3	0	3	0
	%	100%	72.98%	27.02%	5.96%	1.05%	35.79%	9.12%	11.93%	19.65%	4.91%	0.00%	0.00%	1.05%	0.00%	1.05%	0.00%
Occupational CLF		100%	70.36%	29.64%	5.39%	2.17%	52.21%	20.89%	4.50%	5.14%	1.55%	0.10%	0.05%	0.53%	0.29%	0.38%	0.18%
0110 Economist	#	86	64	22	2	3	47	12	0	9	7	0	0	2	0	0	0
	%	100%	74.42%	25.58%	2.33%	3.49%	54.65%	13.95%	0.00%	10.47%	8.14%	0.00%	0.00%	2.33%	0.00%	0.00%	0.00%
Occupational CLF		100%	67.07%	32.93%	3.34%	1.85%	55.79%	25.20%	2.66%	4.46%	3.02%	0.00%	0.05%	0.47%	0.13%	0.18%	0.02%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart: FPPS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE A6: PARTICIPATION RATES FOR MAJOR OCCUPATIONS—DISTRIBUTION BY RACE/ETHNICITY AND SEX
 TEMPORARY WORKFORCE—PAY PERIOD 201822

JOB TITLE/SERIES		RACE/ETHNICITY															
		TOTAL EMPLOYEES						Non-Hispanic or Latino								Two or More Races	
		#	%	Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native			
All	Male			Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	
0905 General Attorney	#	30	19	11	0	0	17	9	0	1	2	1	0	0	0	0	0
	%	100%	63.33%	36.67%	0.00%	0.00%	56.67%	30.00%	3.33%	3.33%	6.67%	3.33%	0.00%	0.00%	0.00%	0.00%	0.00%
Occupational CLF	#	17	10	7	0	0	9	6	0	0	1	1	0	0	0	0	0
	%	100%	66.70%	33.30%	2.52%	1.85%	59.68%	26.68%	2.60%	1.74%	1.82%	1.74%	0.02%	0.01%	0.31%	0.23%	0.18%
0510 Accountant	#	100%	58.82%	41.18%	0.00%	0.00%	52.94%	35.29%	0.00%	0.00%	5.88%	5.88%	0.00%	0.00%	0.00%	0.00%	0.00%
	%	100%	39.91%	60.09%	2.19%	3.93%	31.79%	44.23%	5.66%	3.06%	3.06%	5.49%	0.02%	0.06%	0.19%	0.43%	0.29%
1831 Securities Compliance Examining	#	2	2	0	0	0	1	0	0	0	1	0	0	0	0	0	0
	%	100%	100%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	50.00%	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%	8.71%	3.57%	3.69%	3.96%	0.00%	0.00%	0.08%	0.31%	0.27%
	%	100%	70.36%	29.64%	5.39%	2.17%	52.21%	20.89%	4.50%	6.61%	5.14%	1.55%	0.10%	0.05%	0.53%	0.29%	0.18%
2210 Information Technology Management	#	14	6	8	0	0	3	4	0	0	3	4	0	0	0	0	0
	%	100%	42.86%	57.14%	0.00%	0.00%	21.43%	28.57%	0.00%	0.00%	21.43%	28.57%	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%	0.02%
	%	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%	0.02%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
 Source: Datamart FPFS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE A7: APPLICANT FLOW DATA FOR MAJOR OCCUPATIONS BY RACE/ETHNICITY AND SEX CLOSING DATES IN FY 2018 (10/01/2017 THROUGH 09/30/2018)

JOB TITLE/SERIES	RACE/ETHNICITY																			
	TOTAL ¹		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
General Attorney (0905): In FY 2018 Applicant Flow Data, 65 attorney applications were marked as selected.																				
TOTAL Received	#	1017																		
Voluntarily Identified	#	727	40	22	312	139	69	59	51	25	1	2	3	1	3	1	1	0	3	
	%	100%	5.50%	3.03%	42.92%	19.12%	9.49%	8.12%	7.02%	3.44%	0.14%	0.28%	0.41%	0.14%	0.41%	0.14%	0.28%	0.00%	0.41%	
Qualified of Those Identified	#	339	14	6	158	80	15	24	21	15	1	1	1	1	1	1	1	0	2	
	%	100%	4.13%	1.77%	46.61%	23.60%	4.42%	7.08%	6.19%	4.42%	0.29%	0.29%	0.29%	0.29%	0.29%	0.29%	0.29%	0.00%	0.59%	
Selected of Those Identified	#	48	1	1	20	15	2	2	3	3	0	1	0	0	0	0	0	0	0	
	%	100%	2.08%	2.08%	41.67%	31.25%	4.17%	4.17%	6.25%	6.25%	0.00%	2.08%	0.00%	0.00%	0.00%	0.00%	2.08%	0.00%	0.00%	
Occupational CLF	%	100%	2.52%	1.85%	59.68%	26.68%	2.13%	2.60%	1.82%	1.74%	0.02%	0.01%	0.31%	0.23%	0.31%	0.23%	0.01%	0.22%	0.18%	
Accounting (0510): In FY 2018 Applicant Flow Data, 12 accountant applications were marked as selected.²																				
TOTAL Received	#	159																		
Voluntarily Identified	#	126	4	4	34	19	20	22	9	12	0	0	2	0	2	0	0	0	0	
	%	100%	3.17%	3.17%	26.98%	15.08%	15.87%	17.46%	7.14%	9.52%	0.00%	0.00%	1.59%	0.00%	1.59%	0.00%	0.00%	0.00%	0.00%	
Qualified of Those Identified	#	31	0	1	12	9	2	1	2	4	0	0	0	0	0	0	0	0	0	
	%	100%	0.00%	3.23%	38.71%	29.03%	6.45%	3.23%	6.45%	12.90%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Selected of Those Identified	#	11	0	1	2	4	1	0	1	2	0	0	0	0	0	0	0	0	0	
	%	100%	0.00%	9.09%	18.18%	36.36%	9.09%	0.00%	9.09%	18.18%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Occupational CLF	%	100%	2.19%	3.93%	31.79%	44.23%	2.49%	5.66%	3.06%	5.49%	0.02%	0.06%	0.19%	0.43%	0.19%	0.43%	0.06%	0.17%	0.29%	

¹ This table contains Applicant Flow Data from USAStaffing for both permanent and temporary vacancies posted with close dates during the fiscal year ending on 9/30/2018 (i.e., between 10/1/2017 and 09/30/2018).

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2018, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those identified.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201822, downloaded on 11/16/2018

TABLE A7: APPLICANT FLOW DATA FOR MAJOR OCCUPATIONS BY RACE/ETHNICITY AND SEX CLOSING DATES IN FY 2018 (10/01/2017 THROUGH 09/30/2018) continued

JOB TITLE/SERIES	RACE/ETHNICITY																			
	TOTAL ¹		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
Securities Compliance Examining (1831): In FY 2018 Applicant Flow Data, 5 examiner applications were marked as selected.																				
TOTAL Received	#	123																		
Voluntarily Identified	#	92	64	28	9	6	36	13	7	5	11	4	0	0	1	0	0	0	0	0
	%	100%	69.57%	30.43%	9.78%	6.52%	39.13%	14.13%	7.61%	5.43%	11.96%	4.35%	0.00%	0.00%	1.09%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified of Those Identified	#	25	14	11	4	1	6	8	2	0	2	2	0	0	0	0	0	0	0	0
	%	100%	56.00%	44.00%	16.00%	4.00%	24.00%	32.00%	8.00%	0.00%	8.00%	8.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of Those Identified	#	3	3	0	2	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	100%	0.00%	66.67%	0.00%	33.33%	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%
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%	0.00%	0.24%	0.27%	
Information Technology Management (2210): In FY 2018 Applicant Flow Data, 2 information technology management applications were marked as selected.																				
TOTAL Received	#	35																		
Voluntarily Identified	#	28	25	3	5	0	7	0	8	2	5	1	0	0	0	0	0	0	0	0
	%	100%	89.29%	10.71%	17.86%	0.00%	25.00%	0.00%	28.57%	7.14%	17.86%	3.57%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified of Those Identified	#	6	5	1	1	0	1	0	1	1	2	0	0	0	0	0	0	0	0	0
	%	100%	83.33%	16.67%	16.67%	0.00%	16.67%	0.00%	16.67%	16.67%	33.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected of Those Identified	#	2	2	0	1	0	1	0	0	0	0	0	0	0	0	0	0	0	0	0
	%	100%	100%	0.00%	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%	0.00%	0.00%	0.00%
Occupational CLF	%	100%	70.36%	29.64%	5.39%	2.17%	52.21%	20.89%	6.61%	4.50%	5.14%	1.55%	0.10%	0.05%	0.53%	0.29%	0.05%	0.38%	0.18%	

¹ This table contains Applicant Flow Data from USA Staffing for both permanent and temporary vacancies posted with close dates during the fiscal year ending on 9/30/2018 (i.e., between 10/1/2017 and 09/30/2018).

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2018, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those identified.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USA Staffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201822, downloaded on 11/16/2018

TABLE A7: APPLICANT FLOW DATA FOR MAJOR OCCUPATIONS BY RACE/ETHNICITY AND SEX
CLOSING DATES IN FY 2018 (10/01/2017 THROUGH 09/30/2018) continued

JOB TITLE/SERIES	RACE/ETHNICITY																		
	TOTAL ¹						Non-Hispanic or Latino								Two or More Races				
	All	Male	Female	Male	Female		Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		
Economist (0110): In FY 2018 Applicant Flow Data, 0 economist application was marked as selected.²																			
TOTAL Received	#	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0
Voluntarily Identified	#	0	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%
Qualified of Those Identified	#	0	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%
Selected of Those Identified	#	0	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%
Occupational CLF	%	100%	67.07%	32.93%	1.85%	3.34%	1.85%	25.20%	2.84%	2.66%	4.46%	3.02%	0.00%	0.05%	0.47%	0.13%	0.18%	0.02%	

¹ This table contains Applicant Flow Data from USAStaffing for both permanent and temporary vacancies posted with close dates during the fiscal year ending on 9/30/2018 (i.e., between 10/1/2017 and 09/30/2018).

² Selected in this reference reflects all candidates who were marked as selected for a vacancy that closed during the fiscal year ending on 9/30/2018, including those who chose not to voluntarily self-identify their race, ethnicity, or gender. As such, the number selected may exceed the number selected of those identified.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos Applicant Flow Data System, Datamart FPPS Application, and EEO-AT 1.0 Analytic File X for pay period 201822, downloaded on 11/16/2018

TABLE A8: PARTICIPATION RATES FOR NEW HIRES BY TYPE OF APPOINTMENT—DISTRIBUTION BY RACE/ETHNICITY AND SEX IN FY 2018 (10/01/2017 THROUGH 09/30/2018)

TYPE OF APPOINTMENT		RACE/ETHNICITY																				
		TOTAL EMPLOYEES						Non-Hispanic or Latino								Two or More Races						
		All	Male	Female	Hispanic or Latino	Male	Female	White	Male	Female	Black or African American	Male	Female	Asian	Male	Female	Native Hawaiian or Other Pacific Islander	Male	Female	American Indian or Alaska Native	Male	Female
Permanent	#	24	15	9	0	0	5	15	5	3	0	1	0	0	0	0	0	0	0	0	0	0
	%	100%	62.50%	37.50%	0.00%	0.00%	20.83%	62.50%	20.83%	12.50%	0.00%	4.17%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Temporary	#	29	16	13	0	0	11	15	11	0	0	2	0	0	0	0	0	0	0	0	0	0
	%	100%	55.17%	44.83%	0.00%	0.00%	37.93%	51.72%	37.93%	0.00%	0.00%	6.90%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
TOTAL New Hires	#	53	31	22	0	0	16	30	16	3	1	3	0	0	0	0	0	0	0	0	0	0
	%	100%	58.49%	41.51%	0.00%	0.00%	30.19%	56.60%	30.19%	5.66%	1.89%	5.66%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
CLF (2010)	%	100%	51.86%	48.14%	5.17%	4.79%	34.03%	38.33%	34.03%	5.49%	6.53%	1.93%	0.07%	0.07%	0.07%	0.07%	0.55%	0.53%	0.26%	0.28%	0.28%	0.28%

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
 Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE A9: SELECTIONS FOR INTERNAL COMPETITIVE PROMOTIONS FOR MAJOR OCCUPATIONS BY RACE/ETHNICITY AND SEX IN FY 2018 (10/01/2017 THROUGH 09/30/2018)

		RACE/ETHNICITY																				
		TOTAL ¹		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	
Job Series of Vacancy: General Attorney (0905)																						
TOTAL Applications Received	#	468	315	153	19	9	253	106	13	13	29	20	0	0	1	1	0	0	1	1	0	4
	%	100%	67.31%	32.69%	4.06%	1.92%	54.06%	22.65%	2.78%	2.78%	6.20%	4.27%	0.00%	0.00%	0.21%	0.21%	0.00%	0.00%	0.21%	0.21%	0.00%	0.85%
Qualified	#	422	281	141	14	4	232	99	12	13	22	20	0	0	1	1	0	0	1	1	0	4
	%	100%	66.59%	33.41%	3.32%	0.95%	54.98%	23.46%	2.84%	3.08%	5.21%	4.74%	0.00%	0.00%	0.24%	0.24%	0.00%	0.00%	0.24%	0.24%	0.00%	0.95%
Selected	#	65	36	29	4	1	27	21	1	3	4	4	0	0	0	0	0	0	0	0	0	0
	%	100%	55.38%	44.62%	6.15%	1.54%	41.54%	32.31%	1.54%	4.62%	6.15%	6.15%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool¹	%	100%	54.89%	45.11%	2.10%	2.17%	44.45%	31.58%	3.28%	4.27%	4.92%	6.57%	0.00%	0.00%	0.13%	0.20%	0.00%	0.00%	0.13%	0.20%	0.00%	0.33%
Job Series of Vacancy: Accounting (0510)																						
TOTAL Applications Received	#	40	20	20	0	1	15	10	2	3	3	6	0	0	0	0	0	0	0	0	0	0
	%	100%	50.00%	50.00%	0.00%	2.50%	37.50%	25.00%	5.00%	7.50%	7.50%	15.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified	#	33	17	16	0	1	12	10	2	1	3	4	0	0	0	0	0	0	0	0	0	0
	%	100%	51.52%	48.48%	0.00%	3.03%	36.36%	30.30%	6.06%	3.03%	9.09%	12.12%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	14	6	8	0	1	5	5	0	0	1	2	0	0	0	0	0	0	0	0	0	0
	%	100%	42.86%	57.14%	0.00%	7.14%	35.71%	35.71%	0.00%	0.00%	7.14%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool¹	%	100%	55.18%	44.82%	3.28%	3.16%	42.68%	27.78%	3.79%	5.56%	5.30%	7.70%	0.00%	0.00%	0.13%	0.13%	0.00%	0.00%	0.13%	0.13%	0.00%	0.51%

¹ "Relevant Applicant Pool" = all employees in the next lower pay grade and in all series that qualify them for the position announced.
 Note: Total calculations shown may not match that derived from detail data presented due to rounding.
 Source: USAS/Staffing Cognos reporting, Datamart FPPS and EEO-AT 1.0 Analytic File X for pay period 201822, downloaded on 11/16/2018

TABLE A9: SELECTIONS FOR INTERNAL COMPETITIVE PROMOTIONS FOR MAJOR OCCUPATIONS BY RACE/ETHNICITY AND SEX IN FY 2018 (10/01/2017 THROUGH 09/30/2018) *continued*

		RACE/ETHNICITY														
		Hispanic or Latino						Non-Hispanic or Latino								
		TOTAL ¹		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	
Job Series of Vacancy: Securities Compliance Examining (1831)																
TOTAL Applications Received	#	66	48	18	8	1	20	9	8	8	6	12	2	0	0	0
	%	100%	72.73%	27.27%	12.12%	1.52%	30.30%	13.64%	12.12%	9.09%	18.18%	3.03%	3.03%	0.00%	0.00%	0.00%
Qualified	#	43	27	16	4	1	15	9	4	4	4	4	2	0	0	0
	%	100%	62.79%	37.21%	9.30%	2.33%	34.88%	20.93%	9.30%	9.30%	9.30%	4.65%	4.65%	0.00%	0.00%	0.00%
Selected	#	8	6	2	2	0	3	2	0	0	0	1	0	0	0	0
	%	100%	75.00%	25.00%	25.00%	0.00%	37.50%	25.00%	0.00%	0.00%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool¹	%	100%	63.08%	36.92%	5.54%	0.62%	44.31%	18.77%	3.69%	9.85%	8.92%	7.38%	0.00%	0.00%	0.62%	0.31%
Job Series of Vacancy: Information Technology Management (2210)																
TOTAL Applications Received	#	125	106	19	5	0	40	8	14	9	47	2	2	0	0	0
	%	100%	84.80%	15.20%	4.00%	0.00%	32.00%	6.40%	11.20%	7.20%	37.60%	1.60%	1.60%	0.00%	0.00%	0.00%
Qualified	#	91	75	16	4	0	26	6	14	8	31	2	2	0	0	0
	%	100%	82.42%	17.58%	4.40%	0.00%	28.57%	6.59%	15.38%	8.79%	34.07%	2.20%	2.20%	0.00%	0.00%	0.00%
Selected	#	7	3	4	1	0	1	4	0	0	1	0	0	0	0	0
	%	100%	42.86%	57.14%	14.29%	0.00%	14.29%	57.14%	0.00%	0.00%	14.29%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool¹	%	100%	72.96%	27.04%	6.30%	1.11%	34.07%	8.89%	9.63%	11.85%	20.74%	5.19%	5.19%	0.00%	1.11%	0.00%

¹ "Relevant Applicant Pool" = all employees in the next lower pay grade and in all series that qualify them for the position announced. Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAS/Staffing Cognos reporting, Datamart FPPS and EEO-AT 1.0 Analytic File X for pay period 201822, downloaded on 11/16/2018

TABLE A9: SELECTIONS FOR INTERNAL COMPETITIVE PROMOTIONS FOR MAJOR OCCUPATIONS BY RACE/ETHNICITY AND SEX IN FY 2018 (10/01/2017 THROUGH 09/30/2018) *continued*

		RACE/ETHNICITY																
		TOTAL ¹				Hispanic or Latino				Non-Hispanic or Latino				Two or More Races				
		All	Male	Female		Male	Female	Male	Female	White	Black or African American	Asian	Native Hawaiian or Other Pacific Islander	American Indian or Alaska Native	Male	Female		
Job Series of Vacancy: Economist (0110)																		
TOTAL Applications Received	#	4	2	2	0	0	2	2	2	2	0	0	0	0	0	0	0	0
	%	100%	50.00%	50.00%	0.00%	0.00%	50.00%	50.00%	50.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified	#	2	2	0	0	0	2	0	0	0	0	0	0	0	0	0	0	0
	%	100%	100%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	2	2	0	0	0	2	0	0	0	0	0	0	0	0	0	0	0
	%	100%	100%	0.00%	0.00%	0.00%	100%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool¹	%	100%	75.00%	25.00%	2.63%	3.95%	53.95%	13.16%	0.00%	10.53%	7.89%	0.00%	2.63%	0.00%	0.00%	0.00%	0.00%	

¹ "Relevant Applicant Pool" = all employees in the next lower pay grade and in all series that qualify them for the position announced.
 Note: Total calculations shown may not match that derived from detail data presented due to rounding.
 Source: USAStaffing Cognos reporting, Datamart FPPS and EEO-AT 1.0 Analytic File X for pay period 201822, downloaded on 11/16/2018

TABLE A10: NON-COMPETITIVE PROMOTIONS—TIME IN GRADE—DISTRIBUTION BY RACE/ETHNICITY AND SEX
PAY PERIOD 201822

TYPE OF APPOINTMENT		RACE/ETHNICITY															
		Non-Hispanic or Latino												Hispanic or Latino		Two or More Races	
		TOTAL EMPLOYEES		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Male	Female		
#	%	All	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female	Male	Female			
TOTAL Employees Eligible for Career Ladder Promotion		209	101	108	8	9	32.06%	19.62%	8.13%	17.22%	3.83%	9.09%	0.00%	0.00%	0.48%	1.44%	
		100%	48.33%	51.67%	3.83%	4.31%	32.06%	19.62%	8.13%	17.22%	3.83%	9.09%	0.00%	0.00%	0.48%	1.44%	
Time in grade in excess of minimum																	
1 – 12 months	#	14	7	7	2	0	2	2	1	3	2	2	0	0	0	0	
	%	100%	50.00%	50.00%	14.29%	0.00%	14.29%	14.29%	7.14%	21.43%	14.29%	14.29%	0.00%	0.00%	0.00%	0.00%	
13 – 24 months	#	5	3	2	0	1	1	0	2	0	0	1	0	0	0	0	
	%	100%	60.00%	40.00%	0.00%	20.00%	20.00%	0.00%	40.00%	0.00%	0.00%	20.00%	0.00%	0.00%	0.00%	0.00%	
25+ months	#	9	5	4	0	0	3	2	2	2	0	0	0	0	0	0	
	%	100%	55.56%	44.44%	0.00%	0.00%	33.33%	22.22%	22.22%	22.22%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE A11: INTERNAL SELECTIONS FOR SENIOR LEVEL POSITIONS (SK-13 THROUGH SK-17 AND SO-01) BY RACE/ETHNICITY AND SEX IN FY 2018 (10/01/2017 THROUGH 09/30/2018)

		RACE/ETHNICITY																
		TOTAL		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
Grade of Vacancy: SK-13																		
TOTAL Applications Received	#	71	36	35	1	11	10	10	10	20	12	4	0	0	0	0	0	0
	%	100%	50.70%	49.30%	4.23%	15.49%	14.08%	14.08%	14.08%	28.17%	16.90%	5.63%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Qualified	#	30	10	20	0	2	5	4	10	4	4	0	0	0	0	0	0	0
	%	100%	33.33%	66.67%	0.00%	6.67%	16.67%	13.33%	33.33%	13.33%	13.33%	13.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	9	3	6	0	2	2	0	2	1	2	0	0	0	0	0	0	0
	%	100%	33.33%	66.67%	0.00%	22.22%	22.22%	0.00%	22.22%	11.11%	22.22%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool¹	%	100%	26.15%	73.85%	2.75%	10.55%	22.94%	10.09%	37.16%	1.83%	8.26%	0.00%	0.00%	0.00%	0.46%	0.46%	0.46%	1.38%
Grade of Vacancy: SK-14																		
TOTAL Applications Received	#	225	105	120	8	54	49	22	55	19	14	0	0	0	2	0	0	0
	%	100%	46.67%	53.33%	3.56%	24.00%	21.78%	9.78%	24.44%	8.44%	6.22%	0.00%	0.00%	0.00%	0.89%	0.00%	0.00%	0.00%
Qualified	#	149	67	82	6	35	41	12	31	14	8	0	0	0	0	0	0	0
	%	100%	44.97%	55.03%	4.03%	23.49%	27.52%	8.05%	20.81%	9.40%	5.37%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	25	9	16	0	5	9	4	5	0	2	0	0	0	0	0	0	0
	%	100%	36.00%	64.00%	0.00%	20.00%	36.00%	16.00%	20.00%	0.00%	8.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool	%	100%	49.47%	50.53%	2.63%	29.21%	18.68%	8.95%	23.42%	7.37%	5.26%	0.00%	0.00%	1.05%	0.00%	0.00%	0.26%	0.26%

¹ "Relevant Applicant Pool" = all employees in the next lower pay grade and in all series that qualify them for the position announced.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USA Staffing Cognos reporting, Datamart FPPS and EEO-AT 1.0 Analytic File X for pay period 201822, downloaded on 11/16/2018

TABLE A17: INTERNAL SELECTIONS FOR SENIOR LEVEL POSITIONS (SK-13 THROUGH SK-17 AND SO-01) BY RACE/ETHNICITY AND SEX IN FY 2018 (10/01/2017 THROUGH 09/30/2018) *continued*

		RACE/ETHNICITY																	
		TOTAL		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
				#	%	#	%	#	%	#	%	#	%	#	%	#	%	#	%
Grade of Vacancy: SK-16																			
TOTAL Applications Received	#	180	121	59	10	5	85	39	8	8	18	6	0	0	0	0	0	0	1
	%	100%	67.22%	32.78%	5.56%	2.78%	47.22%	21.67%	4.44%	4.44%	10.00%	3.33%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.56%
Qualified	#	156	101	55	3	3	78	37	8	8	12	6	0	0	0	0	0	0	1
	%	100%	64.74%	35.26%	1.92%	1.92%	50.00%	23.72%	5.13%	5.13%	7.69%	3.85%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.64%
Selected	#	32	17	15	1	2	12	8	0	3	4	2	0	0	0	0	0	0	0
	%	100%	53.13%	46.88%	3.13%	6.25%	37.50%	25.00%	0.00%	9.38%	12.50%	6.25%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool	%	100%	57.45%	42.55%	3.34%	2.58%	42.51%	26.42%	4.17%	6.20%	7.15%	6.91%	0.00%	0.00%	0.00%	0.16%	0.08%	0.12%	0.36%
Grades of Vacancies: SK-15 & SK-17																			
TOTAL Applications Received	#	670	461	209	40	23	281	118	50	39	89	23	0	0	1	1	0	0	5
	%	100%	68.81%	31.19%	5.97%	3.43%	41.94%	17.61%	7.46%	5.82%	13.28%	3.43%	0.00%	0.00%	0.15%	0.15%	0.00%	0.00%	0.75%
Qualified	#	537	363	174	30	12	227	105	41	30	64	23	0	0	1	1	0	0	3
	%	100%	67.60%	32.40%	5.59%	2.23%	42.27%	19.55%	7.64%	5.59%	11.92%	4.28%	0.00%	0.00%	0.19%	0.19%	0.00%	0.00%	0.56%
Selected	#	58	37	21	9	0	23	19	1	0	4	2	0	0	0	0	0	0	0
	%	100%	63.79%	36.21%	15.52%	0.00%	39.66%	32.76%	1.72%	0.00%	6.90%	3.45%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool	%	100%	57.84%	42.16%	3.12%	2.39%	43.46%	26.93%	3.92%	5.78%	7.04%	6.57%	0.00%	0.00%	0.20%	0.13%	0.10%	0.10%	0.37%

¹ "Relevant Applicant Pool" = all employees in the next lower pay grade and in all series that qualify them for the position announced.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USA Staffing Cognos reporting, Datamart FPPS and EEO-AT 1.0 Analytic File X for pay period 201822, downloaded on 11/16/2018

TABLE A17: INTERNAL SELECTIONS FOR SENIOR LEVEL POSITIONS (SK-13 THROUGH SK-17 AND SO-01) BY RACE/ETHNICITY AND SEX IN FY 2018 (10/01/2017 THROUGH 09/30/2018) continued

		RACE/ETHNICITY															
		TOTAL		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
Grade of Vacancy: SO-01																	
TOTAL Applications Received	#	118	80	38	3	3	3	3	22	7	10	6	3	0	0	0	0
	%	100%	67.80%	32.20%	2.54%	2.54%	18.64%	5.93%	54.24%	5.08%	8.47%	5.08%	2.54%	0.00%	0.00%	0.00%	0.00%
Qualified	#	100	69	31	2	2	18	6	56	6	8	5	3	0	0	0	0
	%	100%	69.00%	31.00%	2.00%	2.00%	18.00%	6.00%	56.00%	5.00%	8.00%	5.00%	3.00%	0.00%	0.00%	0.00%	0.00%
Selected	#	12	7	5	0	0	3	1	6	1	1	0	1	0	0	0	0
	%	100%	58.33%	41.67%	0.00%	0.00%	25.00%	8.33%	50.00%	8.33%	8.33%	0.00%	8.33%	0.00%	0.00%	0.00%	0.00%
Relevant Applicant Pool	%	100%	58.29%	41.71%	3.20%	2.20%	27.10%	3.75%	44.32%	6.72%	5.60%	6.72%	6.31%	0.00%	0.00%	0.21%	0.38%

¹ "Relevant Applicant Pool" = all employees in the next lower pay grade and in all series that qualify them for the position announced.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USAStaffing Cognos reporting, Datamart FPPS and EEO-AT 1.0 Analytic File X for pay period 201822, downloaded on 11/16/2018

TABLE A12: PARTICIPATION IN CAREER DEVELOPMENT—DISTRIBUTION BY RACE/ETHNICITY AND SEX IN FY 2018 (10/01/2017 THROUGH 09/30/2018)

		RACE/ETHNICITY														
		Hispanic or Latino						Non-Hispanic or Latino								
		TOTAL		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	
Career Development Programs for SK 5 – 12																
Slots ¹	#	13														
	#	0	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%	0.00%
Participants	#	13	0	13	0	1	0	11	0	0	0	0	0	0	0	0
	%	100%	0.00%	100%	0.00%	7.69%	0.00%	84.62%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Relevant Pool²	%	100%	22.35%	77.65%	2.53%	8.99%	18.66%	9.45%	45.39%	0.92%	5.76%	0.00%	0.00%	0.23%	0.23%	1.61%
Career Development Programs for SK 13 – 14																
Slots ¹	#	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%
Participants	#	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%
Relevant Pool	%	100%	55.02%	44.98%	3.04%	2.80%	39.73%	4.86%	8.73%	6.95%	7.03%	0.00%	0.00%	0.28%	0.16%	0.39%
Career Development Programs for SK 15 – 17																
Slots ¹	#	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%
Participants	#	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%
Relevant Pool	%	100%	62.21%	37.79%	3.34%	1.19%	49.01%	3.10%	4.69%	6.44%	4.53%	0.00%	0.00%	0.32%	0.00%	0.32%

¹ Slots and Participant rows include those employees who applied for career development programs during this fiscal year, continuing participation across years is not counted in subsequent reporting. Career development programs span the SK 13 – 14 and SK 15 – 17 rows above.

² "Relevant Pool" = all employees in the pay grades eligible for the career development program.

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: USA Staffing Cognos reporting, Datamart FPPS and EEO-AT 1.0 Analytic File X for pay period 201822, downloaded on 11/16/2018

TABLE A13: EMPLOYEE RECOGNITION AND AWARDS—DISTRIBUTION BY RACE/ETHNICITY AND SEX IN FY 2018 (10/01/2017 THROUGH 09/30/2018)

AWARDS		RACE/ETHNICITY																
		TOTAL EMPLOYEES							Non-Hispanic or Latino							Two or More Races		
		All	Male	Female	Hispanic or Latino		White		Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Male	Female
Time-Off Awards: 1 – 9 hours																		
TOTAL	#	1645	844	801	51	31	604	444	79	246	108	67	0	0	2	1	0	12
Time-Off Awards Given	%	100%	51.31%	48.69%	3.10%	1.88%	36.72%	26.99%	4.80%	14.95%	6.57%	4.07%	0.00%	0.00%	0.12%	0.06%	0.00%	0.73%
TOTAL Hours		10,843	5,675	5,168	342	182	4,001	2,870	522	1,568	794	467	0	0	16	4	0	77
Average Hours		7	7	6	7	6	7	6	7	6	7	7	7	0	8	4	0	6
Time-Off Awards: 9+ hours																		
TOTAL	#	1400	652	748	45	48	480	458	47	134	79	103	0	0	1	2	0	3
Time-Off Awards Given	%	100%	46.57%	53.43%	3.21%	3.43%	34.29%	32.71%	3.36%	9.57%	5.64%	7.36%	0.00%	0.00%	0.07%	0.14%	0.00%	0.21%
TOTAL Hours		25,846	11,794	14,052	833	972	8,646	8,769	852	2,298	1,443	1,897	0	0	20	64	0	52
Average Hours		18	18	19	19	20	18	19	18	17	18	18	0	0	20	32	0	17
Cash Awards: \$100 – \$500																		
TOTAL	#	1140	574	566	33	40	415	266	79	217	45	31	0	0	1	3	1	9
Cash Awards Given	%	100%	50.35%	49.65%	2.89%	3.51%	36.40%	23.33%	6.93%	19.04%	3.95%	2.72%	0.00%	0.00%	0.09%	0.26%	0.09%	0.79%
TOTAL Amount		\$424,424	\$224,082	\$200,342	\$11,981	\$14,673	\$166,113	\$100,364	\$28,476	\$67,785	\$16,762	\$12,591	\$0	\$0	\$250	\$1,454	\$500	\$3,475
Average Amount		\$372	\$390	\$354	\$363	\$367	\$400	\$377	\$360	\$312	\$372	\$406	\$0	\$0	\$250	\$485	\$500	\$386

Notes: Quality Step Increases are not applicable to the SEC. Total calculations shown may not match that derived from detail data presented due to rounding.
Source: Datamart: FPPS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE A13: EMPLOYEE RECOGNITION AND AWARDS—DISTRIBUTION BY RACE/ETHNICITY AND SEX IN FY 2018 (10/01/2017 THROUGH 09/30/2018) continued

		RACE/ETHNICITY																
		TOTAL EMPLOYEES						Non-Hispanic or Latino								Two or More Races		
		All	Male	Female	Male	Female	Male	Black or African American	Asian	Native Hawaiian or Other Pacific Islander	American Indian or Alaska Native	Male	Female	Male	Female			
AWARDS																		
Cash Awards: \$501+																		
TOTAL Cash Awards Given	#	2244	1302	942	70	37	1008	586	181	147	129	0	0	0	5	2	3	7
	%	100%	58.02%	41.98%	3.12%	1.65%	44.92%	26.11%	8.07%	6.55%	5.75%	0.00%	0.00%	0.00%	0.22%	0.09%	0.13%	0.31%
TOTAL Amount		\$2,585,943	\$1,518,532	\$1,067,411	\$81,167	\$41,405	\$1,189,253	\$677,832	\$195,987	\$170,134	\$141,537	\$0	\$0	\$0	\$5,495	\$2,700	\$3,250	\$7,950
Average Amount		\$1,152	\$1,166	\$1,133	\$1,160	\$1,119	\$1,180	\$1,157	\$1,083	\$1,157	\$1,097	\$0	\$0	\$0	\$1,099	\$1,350	\$1,083	\$1,136
Quality Step Increases (QSI): N/A																		
TOTAL QSIs Awarded	#	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%
TOTAL Benefit		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
Average Benefit		0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0	0

Notes: Quality Step Increases are not applicable to the SEC. Total calculations shown may not match that derived from detail data presented due to rounding.

Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE A14: SEPARATIONS BY TYPE OF SEPARATION—DISTRIBUTION BY RACE/ETHNICITY AND SEX IN FY 2018 (10/01/2017 THROUGH 09/30/2018)

TYPE OF SEPARATION		RACE/ETHNICITY																			
		TOTAL EMPLOYEES						Hispanic or Latino						Non-Hispanic or Latino						Two or More Races	
		All	Male		Female		White	Black or African American		Asian		Native Hawaiian or Other Pacific Islander		American Indian or Alaska Native		Male	Female	Male	Female		
			%	#	%	#		%	#	%	#	%	#	%	#					%	#
Voluntary	#	172	97	75	3	6	3	53	10	11	6	8	0	0	2	0	0	0	0		
	%	100%	56.40%	43.60%	1.74%	42.44%	30.81%	5.81%	6.40%	3.49%	6.40%	4.65%	0.00%	0.00%	1.16%	0.00%	0.00%	0.00%	0.00%		
Involuntary	#	4	0	4	0	0	0	2	0	1	0	1	0	0	0	0	0	0	0		
	%	100%	0.00%	100%	0.00%	50.00%	0.00%	25.00%	0.00%	25.00%	0.00%	25.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%		
TOTAL Separations	#	176	97	79	3	6	3	55	10	12	6	9	0	0	2	0	0	0	0		
	%	100%	55.11%	44.89%	1.70%	41.48%	31.25%	5.68%	6.82%	3.41%	6.82%	5.11%	0.00%	0.00%	1.14%	0.00%	0.00%	0.00%	0.00%		
TOTAL Workforce	#	4359	2352	2007	112	1732	1122	265	264	482	265	264	0	1	12	5	5	21	21		
	%	100%	53.96%	46.04%	2.57%	39.73%	25.74%	4.73%	11.06%	6.06%	6.06%	6.06%	0.00%	0.02%	0.28%	0.11%	0.11%	0.48%	0.48%		

Note: Total calculations shown may not match that derived from detail data presented due to rounding.
 Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE B1: TOTAL WORKFORCE—DISTRIBUTION BY DISABILITY [OPM FORM 256 SELF-IDENTIFICATION CODES] PAY PERIODS 201721 TO 201822

EMPLOYMENT TENURE	TOTAL BY DISABILITY STATUS ¹										DETAIL FOR TARGETED DISABILITIES																													
	TOTAL		No Disability [05]		Not Identified [01]		Disability [02-03, 06-99]		Other PWD		Total PWD		PWTD		Developmental Disability [02]		Traumatic Brain Injury [03]		Deaf or Serious Difficulty Hearing [19]		Blind or Serious Difficulty Seeing [20]		Missing Extremities [31]		Significant Mobility Impairment [40]		Paralysis [60]		Epilepsy or Other Seizure Disorders [82]		Intellectual Disability [90]		Significant Psychiatric Disorder [91]		Dwarfism [92]		Significant Disfigurement [93]			
TOTAL	4599	3981	249	326	43	369	83	0	1	33	10	2	7	7	7	2	1	16	1	3	3	0	1	2	7	7	2	1	16	1	3	3	0	1	3	3				
Prior FY	%	100%	86.56%	5.41%	7.09%	0.93%	1.80%	0.00%	0.02%	0.72%	0.22%	0.04%	0.15%	0.15%	0.04%	0.02%	0.35%	0.02%	0.07%	0.07%	0.00%	0.02%	0.04%	0.15%	0.15%	0.04%	0.02%	0.35%	0.02%	0.07%	0.07%	0.00%	0.02%	0.07%	0.07%					
Current FY	#	4448	3844	219	345	40	385	0	1	38	9	2	6	6	7	3	1	18	1	3	3	2	7	7	7	3	3	1	18	1	3	3	0	1	3	3				
Difference	%	-151	-137	-30	19	-3	16	0	0	5	-1	0	-1	-1	0	1	0	2	0	0	-1	0	0	0	0	0	1	0	2	0	0	0	0	0	0	0	0			
Ratio Change	%	0.00%	-0.14%	-0.49%	0.67%	-0.03%	0.64%	0.00%	0.00%	0.13%	-0.02%	0.00%	-0.02%	-0.02%	0.00%	0.03%	0.00%	0.05%	0.00%	0.00%	-0.02%	0.00%	0.01%	0.01%	0.01%	0.03%	0.00%	0.00%	0.05%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%			
Net Change	%	-3.28%	-3.44%	-12.05%	5.83%	-6.98%	4.34%	0.00%	0.00%	15.15%	-10.00%	0.00%	-14.29%	-14.29%	0.00%	50.00%	0.00%	12.50%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%			
Permanent																																								
Prior FY	#	4504	3895	244	322	43	365	81	1	33	9	2	7	7	2	1	15	1	3	3	0	1	2	7	7	2	1	15	1	3	3	0	1	3	3	0	1	3		
Current FY	%	100%	86.48%	5.42%	7.15%	0.95%	8.10%	0.00%	0.02%	0.73%	0.20%	0.04%	0.16%	0.16%	0.04%	0.02%	0.33%	0.02%	0.07%	0.07%	0.00%	0.02%	0.04%	0.16%	0.16%	0.04%	0.02%	0.33%	0.02%	0.07%	0.07%	0.00%	0.02%	0.07%	0.07%	0.00%	0.02%	0.07%	0.07%	
Difference	#	-145	-130	-32	20	-3	17	7	0	5	-1	0	-1	-1	0	1	0	3	0	0	-1	0	1	0	0	1	0	3	0	0	0	0	0	0	0	0	0	0	0	
Ratio Change	%	0.00%	-0.11%	-0.55%	0.70%	-0.04%	0.66%	0.00%	0.00%	0.14%	-0.02%	0.00%	-0.02%	-0.02%	0.00%	0.02%	0.08%	0.00%	0.00%	0.00%	-0.02%	0.00%	0.01%	0.01%	0.01%	0.02%	0.00%	0.08%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Net Change	%	-3.22%	-3.34%	-13.11%	6.21%	-6.98%	4.66%	0.00%	0.00%	15.15%	-11.11%	0.00%	-14.29%	-14.29%	0.00%	50.00%	0.00%	20.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	50.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%
Federal Goal	%						12.00%																																	

¹ "Other PWD" include employees, who did not self-identify on SF-256, and who were coded on Veterans' Preference for hiring as "CPS - preference based on a compensable service-connected disability of 30% or more" or were hired or converted into the competitive service under Schedule A(u).
 Note: Total calculations shown may not match that derived from detail data presented due to rounding.
 Source: Datamart FPFS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018

TABLE B1: TOTAL WORKFORCE—DISTRIBUTION BY DISABILITY [OPM FORM 256 SELF-IDENTIFICATION CODES]
 PAY PERIODS 201721 TO 201822 *continued*

EMPLOYMENT TENURE	TOTAL BY DISABILITY STATUS ¹						DETAIL FOR TARGETED DISABILITIES													
	TOTAL		No Disability [05]	Not Identified [01]	Disability [02-03, 06-99]	Other PWD	Total PWD	PWTD	Developmental Disability [02]	Traumatic Brain Injury [03]	Deaf or Serious Difficulty Hearing [19]	Blind or Serious Difficulty Seeing [20]	Missing Extremities [31]	Significant Mobility Impairment [40]	Partial or Complete Paralysis [60]	Epilepsy or Other Seizure Disorders [82]	Intellectual Disability [90]	Significant Psychiatric Disorder [91]	Dwarfism [92]	Significant Disfigurement [93]
Temporary	#	95	86	5	4	0	4	2	0	0	0	1	0	0	0	0	0	1	0	0
Prior FY	%	100%	90.53%	5.26%	4.21%	0.00%	4.21%	2.11%	0.00%	0.00%	0.00%	1.05%	0.00%	0.00%	0.00%	0.00%	1.05%	0.00%	0.00%	
Current FY	#	89	79	7	3	0	3	1	0	0	1	0	0	0	0	0	0	0	0	0
Difference	%	100%	88.76%	7.87%	3.37%	0.00%	3.37%	1.12%	0.00%	0.00%	1.12%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	0.00%	
Ratio Change	#	-6	-7	2	-1	0	-1	-1	0	0	0	0	0	0	0	0	0	-1	0	0
Net Change	%	0.00%	-1.77%	2.60%	-0.84%	0.00%	-0.84%	-0.98%	0.00%	0.00%	0.07%	0.00%	0.00%	0.00%	0.00%	0.00%	-1.05%	0.00%	0.00%	
	%	-6.32%	-8.14%	40.00%	-25.00%	0.00%	-25.00%	-50.00%	0.00%	0.00%	0%	0.00%	0.00%	0.00%	0.00%	0.00%	-100.00%	0.00%	0.00%	

¹ "Other PWD" include employees, who did not self-identify on SF-256, and who were coded on Veterans' Preference for hiring as "CPS – preference based on a compensable service-connected disability of 30% or more" or were hired or converted into the competitive service under Schedule A(u).

Note: Total calculations shown may not match that derived from detail data presented due to rounding.

Source: Datamart FPPS and EEO-AT 1.0 Analytic File V for pay period 201822, downloaded on 11/16/2018



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