# Annual <br> Equal Employment Opportunity Program Status Report 

MANAGEMENT DIRECTIVE 715


U.S. SECURITIES AND EXCHANGE COMMISSION

## ANNUAL EQUAL EMPLOYMENT OPPORTUNITY PROGRAM STATUS REPORT

MANAGEMENT DIRECTIVE 715
FISCAL YEAR 2016

## CONTENTS

U.S. SECURITIES AND EXCHANGE COMMISSION INFORMATION (PARTS A, B, C, D) .....  1
EXECUTIVE SUMMARY (PART E) .....  3
Mission of the U.S. Securities and Exchange Commission. .....  3
Commission's Annual Self-Assessment against MD-715 Essential Elements .....  4
Essential Element A: Demonstrated Commitment from Commission Leadership. .....  4
Essential Element B: Integration of EEO into the Commission's Strategic Mission .....  5
Essential Element C: Management and Program Accountability. .....  6
Essential Element D: Proactive Prevention of Unlawful Discrimination. .....  7
Essential Element E: Efficiency ..... 7
Essential Element F: Responsiveness and Legal Compliance . .....  8
Analysis of Workforce Profiles .....  8
SEC Workforce .....  8
Applicant Flow .....  8
New Hires ..... 12
Participation Rates for SEC Major Occupations ..... 13
Supervisory and Management Demographics ..... 14
Internal Competitive Promotions ..... 15
Career Ladder Promotions ..... 16
Employee Recognition and Awards. ..... 17
Separations ..... 17
Summary of EEO Plan Objectives Planned to Eliminate Identified Barriers or Correct Program Deficiencies. ..... 17
Summary of EEO Plan Action Items Implemented or Accomplished ..... 18
Action Plans Implemented ..... 18
Agency Accomplishments ..... 20
CERTIFICATION OF ESTABLISHMENT OF CONTINUING
EQUAL EMPLOYMENT OPPORTUNITY PROGRAMS (PART F) ..... 25
PLAN FOR ATTAINING THE ESSENTIAL ELEMENTS OF A MODEL EEO PROGRAM (PART H) ..... 26
PLANS TO ELIMINATE IDENTIFIED BARRIER (PART I) ..... 27
SPECIAL PROGRAM PLAN FOR THE RECRUITMENT, HIRING, AND ADVANCEMENT OF INDIVIDUALS WITH TARGETED DISABILITIES (PART J) ..... 41
EQUAL EMPLOYMENT OPPORTUNITY POLICY ..... 45
POLICY ON PREVENTING HARASSMENT (PPH) ..... 46
FISCAL YEAR 2016462 REPORT ..... 47
SEC'S ORGANIZATIONAL STRUCTURE ..... 49
SEC Organization Chart ..... 51
WORKFORCE DATA TABLES. ..... 53

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

| $\begin{gathered} \text { EEOC FORM } \\ 715-01 \\ \text { PART A - D } \end{gathered}$ | U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT |  |  |  |
| :---: | :---: | :---: | :---: | :---: |
| For period covering October 1, 2015 to September 30, 2016. |  |  |  |  |
| PART A <br> Department or Agency Identifying Information | 1. Agency |  | 1. U.S. Securities and Exchange Commission |  |
|  | 1.a. $2^{\text {nd }}$ level reporting component |  |  |  |
|  | 1.b. $3^{\text {rd }}$ level reporting component |  |  |  |
|  | 1.c. $4^{\text {th }}$ level reporting component |  |  |  |
|  | 2. Address |  | 2. 100 F Street, NE |  |
|  | 3. City, State, Zip Code |  | 3. Washington, DC 20549 |  |
|  | 4. CPDF Code | 5. FIPS code(s) | 4. SE00 5.88 |  |
| PART B <br> Total Employment | 1. Enter total number of permanent full-time and part-time employees |  |  | 1. 4582 |
|  | 2. Enter total number of temporary employees |  |  | 2. 103 |
|  | 3. Enter total number employees paid from non-appropriated funds |  |  | 3. 0 |
|  | 4. TOTAL EMPLOYMENT [add lines B 1 through 3] |  |  | 4. 4685 |
| PART C <br> Agency Official(s) Responsible For Oversight of EEO Program(s) | 1. Head of Agency Official Title |  | 1. Mary Jo White Chair |  |
|  | 2. Agency Head Designee |  | 2. Peter J. Henry, Director (Acting), Office of Equal Employment Opportunity (OEEO) |  |
|  | 3. Principal EEO Director/Official Title/series/grade |  | 3. Peter J. Henry, Director (Acting), OEEO/0905/SK-17 |  |
|  | 4. Title VII Affirmative EEO Program Official |  | 4. Peter J. Henry, Director (Acting), OEEO |  |
|  | 5. Section 501 Affirmative Action Program Official |  | 5. Peter J. Henry, Director (Acting), OEEO |  |
|  | 6. Complaint Processing Program Manager |  | 6. Peter J. Henry, Director (Acting), OEEO |  |
|  | 7. Other Responsible Stakeholders |  | Lacey Dingman, Chief Human Capital Officer, Office of Human Resources |  |
|  |  |  | Pamela A. Gibbs, Director, Office of Minority and Women Inclusion |  |


| U.S. Equal Employment Opportunity Commission <br> FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT |  |  |
| :---: | :---: | :---: |
| PART D <br> List of Subordinate Components Covered in This Report | Subordinate Component and Location (City/State) | CPDF and FIPS codes |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |
|  |  |  |


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

[^0]
# EXECUTIVE SUMMARY (PART E) 

| EEOC FORM <br> $715-01$ <br> PART E | U.S. Equal Employment Opportunity Commission <br> FEDERAL AGENCY ANNUAL <br> EEO PROGRAM STATUS REPORT |  |
| :--- | :---: | :---: |
| U.S. Securities and Exchange Commission |  | For period covering October 1, 2015 to September 30, 2016. |

## 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.

Currently, the SEC is charged with overseeing about 27,000 market participants, including more than 12,000 investment advisers, almost 10,700 mutual funds and exchange traded funds, almost 4,300 broker-dealers, and about 400 transfer agents. The Agency also oversees 20 national securities exchanges, 10 credit rating agencies, six active registered clearing agencies, and two exempt clearing agencies, as well as the Public Company Accounting Oversight Board, the Financial Industry Regulatory Authority, the Municipal Securities Rulemaking Board, the Securities Investor Protection Corporation, and the Financial Accounting Standards Board. In addition, the SEC is responsible for selectively reviewing the disclosures and financial statements of about 9,000 reporting companies.

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 Chair of the Commission who is responsible for the executive and administrative functions of the Commission. On April 10, 2013, Mary Jo White was sworn in as the 31st Chair of the SEC.

The SEC is organized into five divisions (Corporation Finance, Enforcement, Economic and Risk Analysis, Investment Management, and Trading and Markets) and 24 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, 2016, the SEC had a total workforce of 4,685 employees, including 4,582 permanent employees and 103 temporary employees. ${ }^{2}$ See Table A1.

[^1]
## Essential Element A: <br> Demonstrated Commitment from Commission Leadership

The SEC's commitment to equal employment opportunity is evident in Chair White's Equal Employment Opportunity Policy, dated November 28, 2016, which reads, in part:

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

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, 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/or (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, Conflict2Resolution (C2R), when the use of C2R is approved by the EEO Director....

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

As further evidence of senior leadership's commitment to equality of opportunity, the Chair and each Commissioner actively sponsor one or more of the nine Employee Affinity Groups (EAGs) (formerly referred to as "Employee Resource Groups" and "Special Emphasis Program Committees"). The SEC also promotes diversity and inclusion through the efforts of the Office of Minority and Women Inclusion (OMWI), which is responsible for all matters relating to diversity in management, employment, and business activities at the SEC and provides guidance, resources, and management support to eight of the EAGs. The remaining EAG, the Veterans Committee, is sponsored by the Office of Human Resources (OHR). EAGs foster a supportive, inclusive, and fair work environment through
their programs and activities, including programs to commemorate Special Observances. The SEC's senior leadership supports the EAGs and encourages employees to participate in EAG events and activities held throughout the year.

In FY 2016, the SEC continued to demonstrate its commitment to developing a diverse talent pipeline by committing time and resources to a number of initiatives, including, but not limited to:

- Leveraging the members of the EAGs and Agency staff to recruit talented individuals to the Commission;
- Staff teaching securities law courses at Florida International University and Howard University to expose diverse law students to the workings of the Commission and to the regulation of securities and securities markets; and
- Hosting hundreds of high school students from under-served communities at Headquarters and in the Regional Offices as part of the Agency's successful Professionals Reaching Out to Promote Excellence and Learning for Students (PROPELS) program.

In addition, each year, the Chair presents a Diversity and Inclusion Award 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. In 2016, the Chair recognized the nine EAGs for advancing diversity and inclusion at the Commission.

## Essential Element B: <br> Integration of EEO into the Commission's Strategic Mission

The SEC's Strategic Plan for Fiscal Years (FY) 2014-2018 underscores the Commission's commitment to attract and retain a highly effective and diverse workforce. The plan includes the following language:

Strategic Goal 4: Enhance the Commission's Performance Through Effective Alignment and Management of Human, Information and Financial Capital

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

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, OEEO, and Division and Office Senior Leadership. The Human Capital Strategic Plan guides and provides focus for work toward key objectives under Strategic Goal 4. In support of the key Strategic Objective 4.1 listed above, the Human Capital Strategic Plan emphasizes increasing employee engagement and retention, enhancing employee development programs, and delivering a comprehensive leadership development program.

In furtherance of the SEC's Strategic Plan, the SEC developed and maintains partnerships and alliances with diverse professional organizations and educational institutions. The SEC leverages these relationships to reach a broader and more diverse pool of applicants for employment at the Commission. In FY 2016, these organizations included, among others: Association of Latino Professionals in Finance and Accounting; Pan-Asian Leaders in Finance and Accounting; Hispanic Bar Association of
the District of Columbia; Hispanic National Bar Association; National Association of Asian MBAs; National Association of Black Accountants; National Bar Association; National Black MBA Association; South Asian Bar Association of Washington, D.C.; Women's Bar Association of the District of Columbia; Diverse Partners Network; and the Thurgood Marshall College Fund.

The SEC is also focused on providing employment opportunities for individuals with disabilities. The SEC's goals, as reflected in its Disability Employment Plan, are to continue to attract, engage, hire, and retain individuals with disabilities. The number and percentage of SEC permanent employees with disabilities increased from 241 ( $5.59 \%$ ) in FY 2015 to 287 ( $6.26 \%$ ) in FY 2016. The number of SEC permanent employees with targeted disabilities increased from 41 employees in FY 2015 to 45 individuals in FY 2016. ${ }^{3}$ See Table B1. Despite this increase, the SEC's permanent workforce with targeted disabilities remains $0.98 \%$, just under half of the EEOC's goal.

## Essential Element C: <br> Management and Program Accountability

During FY 2016, the SEC engaged in numerous actions to promote accountability of its EEO program, including, but not limited to, the following.

- For the sixth consecutive year, the SEC posted its Annual EEO Program Report on its internal and public websites in a Section 508-compliant format. The SEC also delivered its FY 2015 Annual EEO Program Report to the Agency's senior leadership and the President of Chapter 293 of the National Treasury Employees Union (NTEU), which represents bargaining unit employees at the Commission.
- Pursuant to MD-715, the SEC conducted four barrier analyses in FY 2016.
- Consistent with regulations promulgated under the Equal Employment Opportunity Commission's (EEOC) Management Directive 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), the SEC delivered the bi-annual No FEAR Act training to its employees, as well as 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.

As required by EEOC regulations and directives, the EEO Director is under the direct supervision of the Chair of the Commission. In FY 2016, to support the Agency's EEO programmatic responsibilities, OEEO consisted of six attorneys (including the Director and a Deputy Director), two EEO specialists, two management and program analysts (MPA), and a program support specialist. OEEO selected a third MPA with expertise in Industrial/Organizational Psychology in FY 2016. The third

[^2]MPA started in October 2016 and is expected to enhance OEEO's barrier analysis program, in particular. In addition, in FY 2016, OEEO had the assistance of three contract data analysts who supported the compliance, barrier analysis, and reporting functions.

OEEO also leveraged the talents of SEC employees in the Home Office 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 2016, collateral duty EEO Counselors attended quarterly training sessions hosted by OEEO in addition to their mandatory eight-hour refresher course training delivered by experts from the EEOC.

## Essential Element D: <br> Proactive Prevention of Unlawful Discrimination

As part of its proactive prevention efforts, the SEC publishes EEO policies covering harassment prevention, reasonable accommodation, and permissible religious expression on its internal website. The SEC also publishes information on the EEO complaint process, EEO policies, and the roles and responsibilities of OEEO on its internal and public websites. EEO posters are placed in high-traffic areas in SEC buildings and offices to provide employees and applicants for employment with notice of their EEO rights and to highlight the 45-day time limit for contacting an EEO Counselor or OEEO.

The SEC's offices are accessible to persons with physical disabilities in compliance with the Architectural Barriers Act.

## Essential Element E: <br> Efficiency

In FY 2016, 58 counseling matters were initiated, 30 formal EEO complaints were filed, and 12 Final Agency Decisions of no discrimination were issued. ${ }^{4}$ Most of the formal EEO complaints were based on claims of age, reprisal, and race and/or sex discrimination. Common issues raised in the formal EEO complaints were harassment (non-sexual), promotion/non-selection, and terms/conditions of employment. As in FY 2015, all investigations completed in FY 2016 were timely. Relatedly, the average times for the completion of investigations and the issuance of final agency decisions were below the applicable regulatory benchmarks. Through focused effort, the average processing time for investigations has reduced substantially from the averages reported for FY 2012 and FY 2013.

In FY 2016, OEEO used its alternative dispute resolution (ADR) program, Conflict-2-Resolution (C2R), to resolve allegations of discrimination. While there are various forms of $\mathrm{ADR}, \mathrm{C} 2 \mathrm{R}$ primarily offers mediation and facilitation to resolve workplace disputes that include allegations of employment discrimination. In FY 2016, OEEO processed a total of 62 informal complaints (this number included counselings carried over from FY 2015 and new counselings initiated in FY 2016). Among these 62 informal complaints, ADR was offered 29 times (reflecting a $46.77 \%$ offer rate) and 25 individuals ( 40.32 \% of the counselees) elected ADR. In FY 2016, through C2R, OEEO conducted 19 mediations and two facilitations. Sixteen, or approximately $76.19 \%$, of these 21 matters settled or resulted in the counselee not filing a formal complaint.

[^3]
## Essential Element F:

Responsiveness and Legal Compliance
The SEC has conducted an annual self-assessment against the essential elements prescribed by the EEOC's Management Directive 715 (MD-715). Where the Commission found non-compliance with the MD-715 requirements, the SEC developed a plan for addressing the gaps as further discussed in Part H of this report. The SEC has addressed all gaps identified in prior fiscal years. See Part H of this report, infra.

## ANALYSIS OF WORKFORCE PROFILES

The SEC analyzed its workforce profiles to identify any triggers that may require further inquiry as to the existence of barriers to equal employment opportunities for any employee group based on race, ethnicity, sex, or disability. The SEC's plans to complete barrier analyses are included in Part I of this report, infra.

## SEC Workforce

At the end of FY 2016, the SEC had 4,685 employees, 4,582 permanent and 103 temporary. Of the 4,582 permanent employees, there were 2,473 (53.97\%) males and 2,109 ( $46.03 \%$ ) females. See Table A1. The SEC hired 400 permanent employees, and there were 157 voluntary separations. See Tables A8 and A14. The following provides a summary of representation within the SEC's permanent workforce compared to the Civilian Labor Force (CLF):

| SEC Permanent Workforce \% Compared to 2010 Civilian Labor Force (CLF) \% |  |  |  |  |
| :--- | ---: | ---: | ---: | ---: |
| Race/Ethnicity | $\mathbf{2 0 1 0}$ | Total | Male | Female |
|  | CLF \% | SEC \% | SEC \% | SEC \% |
| Hispanic or Latino | 9.96 | 5.30 | 2.88 | 2.42 |
| White | 72.36 | 66.09 | 39.92 | 26.17 |
| Black or African American | 12.02 | 16.02 | 4.85 | 11.17 |
| Asian | 3.90 | 11.75 | 5.94 | 5.81 |
| Native Hawaiian/Other Pacific Islander | 0.14 | 0.06 | 0.02 | 0.04 |
| American Indian/Alaska Native | 1.08 | 0.41 | 0.28 | 0.13 |
| Two or More Races | 0.54 | 0.37 | 0.09 | 0.28 |

See Table A1.

## Applicant Flow

Applicant flow data is provided to the SEC by the U.S. Office of Personnel Management (OPM). This data is available through OPM's USA Staffing tool only for SEC jobs that were posted on USAJOBS. The SEC uses USAJOBS for approximately $80 \%$ of SEC hiring actions. In FY 2016, the SEC did not have a tool to capture and report on applicant flow data for the remaining $20 \%$ of its hiring actions, specifically, those hired under its Direct Hire Authority or other hiring flexibilities.

A few important notes about applicant flow data help to facilitate interpretation. First, the USA Staffing tool captures and provides information only through the point at which a selection decision is made. Various hiring process steps beyond a selection decision may impact success in onboarding a new hire (e.g., suitability assessment). Tables A7 and B7, then, show applicant flow data through
to selected applicants. In contrast, Tables A8 and B8 present data on new hires onboarded during the course of the year. Differences are observed in the demographic statistics of those selected versus those hired.

Second, applicant flow data for the SEC combines applications submitted for permanent and temporary positions with the SEC. Thus, the data in Tables A7 and B7 reflect the pool of applications submitted for permanent and/or temporary employment.

The certificate applicant flow data provided by OPM was analyzed for four major occupations at the SEC: economist, attorney, accountant, and securities compliance examiner. See Table A7. Below are the highlights of this analysis.

## Economist (0110): 299 Applicants

In FY 2016, the SEC received 299 applications and made 22 selections for economist positions. Of the 299 applicants, 177 voluntarily self-identified their diversity demographics. Of the 177 applicants who self-identified, $70.62 \%$ were male, and $29.38 \%$ were female. Eleven of the 22 selected applicants self-identified. The following are the demographics of the individuals who applied and self-identified for the economist positions, those who qualified for the positions, and the 11 applicants who were ultimately selected:

| EEO Group | Number: Self-Identified | Number: Self-Identified and Qualified | Number and Percent: Self-Identified and Selected |
| :---: | :---: | :---: | :---: |
| Hispanic | 18 | 10 | 0 |
| White | 96 | 57 | 6 (54.55\%), 5 males, 1 female |
| Black or African American | 26 | 19 | 3 (27.27\%), 2 males, 1 female |
| Asian | 34 | 17 | 1 (9.09\%) female |
| Native Hawaiian/ <br> Other Pacific Islander | 0 | 0 | 0 |
| American Indian/ Alaska Native | 3 | 1 | 1 (9.09\%)male |

See Table A7.

Ten of the 18 Hispanic applicants self-identified and qualified, but none were selected. Of the 26 Black or African American applicants who self-identified, 19 qualified, and three were selected. Among the applicants who self-identified, White males ( $45.45 \%$ ) and Black or African American males (18.18\%) had the highest selection rates. Black or African American applicants, who self-identified and qualified (19), were selected at the highest rate of $15.79 \%$, and qualified White applicants ( 57 qualified, six selected) were selected at a lower rate of $10.53 \%$. See Table A7.

## Attorneys (0905): 9,299 Applicants

The SEC received 9,299 applications and made 146 selections for attorney positions. Of the 9,299 applicants, 5,509 self-identified. Among those who self-identified, 3,338 ( $60.59 \%$ ) were male and 2,171 ( $39.41 \%$ ) were female. Eighty-six of the 146 selected applicants self-identified. Of the 86 select-
ees who self-identified, 41 were male and 45 were female. Although female attorneys represented less than $40 \%$ of the qualified applicants who self-identified, they were selected at a higher rate than their male counterparts (who self-identified and qualified). More specifically, self-identified White female attorneys had the largest increase in representation between the qualified and selected groups. Among those who self-identified, White females represented less than $19 \%$ of the qualified candidates, and more than $40 \%$ of those selected.

|  | Number: <br> Self-Identified | Number: <br> Self-Identified and <br> Qualified | Number and Percent: <br> Self-Identified and Selected |
| :--- | :---: | :---: | :--- |
| EEO Group | 605 | 422 | $4(4.65 \%), 2$ males and 2 <br> females |
| White | 2,999 | 2,347 | $67(77.91 \%), 32$ males and <br> 35 females |
| Black or African <br> American | 1,010 | 704 | $3(3.49 \%), 1$ male and 2 females |
| Asian | 700 | 565 | $12(13.95 \%), 6$ males and <br> 6 females |
| Native Hawaiian/ <br> Other Pacific Islander | 29 | 24 | 0 |
| American Indian/ <br> Alaska Native | 80 | 57 | 0 |

See Table A7.

Accountants (0510): 1,456 Applicants
In FY 2016, the SEC received 1,456 applications and made 27 selections for accountant positions. Of the 908 applicants who self-identified their demographics, 499 ( $54.96 \%$ ) were male and 409 $(45.04 \%)$ were female. Of the 17 selectees who self-identified, 11 ( $64.71 \%$ ) were male and six $(35.29 \%)$ were female. There was a steady decline in the participation rate of women among applicants for accountant positions from $45.05 \%$ of those who applied and self-identified, to $39.20 \%$ of the qualified candidates, and finally to $35.29 \%$ of those selected. The demographics of the 908 applicants for accountant positions who self-identified, qualified, and those who were selected are as follows:

|  | Number: <br> Self-Identified <br> EEO Group | Number: <br> Self-Identified and <br> Qualified | Number and Percent: <br> Self-Identified and Selected |
| :--- | :---: | :---: | :--- |
| Hispanic | 126 | 58 | 163 |
| White | 318 | 109 | $13(76.88 \%)$ male <br> 5 females |
| Black or African <br> American | 303 | 57 | $1(5.88 \%)$ male |
| Asian | 144 | 0 | $2(11.76 \%), 1$ male and 1 female |
| Native Hawaiian/ <br> Other Pacific Islander | 0 | 0 | 0 |

Securities and Compliance Examiners (1831): 3,225 Applicants
In FY 2016, the SEC received 3,225 applications and made 37 selections for securities and compliance examiner (examiner) positions. One thousand nine hundred and one applicants voluntarily self-identified their demographics. Of the 1,901 who self-identified, $1,215(63.91 \%)$ were male and $686(36.09 \%)$ were female. Nineteen of those who self-identified were among the 37 selected examiners. The following are the demographics of the 1,901 applicants who self-identified, qualified, and ultimately were selected for the examiner positions:

|  | Number: <br> Self-Identified | Number: <br> Self-Identified and <br> Qualified | Number and Percent: <br> Self-Identified and Selected |
| :--- | :---: | :---: | :--- |
| EEO Group | 369 | 226 | $2(10.53 \%)$ males | | Hispanic | 761 | 502 | $6(31.58 \%), 4$ males and 2 <br> females |
| :--- | :---: | :---: | :--- |
| White | 541 | 345 | $4(21.05 \%), 1$ male and 3 <br> females |
| Black or African <br> American | 205 | 6 | $7(36.84 \%), 4$ males and 3 <br> females |
| Asian | 8 | 4 | 0 |
| Native Hawaiian/ <br> Other Pacific Islander | 4 | 0 |  |
| American Indian/ <br> Alaska Native |  |  |  |

See Table A7.

Asians represented less than $11 \%$ of those who self-identified and qualified for the examiner positions, and represented $36.84 \%$ of the selectees. In contrast, White applicants represented $40.98 \%$ of those who self-identified and qualified, and represented $31.58 \%$ of the selectees. See Table A7.

## Applicant Flow Data for Individuals with Disabilities

In regard to applicant flow data for individuals with disabilities, the SEC received a total of 44,437 applications in FY 2016. Of those 44,437 applications, 505 (1.14\%) were submitted by persons who self-identified as having a targeted disability, and three individuals with a targeted disability were selected ( $0.56 \%$ of the selectees who self-identified). See Table B7.

## New Hires

In FY 2016, the SEC hired 400 permanent employees, 218 ( $54.50 \%$ ) males and 182 ( $45.50 \%$ ) females. The following table reflects demographic information for the FY 2016 new hires:

| Permanent Employees |  | Total | Hispanic |  | White |  | Black or <br> African American |  | Asian |  | American Indian/Alaska Native |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  |  | M | F | M | F | M | F | M | F | M | F |
| New | \# | 400 | 17 | 7 | 145 | 104 | 20 | 33 | 34 | 37 | 1 | 1 |
| Hires | \% | 100 | 4.25 | 1.75 | 36.25 | 26.00 | 5.00 | 8.25 | 8.50 | 9.25 | 0.25 | 0.25 |
| Total | \# | 4,582 | 132 | 111 | 1,829 | 1,199 | 222 | 512 | 272 | 266 | 13 | 6 |
| Workforce | \% | 100 | 2.88 | 2.42 | 39.92 | 26.17 | 4.85 | 11.17 | 5.94 | 5.81 | 0.28 | 0.13 |
| 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.

The EEOC has established a workforce participation rate goal of two percent for persons with targeted disabilities (PWTD). There are nine targeted disabilities: hearing, vision, missing extremities, partial paralysis, complete paralysis, epilepsy, severe intellectual disability, psychiatric disability, and dwarfism. In addition, OPM's guidance, issued pursuant to Executive Order 13548, requires federal agencies to establish Disability Employment Plans consistent with the federal government goal of hiring 100,000 additional individuals with disabilities, including those with targeted disabilities.

The SEC's Disability Employment Plan established the following hiring goals: $6 \%$ of all new hires to be individuals with disabilities, and at least $1.5 \%$ of all new hires to be individuals with targeted disabilities. In FY 2016, the SEC hired 444 employees ( 400 permanent and 44 temporary employees), 27 of whom ( $6.08 \%$ ) reported having a disability. Of the 27 new hires who self-identified as having a disability, five identified a targeted disability ( 4 permanent and 1 temporary), or $1.13 \%$ of all new hires. See Table B8.

## Participation Rates for SEC Major Occupations

This report discusses the following four mission critical occupations (MCOs): attorneys, accountants, examiners, and economists. ${ }^{5}$ In FY 2016, there were 4,582 permanent employees at the SEC. See Table A1. Of these permanent employees, there were 1,954 attorneys, 940 accountants, 290 examiners, and 98 economists. See Table A6. Accountants and attorneys comprised $63.16 \%$ of the SEC's FY 2016 permanent employees. Male and female SEC accountants and attorneys participated at levels above or within approximately $1 \%$ of the applicable Occupational CLF rate, except for the demographic groups of female accountants and male attorneys as shown in bold font in the table below:

|  |  |  | White |  |  |
| :--- | ---: | ---: | ---: | ---: | ---: |
| Job Title | Total | Male | Female | Male | Female |
| Accountants | 940 | 532 | 408 | 414 | 256 |
|  | $100 \%$ | $56.60 \%$ | $\mathbf{4 3 . 4 0 \%}$ | $44.04 \%$ | $\mathbf{2 7 . 2 3 \%}$ |
| Occupational CLF | $100 \%$ | $39.91 \%$ | $60.09 \%$ | $31.79 \%$ | $44.23 \%$ |
| Attorneys | 1954 | 1091 | 863 | 899 | 628 |
|  | $100 \%$ | $\mathbf{5 5 . 8 3 \%}$ | $44.17 \%$ | $\mathbf{4 6 . 0 1 \%}$ | $32.14 \%$ |
| Occupational CLF | $100 \%$ | $66.70 \%$ | $33.30 \%$ | $59.68 \%$ | $26.68 \%$ |

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 Occupational CLF as further described below.

White female accountants' participation rate at the SEC (27.23\%) is below the Occupational CLF for White female accountants of $44.23 \%$. This follows the same pattern as the overall participation rate of female accountants at the SEC $(43.40 \%)$ compared to the Occupational CLF for female accountants of $60.09 \%$. This difference of almost 17 percentage points will be further analyzed.

The participation rate for White male attorneys at the SEC ( $46.01 \%$ ) is below the Occupational CLF 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 $(55.83 \%)$ compared to the Occupational CLF for male attorneys of $66.70 \%$. These numbers denote triggers that require further analysis.

[^4]
## Supervisory and Management Demographics

Typically, the internal feeder pools for supervisory and management positions at the SEC are as follows: SK-14 promote up to SK-15 and SK-16; SK-15 to SK-17; and SK-14 through SK-17 to Senior Officer (SO).

The participation rates of males and females in SEC's supervisor and management ranks differ within and across the SK-14 to SO levels. Specifically, there are a total of 2,071 permanent SK-14 employees, of whom females represent $44.08 \%$ ( 913 employees) and males represent $55.92 \%$ ( 1,158 employees). However, at the SK-15 level, there are 364 total permanent employees, with males making up $67.31 \%$ ( 245 employees) and females comprising $32.69 \%$ (119 employees). There are more than twice as many male SK-15s as female SK-15s. Then, the participation rates of males and females at the SK-17 are more evenly distributed. There are a total of 400 SK-17 employees of whom $59.00 \%$ are male ( 236 employees) and $41.00 \%$ are female ( 164 employees). Finally, within the total of 142 SOs, $62.68 \%$ are male ( 89 employees) and $37.32 \%$ are female ( 53 employees). See Table A4-1.

Of the male SOs, $89.89 \%$ are White; of the male SK-17s, $85.17 \%$ are White; and of the male SK-15s, $74.29 \%$ are White. Similarly, of the female SOs, $81.13 \%$ are White; of the female SK-17s, $74.39 \%$ are White; and of the female SK-15s, $61.34 \%$ are White.

The following table summarizes the demographic information for groups representing at least $1 \%$ of the total number of supervisors and managers:

| SEC <br> Level | All |  |  | Hispanic or Latino |  | White |  | Black or African American |  | Asian |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  | TOTAL | M | F | M | F | M | F | M | F | M | F |
| SO \# | 142 | 89 | 53 | 3 | 0 | 80 | 43 | 3 | 4 | 3 | 5 |
| SO \% | 100 | 62.68 | 37.32 | 2.11 | 0 | 56.34 | 30.28 | 2.11 | 2.82 | 2.11 | 3.52 |
| SK 17 \# | 400 | 236 | 164 | 10 | 4 | 201 | 122 | 11 | 19 | 14 | 18 |
| SK 17 \% | 100 | 59.00 | 41.00 | 2.5 | 1.00 | 50.25 | 30.50 | 2.75 | 4.75 | 3.50 | 4.50 |
| SK 15 \# | 364 | 245 | 119 | 17 | 4 | 182 | 73 | 15 | 27 | 26 | 15 |
| SK 15 \% | 100 | 67.31 | 32.69 | 4.67 | 1.10 | 50.00 | 20.05 | 4.12 | 7.42 | 7.14 | 4.12 |
| SK 14 \# | 2,071 | 1,158 | 913 | 59 | 57 | 871 | 579 | 84 | 125 | 140 | 142 |
| SK 14 \% | 100 | 55.92 | 44.08 | 2.85 | 2.75 | 42.06 | 27.96 | 4.06 | 6.04 | 6.76 | 6.86 |

See Table A4-1.

In FY 2016, the number of female SOs decreased from 56 to 53 , and male SOs increased from 87 to 89, as compared to FY 2015. The decrease in the number of female SOs was reflected in the groups of White ( 45 to 43 ) and Hispanic (from one to zero) SOs. The increase in the number of male SOs occurred in the White male and Asian male groups, with an increase of one in each group. In FY 2016, there was an increase in both males and females at the SK-17 level (males increased by 19, and females increased by eight), as compared to FY 2015. See Table A4-1.

## Internal Competitive Promotions

Attorneys
In FY 2016, the SEC received 652 applications for 76 attorney competitive promotions. Of the 652 individuals, 577 qualified for promotion, 364 males and 213 females. Of those selected for the promotions, 40 were male and 36 female. White employees comprised $437(75.74 \%)$ of the qualified applicants and received 59 ( $77.63 \%$ ) of the 76 competitive promotions, with White males receiving $43.42 \%$ of the promotions and White females receiving $34.21 \%$ of the promotions. Although eight individuals with a targeted disability qualified for promotion, none were promoted.

A further demographic breakdown of internal promotions among groups representing at least $1 \%$ of the applications received follows:

| EEO Group | Applications <br> Received | Qualified for <br> Competitive <br> Promotion | Promoted |
| :--- | :---: | :---: | :--- |
| Hispanics | 35 | 31 | $4(5.26 \%), 2$ males and 2 females |
| White | 485 | 437 | $59(77.63 \%), 33$ males and 26 females |
| Black or African American | 57 | 49 | $4(5.26 \%), 1$ male and 3 females |
| Asian | 67 | 52 | $9(11.84 \%), 4$ males and 5 females |
| American Indian/ <br> Alaska Native | 8 | 8 | 0 |
| Individuals with Disabilities | 16 | 13 | 0 |
| Individuals with Targeted <br> Disabilities | 9 | 8 | 0 |

See Tables A9 and B9.

## Accountants

The SEC received 113 applications for 26 accountant competitive promotions. Of the 113 applicants, 95 qualified ( 65 males and 30 females). Of the 26 individuals who received competitive promotion, 19 were male and seven female. None of the four qualified individuals with disabilities were promoted. Detailed demographics follow:

| EEO Group | Applications <br> Received | Qualified for <br> Competitive <br> Promotion | Promoted |
| :--- | :---: | :---: | :--- |
| Hispanics | 8 | 6 | $2(7.69 \%)$ males |
| White | 60 | 58 | $18(69.23 \%), 12$ males and 6 females |
| Black or African American | 12 | 12 | $1(3.85 \%)$ male |
| Asian | 32 | 18 | $5(19.23 \%), 4$ males and 1 female |
| Individuals with Disabilities | 5 | 4 | 0 |
| Individuals with Targeted <br> Disabilities | 0 | 0 | 0 |

[^5]
## Securities and Compliance Examiners

The SEC received 281 applications ( 197 from males and 84 from females) for 18 examiner promotions. Of the 281 applicants, 257 qualified ( 178 males and 79 females). Of the 18 selected, 10 were male ( $55.56 \%$ ) and eight were female ( $44.44 \%$ ). Although 15 individuals with a disability qualified, none were promoted. The following table reflects the demographic breakdown:

| EEO Group | Applications <br> Received | Qualified for <br> Competitive <br> Promotion | Promoted |
| :--- | :---: | :---: | :--- |
| Hispanics | 40 | 35 | $1(5.56 \%)$ male |
| White | 152 | 146 | $8(44.44 \%), 5$ males and 3 females |
| Black or African American | 28 | 19 | $5(27.78 \%), 1$ male and 4 females |
| Asian | 61 | 57 | $4(22.22 \%), 3$ males and 1 female |
| Individuals with Disabilities | 20 | 15 | 0 |
| Individuals with Targeted <br> Disabilities | 0 | 0 | 0 |

See Tables A9 and B9.

## Economists

During FY 2016, there were nine applications for five competitive economist promotions. The applications reflected candidates from two demographic groups: Asian and White employees. Eight of those nine applicants qualified. The eight qualified applicants included five White males, two White females, and one Asian female. None of those who qualified self-identified as having a disability. Of the five selected, two were male ( $40.00 \%$ ) and three were female ( $60.00 \%$ ). The following table reflects the demographic breakdown:

| EEO Group | Applications <br> Received | Qualified for <br> Competitive <br> Promotion | Promoted |
| :--- | :---: | :---: | :--- |
| Hispanics | 0 | 0 | 0 |
| White | 8 | 7 | $4(80.00 \%), 2$ males and 2 females |
| Black or African American | 0 | 0 | 0 |
| Asian | 1 | 1 | $1(20.00 \%)$ female |
| Individuals with Disabilities | 0 | 0 | 0 |
| Individuals with Targeted <br> 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 443 individuals eligible for career ladder promotions, $238(53.72 \%)$ were male and $205(46.28 \%)$ were female. Four individuals exceeded their time-in-grade beyond 24 months. No individuals with targeted disabilities exceeded minimum time in grade for a career ladder promotion. 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 2016. For cash awards in the amount of $\$ 100-\$ 500$, males received $47.25 \%$ of these awards (as compared to females who received $52.75 \%$ of these awards), but males had a higher average amount of $\$ 435$ compared to the average amount for females of $\$ 420$. A review of Table B13 also reveals a lower-thanaverage cash award for individuals with a targeted disability (\$403) compared to the average amount of $\$ 429$ for individuals with no disability.

For cash awards of $\$ 501$ and more, males received $56.55 \%$ of these awards, with an average award amount of $\$ 1,384$, while females received $43.45 \%$ of the awards, with an average award of $\$ 1,402$. Cash awards of $\$ 501$ or more averaged $\$ 1,400$ for individuals with disabilities (above the average amount of $\$ 1,397$ for those with no disability) and $\$ 1,119$ for individuals with targeted disabilities.

## Separations

According to the SEC Strategic Plan, the SEC aims to keep its turnover rate relatively low, i.e., below eight percent (8\%) per year. ${ }^{6}$ In FY 2016, the SEC had a separation rate of less than four percent (4\%) of its total workforce. Of the 157 voluntary separations, six were Hispanic, 115 were White, 25 were Black or African American, and nine were Asian employees.

In FY 2016, 13 employees who self-identified as having a disability separated from the SEC, including four employees with targeted disabilities. See Tables A14 and B14.

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

In 2014, the SEC engaged an independent vendor to conduct an analysis of barriers to promotions at the Commission. At the beginning of FY 2016, the vendor identified two potential barriers and highlighted seven recommendations to eliminate the potential barriers. Additional information about the status of this analysis is provided in Part I of this report, infra.

During FY 2016, OEEO analyzed: whether females encounter a glass ceiling as they seek promotion to senior officer (SO), i.e., executive positions; the reason(s) that male and female Hispanic employees participate in the SEC workforce at rates below their participation in the private sector workforce; and the reason(s) that the participation of persons with targeted disabilities (PWTD) in the SEC's workforce is below the EEOC's goal of $2.00 \%$.

OEEO staff completed the following actions in conducting the three barrier analyses:

- Analyzed five years of SEC workforce demographic data (FY 2011 - FY 2015) to identify trends and triggers;
- Reviewed personnel policies and corresponding written procedures that relate to recruitment, hiring, promotion, and retention;
- Reviewed over 100 selection case files (for hiring and promotions) for FY 2014 and FY 2015, comparing the resumes of the successful candidate(s) against the resumes of unsuccessful candidates;

6 U.S. Securities and Exchange Commission Strategic Plan, FY 2014 - FY 2018, Strategic Goal 4, Strategic Objective 4.1 (p. 48)

- Analyzed applicant flow data, i.e., the demographics of individuals seeking employment or promotion and how successful they were at various stages of the selection process;
- Interviewed subject matter experts in OHR and OMWI;
- Interviewed subject matter experts at various colleges and universities (for barrier analyses regarding Hispanics and PWTD);
- Analyzed responses to a survey conducted by the independent vendor in July 2014 regarding promotions at the SEC;
- Conducted focus group discussions with SK-15s, SK-17s, and SOs (for barrier analyses regarding females and Hispanics);
- Analyzed Federal Employee Viewpoint Survey (FEVS) results for FY 2011 - FY 2015, with particular emphasis on responses from female and Hispanic employees, and employees with disabilities;
- Analyzed EEO complaint activity (FY 2011 - FY 2015) and exit surveys (FY 2012 - FY 2015) to better understand why women, Hispanics, and employees with disabilities were voluntarily separating from the Agency; and
- Researched best practices within the government and private industry for recruiting and retaining women, Hispanics, and PWTD.

Additional information about the status of these analyses is provided in Part I of this report, infra.

## SUMMARY OF EEO PLAN ACTION ITEMS IMPLEMENTED OR ACCOMPLISHED

## Action Plans Implemented

 Barrier AnalysesAs highlighted above, the SEC undertook four barrier analyses in FY 2016. Three of the analyses were undertaken by OEEO staff and one was conducted by a vendor. The SEC began implementing recommendations made to eliminate the potential barriers identified. Part I of this report, infra, provides more detailed information about these analyses.

## 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, Temporary Medical Telework (TMT), and Reasonable Accommodation (RA) to ensure their awareness of their role in hiring and retaining employees with temporary or permanent disabilities. In addition, the SEC conducted training classes entitled Conversations with OHR: How to Quickly Fill Vacancy Announcements that provided supervisors and managers with tools on the various hiring authorities, including Schedule A for hiring individuals with disabilities.

In-depth, situation-specific training was provided as needed to individual managers who supervise employees with disabilities. 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.

Finally, the SEC trained Administrative Officers, who may advise supervisors and hiring officials, on Reasonable Accommodation during the 2016 Administrative Officers conference.

## Hiring and Accommodating Individuals with Disabilities

In FY 2016, the SEC completed the following activities:

- Hosted a Disability Hiring event to recruit candidates with disabilities in an effort to continue building a pipeline of applicants for future vacancies and to educate prospective applicants on the SEC recruitment, hiring and RA processes;
- Processed 73 TMT requests;
- Processed 180 RA requests, of which 38 were requests for telework as a reasonable accommodation;
- Trained all new employees on WorkLife, TMT, RA, and leave programs to ensure awareness of various solutions or flexibilities for employees (The SEC will continue to provide information about these programs to new employees at bi-weekly orientation sessions.); and
- Under the WorkSmart Redesign initiative, OHR reviewed and proposed system enhancements for the WorkSmart system and the Disability Accommodation Request Tracking System (DARTS) to better help employees and managers. These efforts are designed to streamline the TMT, RA, and leave processes where feasible.


## Telework Enhancements to Improve Reasonable Accommodations

In FY 2016, the Disability Program developed and issued a new administrative regulation and standard operating procedures to clarify the process and guidelines for the TMT program. The updated information was published on the SEC Intranet (The Insider), to include a Section 508-compliant version, accessible to all employees.

In FY 2016, the SEC continued to support a robust telework program, to include TMT for employees who need to telework on a temporary basis for their own medical needs or that of a family member and for employees with disabilities who request telework as a reasonable accommodation. The Disability Program also conducted a business process re-engineering effort to optimize the TMT and RA processes. In FY 2017, the Disability Program will work on updating language to clarify the TMT automation process and enhance automation for the RA process.

The SEC also provides equipment for individuals to use at home in support of their need for telework. In FY 2016, the SEC Telework program began working on automation of the equipment selection process to streamline coordination among OHR, the Office of Information Technology, and the requesting individual as much as possible.

Agency Accomplishments
In FY 2016, 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

In 2016, OMWI took a number of affirmative steps to seek diversity in the SEC workforce by:

- Conducting over 60 workforce diversity outreach and recruitment events at universities and associations to inform professionals and students about SEC employment and internship opportunities;
- Engaging more than 170 SEC staff from Divisions and Offices across the Commission in workforce diversity and outreach efforts nationwide;
- Hosting an on-the-spot recruitment event in SEC's Chicago Regional Office entitled SEC Career Open House for Accountants and Examiners in partnership with the Office of Compliance Inspections and Examinations;
- Distributing job advertisements to 265 recruitment sources used to attract diverse talent for current employment and internship opportunities;
- Partnering with 18 professional associations, educational organizations, and institutions to inform diverse professionals and students about SEC career and internship opportunities;
- Providing mentoring and financial literacy information to more than 790 students from 26 partner high schools across the country;
- Publishing more than 170 workforce demographic reports, including customized analyses and assessments to help inform decision-making and monitor and evaluate ongoing workforce diversity efforts; and
- Presenting more than 15 trainings to enhance workforce diversity and inclusion at the SEC.


## Employee Engagement: Employee Affinity Groups

All employees are encouraged to participate in Employee Affinity Groups (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 2016, each group had a SEC Commissioner as a sponsor and received program support from OMWI or OHR.

Nine Employee Affinity Groups were active in FY 2016:

- 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 2016, EAGs helped to plan, coordinate, and conduct SEC-sponsored programs and activities for Special Observances, including, but not limited to:

- Hispanic Heritage Month -Federal Trade Commission Chair Edith Ramirez
- Disability Awareness Month—Interviews with SEC Management
- Veterans Day Commemoration—Vice Admiral James Alvin Sagerholm, U.S. Navy (retired)
- American Indian Heritage Month—Vincent Logan, Special Trustee for American Indians, Department of the Interior
- African American History Month—Gregory S. Bell, Author and Director of Speechwriting for the U.S. Department of Housing and Urban Development
- Women's History Month—United States Attorney General Loretta Lynch
- Asian American Pacific Islander Month—Sharon Wong, then Acting Director, Office of Diversity and Inclusion, Office of Personnel Management
- Caribbean American Heritage Month—Claudia Gordon, Chief of Staff, Department of Labor
- Pride Month—Melissa Brand, Civil Rights Attorney, EEOC

Moreover, the SEC leveraged the diversity of the EAG members to support its mission to protect investors, as well as to support its recruitment and outreach efforts.

## 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. With respect to FEVS rankings published by OPM, the SEC ranked third in OPM's Global Satisfaction Index, and sixth in their Employee Engagement Index among large agencies. ${ }^{7}$ Within these indices, the SEC scores higher than the government-wide average among employees representing different demographic groups (e.g., gender, race, ethnicity, age groups, and disability status).

The Partnership for Public Service publishes annually the Best Places to Work (BPTW) in the Federal Government rankings. This year, the SEC ranked sixth out of 27 mid-size agencies, ${ }^{8}$ and was recognized as the most improved, having had an increase of 7.5 percentage points in the BPTW index score. Through improved management practices, the work of EAGs, and collaboration with the NTEU Chapter 293, the SEC has been able to positively impact its employees, as demonstrated in improvements in the FEVS. For example, in the BPTW rankings, the SEC ranked in the top four among employees representing major demographic groups: female (third), male (third), Asian (third), Black or African-American (fourth), Hispanic or Latino (second), White (third), Employees with Disabilities (second), and LGBT (fourth). In the past year, the SEC made significant gains in a number of areas within the FEVS across all demographic groups.

[^6]
## 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.

## Senior Officers

SECU developed and delivered leadership seminars to provide Agency Senior Officers 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.

## SK-17 Managers

SECU offered a new leadership development course for second-level supervisors (managers). The program included 90-minute virtual seminars with best-selling authors and Harvard researchers emphasizing how to lead effectively. Topics included: Unlocking Your Leadership, Results Through Teams, Next Level Leadership, and Leader as Coach.

## SK-16 Employees

SECU offered leadership training tailored specifically for SK-16s, which provides a unique opportunity for individuals at this senior technical grade level to engage in leading edge professional development with a group of their peers. The program includes an individualized leadership coaching component, as well as monthly, in-class workshops focused on providing key pieces of knowledge and skills that are critical for success at the SEC. Topics included: Communication Styles, Emotional Intelligence, Leading People, Leadership Communication, Leading with the Brain in Mind, and Leadership Presence.

## Career Development Programs

The SEC offered four career development programs: Women in Leadership, Excellence in Government (EIG) Fellows Program, Aspiring Leaders, and Upward Mobility. The demographic information for employees participating in these programs is presented in Tables A12 and B12.

## Women in Leadership

The Women in Leadership program is offered under the auspices of the Brookings Institute. Each year, the SEC offers managers and staff the opportunity to participate in this leadership development program in one of two cohorts. The first cohort is offered to SK-15 and SK-17 supervisors, while the second 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 Fellows

The Excellence in Government (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 21 days total in sessions. Fellows also devote up to five hours per week to their results projects. 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.

## Training on EEO, Diversity \& Inclusion, and Team Effectiveness

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

- Diversity and Inclusion: Two new courses related to non-conscious bias training and leadership diversity listening sessions were developed by SECU and rolled out in FY 2016. Each course discusses the non-conscious processes that affect decision making and the implications those systems have. Both courses allow participants to discuss the impact of non-conscious bias in their work environment and mitigation strategies.
- American Sign Language: In FY 2016, SECU held an Open House for interested managers and staff to encourage enrollment in the American Sign Language (ASL) courses offered - Levels I, II, and III - as well as in the Business Writing for Professionals taught in ASL. All of these courses were taught by Gallaudet University.
- Fundamentals of Human Resource Management: The two-day in-depth course includes training on EEO laws and a detailed overview of human resource management policies and procedures and related SEC policies.
- Team Effectiveness: SECU also 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 2016 by the SEC included: Communication Styles; Workplace Trust; Achieving Results; Feedback as a Performance Tool; Leading People; Team Dynamics; Understanding Your Personality at Work (Workplace Big 5 Assessment); DiSC Behavioral Styles; Myers-Briggs Type Indicator; and Vision, Value and Future State.


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

## III. Certification of Establishment of Continuing Equal Employment Opportunity Programs (Part F)

| EEOC FORM | U.S. Equal Employment Opportunity Commission |
| :---: | :---: |
| $715-01$ | FEDERAL AGENCY ANNUAL |
| PART F | EEO PROGRAM STATUS REPORT |

## CERTIFICATION of ESTABLISHMENT of CONTINUING EQUAL EMPLOYMENT OPPORTUNITY PROGRAMS

I, Peter J. Henry, Acting EEO Director/0905/SK-17 am the
(Insert official title/series/grade above)

Principal EEO Director/Official for
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.


Signature of Principal EEODirector/Official


Certifies that this Federal Agency Annual EEO Program Status Report is in compliance with EEO MD715.


$$
111117
$$

Signature of Agency Head or Agency Head Designee

## PLAN FOR ATTAINING THE ESSENTIAL ELEMENTS OF A MODEL EEO PROGRAM (PART H)

| EEOC FORM <br> 715-01 <br> PART H | U.S. Equal Employment Opportunity Commission <br> FEDERAL AGENCY ANNUAL <br> EEO PROGRAM STATUS REPORT |  |
| :--- | :--- | :--- | :--- |
| U. S. Securities and Exchange Commission | FY 2016 |  |
| STATEMENT of MODEL PROGRAM <br> ESSENTIAL ELEMENT <br> DEFICIENCY: | Currently, the SEC has not met the goal of processing 90\% of accommodation <br> requests within the time frame set forth in the Agency's procedures for reasonable <br> accommodation. |  |
| OBJECTIVE: | Establish a process that allows the SEC to confirm that 90\% of accommodation <br> requests are processed in the time frame identified in the SEC's reasonable <br> accommodation procedures. |  |
| RESPONSIBLE OFFICIAL: | Lacey Dingman, Chief Human Capital Officer, OHR |  |
| DATE OBJECTIVE INITIATED: | October 1, 2016 |  |
| TARGET DATE FOR <br> COMPLETION OF OBJECTIVE: | September 30, 2017 |  |
| PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE: | TARGET DATE <br> (Must be specific) |  |
| In FY 2017, the Disability Program will enhance automation of the reasonable accommodation <br> process to meet the 90\% benchmark. The plan is to improve the efficiency and effectiveness <br> of the disability accommodation program by improving the technology system and standard <br> procedures used to submit, track, and report on requests for accommodation and to maintain <br> information about accommodations provided. This system will also allow the Commission <br> to assess and analyze trends that occur in the Agency that warrant increased outreach and <br> education efforts with managers and/or employees. | September 30, 2017 |  |
| REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE |  |  |
| In FY 2016, the Disability Program conducted a business process re-engineering effort to optimize the TMT and RA processes. |  |  |

# PLANS TO ELIMINATE IDENTIFIED BARRIER (PART I) 

| $\begin{aligned} & \text { EEOC FORM } \\ & 715-01 \\ & \text { PART I } \end{aligned}$ | U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT |  |
| :---: | :---: | :---: |
| U. S. Securities and Exchange Commission |  | FY 2016 |
| STATEMENT OF POTENTIAL BAR <br> Provide a brief nar <br> How was the cond | ONDITION THAT WAS A TRIGGER FOR A IER: <br> ative describing the condition at issue. <br> tion recognized as a potential barrier? | 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 [senior officer] SO positions" or "are bottlenecking at certain grade levels in their occupations." |
| BARRIER ANALY <br> Provide a descripti determine cause | IS: <br> on of the steps taken and data analyzed to the condition. | In conducting the barrier analysis, OEEO: <br> - Analyzed workforce demographic data for FY 2011 FY 2015; <br> - Conducted 14 focus groups with SEC female supervisors and managers at the SK-15, SK-17, and SO levels, interviewing a total of 72 female leaders; <br> - Interviewed subject matter experts in SEC's OHR and OMWI; <br> - Reviewed: (1) personnel policies that relate to hiring and promotion of SOs at the SEC and corresponding written procedures; (2) Federal Employee Viewpoint Survey results for FY 2011 - FY 2015, with particular emphasis on responses from female employees; (3) female employees' responses to a survey conducted by a vendor in July 2014 regarding promotions at the SEC; (4) complaint activity from females at the SK-15, SK-17 and SO levels; (5) selection case files (hiring and promotions) for the second half of FY 2014 and the first half of FY 2015; and (6) female candidates' resumes for SK-15, SK-17 and SO positions compared to the resumes of successful male candidates; <br> - Interviewed hiring officials about their experiences with female candidates; <br> - Interviewed females regarding their experiences in the hiring and promotions process; <br> - Reviewed applicant flow data for new hires and promotion to SK-15 to SO levels for the period FY 2011 - FY 2015; <br> - Analyzed exit surveys for the FY 2012 - FY 2015 period; and <br> - Conducted benchmarking of best practices of government and private industry. |



| $\begin{gathered} \text { EEOC FORM } \\ 715-01 \\ \text { PART I } \end{gathered}$ | U.S. Equal Employment Opportunity Commission <br> FEDERAL AGENCY ANNUAL <br> EEO PROGRAM STATUS REPORT |  |
| :---: | :---: | :---: |
| U. S. Securities and Exchange Commission |  | FY 2016 |
| STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER: <br> Provide a brief narrative describing the condition at issue. <br> How was the condition recognized as a potential barrier? |  | In FY 2014, Hispanic females represented $2.27 \%$ of the total SEC workforce, below their representation in the CLF of $4.79 \%$. In FY 2014, Hispanic males represented $2.20 \%$ of the total SEC workforce, below their representation in the CLF of $5.17 \%$. |
| BARRIER ANALYSIS: <br> Provide a description of the steps taken and data analyzed to determine cause of the condition. |  | In conducting the barrier analysis, OEEO: <br> - Analyzed workforce demographic data from <br> - FY 2011 - FY 2015; <br> - Interviewed subject matter experts in OHR and OMWI; <br> - Reviewed the Agency's hiring and promotions policies, practices, and procedures; <br> - Reviewed 107 selection case files (for hiring and promotions) for the second half of FY 2014 and the first half of FY 2015; <br> - Analyzed applicant flow data for hiring and competitive promotions in the SEC's mission critical occupations; <br> - Reviewed 2015 Federal Employee Viewpoint Survey results and the results of a vendor-conducted survey of SEC employees regarding promotion opportunities at the Commission; <br> - Conducted focus groups with 13 Hispanic supervisors and managers at the SK-15 and <br> - SK-17 levels; <br> - Interviewed several law school career development representatives regarding the pipeline of Hispanic students/attorneys; <br> - Reviewed EEO complaint activity (FY 2011 - FY 2015) and exit surveys (FY 2012 - FY 2015) to better understand the reasons Hispanics were voluntarily separating from the Agency; and <br> - Researched best practices in recruiting and retaining Hispanic employees in federal government and private industry. |
| STATEMENT OF IDENTIFIED BARRIER: <br> Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition. |  | As of September 30, 2016, the following areas have been identified for continued analysis: <br> - The root cause(s) of the net increase in the number of Hispanic employees in the SEC workforce that began in FY 2014; <br> - The extent to which the increase in Hispanic employees is also seen in the participation rate within mission critical occupations; and <br> - The steps in the process between qualification and selection. |
| OBJECTIVE: <br> State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition. |  | Implement action plans to eliminate any identified barriers. |
| RESPONSIBLE OFFICIAL: |  | Lacey Dingman, Chief Human Capital Officer, OHR Pamela Gibbs, Director, OMWI <br> Peter Henry, Acting Director, OEEO |
| DATE OBJECTIVE INITIATED: |  | August 14, 2014 |
| TARGET DATE FOR COMPLETION OF OBJECTIVE: |  | Modified: September 30, 2017, and ongoing |


| EEOC FORM <br> 715-01 <br> PART I | EEO Plan To Eliminate Identified Barrier |  |
| :--- | :--- | :--- |
| PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE: | TARGET DATE <br> (Must be specific) |  |
| OEEO will continue to monitor the data that triggered this analysis along with additional <br> quantitative and qualitative data. | April 13, 2016, and ongoing |  |
| OMWI will continue to expand its partnerships with external Hispanic affinity groups and <br> professional organizations. OMWI will continue to engage with the SEC's Hispanic employee <br> affinity group, HALO, and work with professional organizations, law schools, graduate schools, <br> and colleges/universities with high Hispanic populations. OHR will support OMWl's outreach <br> and recruitment efforts and will include this objective in its 2017 Strategic Recruitment Plan. | September 30, 2017 |  | | REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE |
| :--- |


| $\begin{aligned} & \text { EEOC FORM } \\ & 715-01 \\ & \text { PART I } \end{aligned}$ | U.S. Equal Employment Opportunity Commission <br> FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT |  |
| :---: | :---: | :---: |
| U. S. Securities and Exchange Commission |  | FY 2016 |
| STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER: <br> Provide a brief narrative describing the condition at issue. <br> How was the condition recognized as a potential barrier? |  | There is a lower than expected participation rate of Persons with Targeted Disabilities (PWTD) in the total workforce and in promotions to higher level positions. The participation rate of PWTD in the SEC's workforce was less than 1\% in FY 2014. |
| BARRIER ANALYSIS: <br> Provide a description of the steps taken and data analyzed to determine cause of the condition. |  | In conducting this barrier analysis, OEEO: <br> - Analyzed applicable workforce demographic data from FY 2011 - FY 2015; <br> - Interviewed subject matter experts in OHR and OMWI; <br> - Researched and reviewed the law and federally mandated hiring and promotions policies, practices, and procedures applicable to recruitment and retention of PWTD; <br> - Reviewed the Agency's hiring and promotions policies, practices, and procedures applicable to people with disabilities, including PWTD; <br> - Reviewed the efficiency and effectiveness of the SEC's reasonable accommodation program; <br> - Reviewed selection case files (hiring and promotions) for the second half of FY 2014 and the first half of FY 2015; <br> - Reviewed Federal Employee Viewpoint Survey results; and <br> - Interviewed disabled student service SMEs at Gallaudet University and Rochester Institute of Technology. |
| STATEMENT OF IDENTIFIED BARRIER: <br> Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition. |  | As of September 30, 2016, the following areas have been identified for continued analysis: <br> - The gaps that may exist in the SEC's policies relating to recruitment, hiring, retaining, or promoting PWTD; <br> - The impact of relevant portions of the SEC's FY 2017 Strategic Recruitment Plan on the participation rate of PWTD; <br> - The impact of the SEC's Selective Placement Program Coordinator's efforts to increase the participation rate of PWTD; and <br> - The steps in the process between qualification and selection. |
| OBJECTIVE: <br> State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition. |  | Implement action plans to eliminate any identified barriers. |
| RESPONSIBLE OFFICIAL: |  | Lacey Dingman, Chief Human Capital Officer, OHR Peter Henry, Acting Director, OEEO |
| DATE OBJECTIVE INITIATED: |  | August 14, 2014 |
| TARGET DATE FOR COMPLETION OF OBJECTIVE: |  | Modified: September 30, 2017, and ongoing |


| $\begin{gathered} \text { EEOC FORM } \\ 715-01 \\ \text { PART I } \end{gathered}$ | EEO Plan To Eliminate Identified Barrier |  |
| :---: | :---: | :---: |
| PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE: |  | TARGET DATE <br> (Must be specific) |
| OEEO will continue to monitor the data that triggered this analysis along with additional quantitative and qualitative data. |  | April 13, 2016 and ongoing |
| OHR will include specific action plans to recruit, select, advance, and retain PWTD in its FY 2017 Strategic Recruitment Plan. OHR will monitor compliance with the action plans. |  | September 30, 2017 |
| OHR will explore training available for supervisors and non-supervisory employees regarding the treatment of employees with disabilities. |  | September 30, 2017 |
| REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE |  |  |
| OHR engaged in the following recruitment/outreach initiatives: <br> - Partnered with the Department of the Army's Wounded Warriors Program and Department of Labor to successfully implement a Disability Hiring Event, which resulted in the direct hire of two persons with disabilities; <br> - Participated in two Career Fairs: EOP Career Fair and Veterans' Resource Expo; <br> - Partnered with George Mason University and implemented the MASON Life Program at the SEC and sponsored internships for students with intellectual and physical disabilities; <br> - Partnered with SEC's Disability Interests Advisory Committee to solicit participation in career fairs and leverage their professional networks/partnerships with other organizations; <br> - Explored recruiting strategies among various federal and state rehabilitation centers and affinity groups; and <br> - Attended and sponsored the New Perspectives training conference. |  |  |
| OHR resurveyed the SEC workforce to determine if there was a change in the disability status of employees. |  |  |
| OHR has completed, and will continue to focus on, the following: <br> - 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; <br> - Surveying disability organizations at universities near the SEC Home Office and Regional Offices to obtain information to improve recruitment of applicants with disabilities; <br> - Using the Hiring Checklist in strategic conversations with hiring managers to ensure they are aware of flexibilities available to hire persons with disabilities; <br> - 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) (It is expected that this new policy and its requirements will help the SEC better understand how candidates with targeted disabilities are proceeding through the selection process.); and <br> - Developing and refining its targeted recruitment strategy and performance metrics to measure the effectiveness of the Agency's outreach efforts to applicants with disabilities. |  |  |
| In FY 2015, the SEC's PWTD workforce grew at a rate (5.00\%) that was just above that of the total workforce (4.84\%). In FY 2016, the PWTD workforce grew at a rate ( $9.52 \%$ ) nearly double the rate of growth in the total workforce $(5.52 \%)$. OEEO will continue to monitor PWTD workforce participation for signs of continued or accelerated growth. OEEO also recognizes that because of the relatively small size of the PWTD population, small changes in workforce participation can have large impacts on the observed rates of change. |  |  |


| $\begin{gathered} \text { EEOC FORM } \\ 715-01 \\ \text { PART I } \end{gathered}$ | U.S. Equal Employment Opportunity Commission FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT |  |
| :---: | :---: | :---: |
| U. S. Securities and Exchange Commission |  | FY 2016 |
| STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER: <br> Provide a brief narrative describing the condition at issue. <br> How was the condition recognized as a potential barrier? |  | Female applicants for employment with the SEC, and in particular, for major occupations (Economist, Accountant, and Securities Compliance Examiner) were hired at a lower rate than their representation in the respective OCLF. |
| BARRIER ANALYSIS: <br> Provide a description of the steps taken and data analyzed to determine cause of the condition. |  | In conducting the barrier analysis, OEEO: <br> - Reviewed applicant flow data and new hire data for each of the major occupations; <br> - Analyzed workforce demographic data from FY 2012 FY 2016; <br> - Interviewed subject matter experts in the SEC's OHR and OMWI; <br> - Reviewed the Agency's hiring policies and formally established procedures; <br> - Reviewed resumes submitted in response to a total of approximately 20 vacancy announcements for Examiner, Accountant, and Economist positions; <br> - Reviewed EEO complaint activity (FY 2012 - <br> - FY 2016) to determine if female applicants perceived they had been discriminated against in the SEC's hiring process; and <br> - Researched best practices in recruiting female applicants for employment in the federal government and private industry. |
| STATEMENT OF IDENTIFIED BARRIER: <br> Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition. |  | No barrier was identified, pending further qualitative and quantitative data analysis. |
| OBJECTIVE: <br> State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition. |  | The Agency has not yet determined if any policies, practices, or procedures need to be revised. |
| RESPONSIBLE OFFICIAL: |  | Peter Henry, Acting Director, OEEO <br> Lacey Dingman, Chief Human Capital Officer, OHR Pamela Gibbs, Director, OMWI |
| DATE OBJECTIVE INITIATED: |  | December 8, 2014 |
| TARGET DATE FOR COMPLETION OF OBJECTIVE: |  | Modified: March 31, 2018 |



| $\begin{aligned} & \text { EEOC FORM } \\ & 715-01 \\ & \text { PART I } \end{aligned}$ | U.S. Equal Employment Opportunity Commission <br> FEDERAL AGENCY ANNUAL <br> EEO PROGRAM STATUS REPORT |  |
| :---: | :---: | :---: |
| U. S. Securities and Exchange Commission |  | FY 2016 |
| STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER: <br> Provide a brief narrative describing the condition at issue. <br> How was the condition recognized as a potential barrier? |  | In FY 2014, female attorneys, accountants, examiners, and economists received fewer competitive promotions than their male counterparts. Notably, only $36 \%$ of applications were from women. Of 83 competitive promotions in the major occupations, females received 27, while males received 56 . <br> Of all competitive promotions, 1 individual with a disability received 1 of the 83 promotions. |
| BARRIER ANALYSIS: <br> Provide a description of the steps taken and data analyzed to determine cause of the condition. |  | The SEC hired a vendor in 2014 to conduct an analysis of barriers to promotions at the Commission. This analysis concluded at the beginning of FY 2016. The vendor identified two potential barriers and provided seven recommendations to eliminate the potential barriers. |
| STATEMENT OF IDENTIFIED BARRIER: <br> Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition. |  | Potential Barrier 1: Due to employee perceptions regarding how management fills positions, employees from certain demographic groups applied for promotions at lower rates than their comparator group. <br> Potential Barrier 2: Managers were not completely adhering to the Office of Personnel Management's uniform personnel practices and guidelines, potentially resulting in unequal treatment of individuals competing for promotions. |
| OBJECTIVE: <br> State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition. |  | The vendor recommended the following: <br> - Institute workshops for supervisors and selecting officials on diversity and inclusion and ways to communicate promotional opportunities within the SEC; <br> - Identify promotional opportunities and actively engage employees who have demonstrated skills and aspirations outside of the Area of Consideration when promotional opportunities arise within the SEC; <br> - Continue to develop, utilize, implement, and monitor policies for recommending training and offering career development opportunities to non-selected and/or interested employees to increase competitiveness for promotions; <br> - Implement guidelines for processing promotional actions that ensure principles and practices are applied in a uniform and consistent manner to promote transparency and avoid the appearance of pre-selection; <br> - Develop cohesive working relationships among the Divisions and Offices to promote and underscore the importance of following uniform procedures and guidelines to create an atmosphere that is as free of negative perceptions as possible; <br> - Publish a set of stand-alone standard operating procedures for promotions and disseminate when upcoming promotional opportunities become available; and <br> - Improve the transparency of promotion procedures by taking steps to address employees' perceptions that promotions are based on favoritism or other non-merit factors. |
| RESPONSIBLE OFFICIAL: |  | Lacey Dingman, Chief Human Capital Officer, OHR Pamela Gibbs, Director, OMWI <br> Peter Henry, Acting Director, OEEO |
| DATE OBJECTIVE INITIATED: |  | December 8, 2014 |
| TARGET DATE FOR COMPLETION OF OBJECTIVE: |  | Modified: September 30, 2017, and ongoing |


| EEO Plan To Eliminate Identified Barrier |  |
| :---: | :---: |
| PLANNED ACTIVITIES TOWARD COMPLETION O OBJECTIVE: | TARGET DAT (Must be spe |
| OEEO will make just-in-time training available to individuals involved in the hiring process regarding the applicable feder EEO laws and principles. | September 30, 201 |
| Monitor results of responsive actions taken | Modified: September 30, 2017 |
| REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE |  |
| As of November 24, 2015, and ongoing, the SEC had taken the following steps addressing the vendor's recommendations: <br> 1. Annual mandatory training for all management on Merit Promotion Principles as well as EEO and Diversity and Inclusion topics; <br> 2. Formation of the Diversity Council - with representatives from across the SEC, including Commissioners' offices, the Chair's Office, OHR, OMWI, and OEEO; <br> 3. Incorporation of a diversity and inclusion standard in all management's performance work plans; <br> 4. Regular and recurring meetings between Divisions/Offices and OHR/OMWI/OEEO to identify and address any diversity and EEO issues at the Commission; <br> 5. Standardized the selection process for key mission critical positions (i.e., Enforcement Attorneys, NEP Examiners, and SOs); <br> 6. Launch of the Hiring Toolkit - a guide to best practices for selecting candidates at the SEC, for all SEC positions; <br> 7. Launch of the Career Horizons Employee Development Center nationwide; <br> 8. Establishment of the enhanced Upward Mobility program, in collaboration with NTEU Chapter 293; <br> 9. Creation of three key programs to further develop employees: Aspiring Leaders, Excellence in Government Fellows, and the Women in Leadership programs; <br> 10. Through the auspices of the Employee Affinity Groups (e.g., the Women's Committee, the Asian Pacific American Committee, the African American Council), delivered various workshops/programs focused on career development; and <br> 11. Complete review of the hiring practices at the SEC and implementation of all recommended enhancements to the process (e.g., hiring checklist, accountability program, peer audit, and service level agreements). |  |
| As of September 30, 2016, and ongoing, the SEC implemented a number of initiatives responsive to the vendor's recommendations that included the following: <br> 1. Developing an enhanced communication plan to further educate SEC employees on available promotion opportunities and resources to assist them with the promotion process. Continuing to establish standardized selection tools for key mission critical positions; <br> 2. Establishing additional training opportunities for management on the hiring process; <br> 3. Requiring additional information from hiring managers on the selection process; <br> 4. Enhancing OHR recordkeeping by completing the transition to electronic case files; <br> 5. Continuing to evaluate applicant flow data to determine progress towards removing the potential barriers; <br> 6. Creating the MyCareer@SEC career pathing website to assist employees with opportunities for promotion; <br> 7. Increasing the use of the Hiring Toolkit by management to utilize selection best practices; <br> 8. Enhancing the use of the Individual Development Plan to assist employees with potential development opportunities; <br> 9. Expanding the area of consideration on appropriate hiring announcements to allow for the broadest applicant pool; <br> 10. Maintaining the active participation of OEEO and OMWI in the development and implementation of the Agency's Human Capital Strategy; and <br> 11. Working with NTEU, the Diversity Council, employees, and managers in support of efforts to promote equality of opportunity and diversity at the Agency. |  |


| $\begin{aligned} & \text { EEOC FORM } \\ & 715-01 \\ & \text { PART I } \end{aligned}$ | U.S. Equal Employment Opportunity Commission <br> FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT |  |
| :---: | :---: | :---: |
| U. S. Securities and Exchange Commission |  | FY 2016 |
| STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER: <br> Provide a brief narrative describing the condition at issue. <br> How was the condition recognized as a potential barrier? |  | 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 $\$ 501+$, males received an average 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. <br> Cash awards for individuals with disabilities were, on average, \$1,120. |
| BARRIER ANALYSIS: <br> Provide a description of the steps taken and data analyzed to determine cause of the condition. |  | In conducting the barrier analysis, OEEO: <br> - Reviewed Employee Recognition and Awards data; <br> - Reviewed awards data from Federal Personnel Payroll System, Agency-wide as well as by Divisions/Offices; <br> - Interviewed subject matter experts in the SEC's OHR and Office of Financial Management; <br> - Reviewed the Agency's awards and recognition written policies and established procedures; <br> - Reviewed Federal Employee Viewpoint Survey results related to recognition and awards; and <br> - Reviewed EEO complaint activity (FY 2012 - FY 2016) to determine if employees had complained about inequitable treatment with regards to the distribution of time-off and cash awards. |
| STATEMENT OF IDENTIFIED BARRIER: <br> Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition. |  | No barrier has been identified for this trigger and the SEC is conducting further analysis to determine whether a SEC policy, practice, or procedure is creating any barriers in recognition and awards. |
| OBJECTIVE: <br> State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition. |  | This barrier analysis is ongoing. As a result, the Agency has not determined if any policies, procedures or practices need to be revised. |
| RESPONSIBLE OFFICIAL: |  | Peter Henry, Acting Director, OEEO <br> Lacey Dingman, Chief Human Capital Officer, OHR |
| DATE OBJECTIVE INITIATED: |  | December 8, 2014 |
| TARGET DATE FOR COMPLETION OF OBJECTIVE: |  | Modified: December 31, 2017 |
| $\begin{aligned} & \text { EEOC FORM } \\ & 715-01 \\ & \text { PART I } \end{aligned}$ | EEO Plan To Eliminate Identified Barrier |  |
| PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE: |  | TARGET DATE <br> (Must be specific) |
| Conduct in-depth analysis of employee recognition and awards. |  | December 31, 2017 |
| Begin overseeing resulting from the awards and monito | mmendations e recognition and | Modified: April 30, 2018 |
| REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE <br> In FY 2015, OHR updated its guidance on the parameters to be used by management when developing both monetary and timeoff award recommendations. The guidance was created to provide a more consistent approach to motivating and recognizing employees' contributions and correcting potential barriers in the recognition program. <br> In FY 2016, OEEO: (1) identified existing policies and established procedures regarding awards and developed a project plan for research to identify any barriers to equality of opportunity in the distribution of time-off and cash awards and (2) started an indepth analysis of the distribution of awards to employees. |  |  |


| $\begin{aligned} & \text { EEOC FORM } \\ & 715-01 \\ & \text { PART I } \end{aligned}$ | U.S. Equal Employment Opportunity Commission <br> FEDERAL AGENCY ANNUAL EEO PROGRAM STATUS REPORT |  |
| :---: | :---: | :---: |
| U. S. Securities and Exchange Commission |  | FY 2016 |
| STATEMENT OF CONDITION THAT WAS A TRIGGER FOR A POTENTIAL BARRIER: <br> Provide a brief narrative describing the condition at issue. <br> How was the condition recognized as a potential barrier? |  | In FY 2014, female accountants at the SEC, and in particular, White female accountants, had participation rates lower than the Occupational CLF (over 16 percentage points). The White female accountant CLF is $44.23 \%$, whereas White females comprised $27.52 \%$ of the SEC's accountants. |
| BARRIER ANALYSIS: <br> Provide a description of the steps taken and data analyzed to determine cause of the condition. |  | In conducting the barrier analysis, OEEO: <br> - Reviewed participation rates for women in the total workforce and in each of the major occupations; <br> - Analyzed workforce demographic data from FY 2012 -FY 2016; <br> - Interviewed subject matter experts in OHR and OMWI; <br> - Reviewed the Agency's hiring policies and formally established procedures; <br> - Reviewed resumes submitted in response to approximately eight vacancy announcements for Accountant positions; <br> - Analyzed applicant flow data for Accountant hiring; <br> - Reviewed EEO complaint activity (FY 2012 - FY 2016) to determine if female accountants perceived they had been discriminated against in the SEC's hiring process; and <br> - Researched best practices in recruiting female accountants for employment in the federal government and private industry. |
| STATEMENT OF IDENTIFIED BARRIER: <br> Provide a succinct statement of the agency policy, procedure or practice that has been determined to be the barrier of the undesired condition. |  | No barrier has been identified, pending further analysis |
| OBJECTIVE: <br> State the alternative or revised agency policy, procedure or practice to be implemented to correct the undesired condition. |  | This barrier analysis is ongoing. As a result, the Agency has not yet determined if any policies, procedures or practices need to be revised. |
| RESPONSIBLE OFFICIAL: |  | Peter Henry, Acting Director, OEEO <br> Lacey Dingman, Chief Human Capital Officer, OHR Pamela Gibbs, Director, OMWI |
| DATE OBJECTIVE INITIATED: |  | September 30, 2010 |
| TARGET DATE FOR COMPLETION OF OBJECTIVE: |  | Modified: September 30, 2018 |


| $\begin{aligned} & \text { EEOC FORM } \\ & 715-01 \\ & \text { PART I } \end{aligned}$ | EEO Plan To Eliminate Identified Barrier |  |
| :---: | :---: | :---: |
| PLANNED ACTIVITIES TOWARD COMPLETION OF OBJECTIVE: |  | TARGET DATE <br> (Must be specific) |
| Review written policies and formally established procedures affecting the employment of females, and in particular, the employment of females in Accountant positions. |  | Modified: April 30, 2017 |
| To the extent SEC plan to eliminate th | ntifies barriers for female accountants, develop and implement an action dentified barriers. | Modified: September 30, 2018 |
| REPORT OF ACCOMPLISHMENTS and MODIFICATIONS TO OBJECTIVE |  |  |
| The SEC analyzed, and will continue to analyze, applicant flow data on a quarterly basis. <br> 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. In FY 2016, OMWI participated in the following career fairs at colleges/universities with high female student populations: <br> - Wellesley College Fair: 2/26/16 <br> - Trinity Washington University On-Campus Recruitment: 4/22/16 <br> - Boston College 2016 Fall Career and Internship Fair: 9/13/16 <br> - Montclair State University Accounting Career Fair: 9/15/16 <br> - Alabama State University Career Fair: 9/29/16 |  |  |


| EEOC FORM <br> 715-01 <br> PART I |
| :--- | :--- | :--- | :--- | :--- |
| U. S. Securities and Exchange Commission |

# SPECIAL PROGRAM PLAN FOR THE RECRUITMENT, HIRING, AND ADVANCEMENT OF INDIVIDUALS WITH TARGETED DISABILITIES (PART J) 

| $\begin{aligned} & \text { EEOC FORM } \\ & 715-01 \\ & \text { PART J } \end{aligned}$ | U.S. Equal Employment Opportunity Commission <br> FEDERAL AGENCY ANNUAL <br> EEO PROGRAM STATUS REPORT <br> Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals With Targeted Disabilities |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
| PART I <br> Department or Agency Information | 1. Agency ${ }^{\text {a }}$ (. Securities and Exchange Commission |  |  |  |  |  |  |  |  |  |
|  | 1.a. 2nd Level Component |  | 1.a. |  |  |  |  |  |  |  |
|  | 1.b. 3rd Level or lower |  | 1.b. |  |  |  |  |  |  |  |
| PART II <br> Employment <br> Trend and <br> Special <br> Recruitment <br> for Individuals <br> With Targeted <br> Disabilities | Enter Actual Number at the ... | ... beginning of FY. |  | ... end of FY. |  |  |  | Net Change |  |  |
|  |  | Number |  | Number |  |  |  | Number | Rate of Change |  |
|  | Total Workforce | 4440 | 100. |  | 4685 | 100.0 |  | 24 |  | 5.52\% |
|  | Reportable Disability | 247 |  |  | 292 | 6.2 |  |  |  | 18.22\% |
|  | Targeted Disability* | 42 |  |  | 46 | 0.9 |  |  |  | 9.52\% |
|  | * If the rate of change for persons with targeted disabilities is not equal to or greater than the rate of change for the total workforce, a barrier analysis should be conducted (see below). |  |  |  |  |  |  |  |  |  |
|  | 1. Total Number of Applications Received From Persons With Targeted Disabilities during the reporting period. |  |  |  |  |  | 505 |  |  |  |
|  | 2. Total Number of Selections of Individuals with Targeted Disabilities during the reporting period. |  |  |  |  |  | 3 |  |  |  |
| PART III Participation Rates In Agency Employment Programs |  |  |  |  |  |  |  |  |  |  |
| Other Employment/Personnel Programs |  | TOTAL | Reportable Disability |  | Targeted Disability |  | Not Identified |  | No Disability |  |
|  |  | \# | \% | \# | \% | \# | \% | \# | \% |
| 3. Competitive Promotions for major occupations |  |  | 125 | 0 | 0 | 0 | 0 | 2 | 1.60 | 123 | 98.40 |
| 4. Non-Competitive Promotions |  | 443 | 28 | 6.32 | 6 | 1.35 | 38 | 8.58 | 377 | 85.10 |
| 5. Employee Career Development Programs |  | 76 | 3 | 3.95 | 0 | 0.00 | 6 | 7.89 | 67 | 88.16 |
| 5.a. Grades 5-12 |  | * | 0 | 0.00 | 0 | 0.00 | * | * | * | * |
| 5.b. Grades 13-14 |  | 58 | * | * | 0 | 0.00 | * | * | 50 | 86.21 |
| 5.c. Grade 15-17/SO |  | 16 | 0 | 0.00 | 0 | 0 | 0 | 0 | 16 | 100.00 |
| 6. Employee Recognition and Awards |  |  |  |  |  |  |  |  |  |  |
| 6.a. Time-Off Awards (Total hours awarded for 9+ hours category) |  | 1007 | 50 | 4.97 | 6 | 0.60 | 52 | 5.16 | 905 | 89.87 |
| 6.b. Cash Awards (total \$\$ awarded for $\$ 501+$ category) |  | 3666 | 173 | 4.72 | 20 | 0.55 | 176 | 4.80 | 3317 | 90.48 |
| 6.c. Quality-Step Increase |  | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A | N/A |

[^7]\(\left.\left.$$
\begin{array}{|l|l|}\hline \begin{array}{l}\text { EEOC FORM } \\
715-01 \\
\text { Part J }\end{array} & \begin{array}{l}\text { Special Program Plan for the Recruitment, Hiring, and Advancement of Individuals With Targeted } \\
\text { Disabilities }\end{array} \\
\hline \text { Part IV } & \begin{array}{l}\text { Agencies with 1,000 or more permanent employees MUST conduct a barrier analysis to address any } \\
\text { barriers to increasing employment opportunities for employees and applicants with targeted disabilities } \\
\text { using FORM 715-01 PART I. Agencies should review their recruitment, hiring, career development, } \\
\text { Eromotion, and retention of individuals with targeted disabilities in order to determine whether there are } \\
\text { any barriers. }\end{array} \\
\text { Elimination of }\end{array}
$$\right\} \begin{array}{l}Agencies with 1,000 or more permanent employees are to use the space provided below to describe <br>

Ge strategies and activities that will be undertaken during the coming fiscal year to maintain a special\end{array}\right\}\)| Goals for Targeted |
| :--- |
| recruitment program for individuals with targeted disabilities and to establish specific goals for the |
| employment and advancement of such individuals. For these purposes, targeted disabilities may be |
| considered as a group. Agency goals should be set and accomplished in such a manner as will affect |
| measurable progress from the preceding fiscal year. Agencies are encouraged to set a goal for the hiring |
| of individuals with targeted disabilities that is at least as high as the anticipated losses from this group |
| during the next reporting period, with the objective of avoiding a decrease in the total participation rate of |
| employees with disabilities. |

## PART V—GOALS, OBJECTIVES AND STRATEGIES

| A. SELF-IDENTIFICATION, QUANTITATIVE ANALYSIS, AND GOALS AND BENCHMARKS |  |  |
| :--- | :--- | :--- |
| Action Items | Key Deliverables/Output | Narrative Description |
| 1. Conduct annual review <br> of current workforce. | MD-715 Report | The MD-715 Report is completed with input from OEEO, OMWI, and <br> OHR for submission to the EEOC. |
| B. OUTREACH AND RECRUITMENT | Key Deliverables/Output | Narrative Description |
| Action Items | Updated contact <br> information for disability <br> affinity organizations | The Selective Placement Program Coordinator (SPPC) updates <br> the SEC's list of affinity organizations to maintain contact and foster <br> relationships for recruitment events and candidate sourcing. |
| 1. Maintain list of <br> disability affinity <br> organizations for <br> outreach. | Connections with Veterans <br> recruiting sources | To improve its outreach to veterans, the SEC participated in Vets on <br> Wall Street and Boots to Suits. The SEC also addressed professional <br> veteran-focused organizations and veterans' hiring events. |
| 2. Use Veterans recruiting <br> sources. | Market SEC to applicants <br> with disabilities. | In FY 2016, the SEC attended the Careers \& the Disabled Magazine's <br> Career Expo and Gallaudet University's Career Fair. These events <br> allowed the SEC to reach a key constituency and promote a variety of <br> positions. |
| 3. Attend/Sponsor <br> recruitment events. | The SEC also hosted an Informational and Networking Event for |  |
| Individuals with Disabilities at SEC Headquarters. The event provided |  |  |
| 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. The SEC plans to continue these |  |  |
| efforts in 2017. |  |  |

9 The OMB MAX website is found here: https://max.omb.gov/maxportal/home.do.

| 6. Talk to hiring managers about hiring flexibilities, including Schedule A before vacancy announcements are posted. | Managers encouraged to hire applicants with targeted disabilities | OHR continued to address special hiring authorities, including Schedule A, in conversations with hiring managers. 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 $30 \%$ veteran hiring authorities to fill positions quickly. In FY 2017, the SEC plans to expand Brown Bag sessions for hiring managers focused on the benefits of the Schedule A hiring process. |
| :---: | :---: | :---: |
| 7. Maintain relationships with Disability Employment focused organizations sponsored by the federal government. | Current information to aid in Selective Placement Program recruiting and disability hiring | The SPPC is registered to receive notifications and newsletters from the following groups and transmits information to OHR staff engaged in recruiting: <br> - EARN - Employer Assistance Resource Network: http://askearn.org <br> - JAN - Job Accommodation Network http://askjan.org <br> - ODEP - Office of Disability Employment Policy, DOL: http://www.dol.gov/odep/ |
| C. And D. HIRING, CAREER DEVELOPMENT AND ADVANCEMENT, AND RETENTION |  |  |
| Action Items | Key Deliverables/Output | Narrative Description |
| 1. Review and revise SEC policy for disabled veteran hiring. | Updated SEC policy | The policy for disabled veteran hiring is under its scheduled biannual revision, which will be completed in FY 2017. |
| 2. Monitor use of special hiring authorities in relation to hiring goals. | Hiring metrics | Every month and at the end of the fiscal year, the SEC's Office of the Chief Operating Officer publishes metrics for disability hiring. |
| 4. Attend meetings of SEC affinity groups with interests related to hiring and promoting persons with disabilities. | Information is communicated and shared among SEC employees and affinity groups related to employment initiatives focusing on individuals with disabilities. | The SPPC maintains an ongoing relationship with the SEC's DIAC and the Veterans Committee. |
| E. REASONABLE ACCOMMODATION POLICIES AND PROCEDURES |  |  |
| Action Items | Key Deliverables/Output | Narrative Description |
| 1. Provide mandatory training to all managers and supervisors on their responsibilities for providing reasonable accommodations to employees with disabilities. | Managers and supervisors meeting their responsibilities and appropriately referring employees to OHR's Disability Program for information and accommodations | In FY 2016, new SEC managers participated in mandatory training regarding the reasonable accommodation process as part of the LD 307 Fundamentals of Human Resource Management training. |
| F. EXTERNAL AND INTERNAL COMMUNICATION OF AGENCY POLICIES AND PROCEDURES |  |  |
| Action Items | Key Deliverables/Output | Narrative Description |
| 1. Develop improved communications strategy. | Accessible information for SEC employees related to employment at the SEC | OHR maintains a portal 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 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. |
| 2. Make more information about the disability employment program available on SEC's public website and USAJOBs postings. | Accessible information for members of the public and job applicants related to the SEC's Disability Employment Program | Information about the SEC's Disability Employment Program is posted on SEC.gov (http://www.sec.gov/disability/sec_access.htm). This also includes an online method for requesting accommodations for the job application process. Every SEC vacancy announcement posted to USAJOBS includes information about obtaining accommodations. The name of SEC's SPPC is on OPM's website at http://www.opm.gov/policy-data-oversight/disability-employment/selective-placement-program-coordinator-directory/. |


| G. TRAINING AND EDUCATION |  |  |
| :--- | :--- | :--- |
| Action Items | Key Deliverables/Output | Narrative Description |$|$| 1. Train all managers <br> about special hiring <br> authorities for persons <br> with severe disabilities <br> under Schedule A. <br> Integrate disability <br> employment information <br> into in-depth training for <br> new supervisors. | Knowledgeable managers <br> supporting efforts to <br> increase hiring rate of <br> employees with targeted <br> disabilities | All new managers attend the Leadership Development 307 course, <br> Fundamentals of HR Management, which highlights special hiring <br> authorities, including Schedule A, and requests for reasonable <br> accommodation. |
| :--- | :--- | :--- |
| 2. Provide onsite <br> instruction for ASL and <br> cultural awareness <br> for interested SEC <br> employees and <br> managers. | Improved social and <br> workplace communications <br> between deaf and hearing <br> employees | In FY 2016, the SEC University (SECU) held an Open House for <br> interested employees and managers to encourage enrollment in the <br> American Sign Language I, II, III and Business Writing for Professionals <br> taught in ASL. SECU also made a presentation to the DIAC employee <br> group to highlight these ASL training courses offered by Gallaudet |
| University. |  |  |

## EQUAL EMPLOYMENT OPPORTUNITY POLICY

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

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, 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/or (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, Conflict2Resolution (C2R), when the use of C2R is approved by the EEO 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 webpage on The INSIDER provides additional information.

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


November 28, 2016
DATE

# POLICY ON PREVENTING HARASSMENT (PPH) 

As Chair of the SEC, I am committed to providing you with 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, to deliver maximum performance in support of the SEC's mission. Harassment is abs
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, 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 becomes severe or pervasive or otherwise 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 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 (SPIII, Suite 2900). OEEO will accept and process anonymous allegations to the extent possible. Additional information is also available on OEEO's webpage on The INSIDER. 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.

OEEO's Responsibility
OEEO, in coordination with management and/or the Office of Human Resources, 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 its 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 and he/she 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

An 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 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 an 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.

November 28, 2016
DATE


## FISCAL YEAR 2016462 REPORT

The SEC previously submitted the FY 2016462 Report to the EEOC.


## SEC'S ORGANIZATIONAL STRUCTURE

The SEC's leadership includes a Chair 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 Chair of the Commission - the Commission's chief executive. The Agency's functional responsibilities are organized into five Divisions and 24 Offices, each of which is headquartered in Washington, D.C. The Commission's staff is located in Washington, D.C., and 11 Regional Offices throughout the country. Divisions and Offices include:

Five Divisions

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

Twenty-four Offices

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

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

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





52 | EEO PROGRAM STATUS REPORT
WORKFORCE DATA TABLES
Table A1: TOTAL WORKFORCE-DISTRIBUTION BY RACE/ETHNICITY AND SEX-PAY PERIOD 201521 TO 201621

| Employment Tenure |  | TOTAL WORKFORCE |  |  | RACE/ETHNICITY |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  | Non-Hispanic or Latino |
|  |  | Hispanic or Latino | White |  | Black or African American |  | Asian |  | Native <br> Hawaiian or <br> Other Pacific <br> 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 |
| TOTAL |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Prior FY | \# |  |  |  | 4440 | 2402 | 2038 | 116 | 107 | 1792 | 1159 | 222 | 500 | 256 | 246 | 1 | 4 | 12 | 6 | 3 | 16 |
|  | \% | 100\% | 54.10\% | 45.90\% | 2.61\% | 2.41\% | 40.36\% | 26.10\% | 5.00\% | 11.26\% | 5.77\% | 5.54\% | 0.02\% | 0.09\% | 0.27\% | 0.14\% | 0.07\% | 0.36\% |
| Current FY | \# | 4685 | 2537 | 2148 | 133 | 115 | 1868 | 1217 | 230 | 517 | 288 | 275 | 1 | 4 | 13 | 6 | 4 | 14 |
|  | \% | 100\% | 54.15\% | 45.85\% | 2.84\% | 2.45\% | 39.87\% | 25.98\% | 4.91\% | 11.04\% | 6.15\% | 5.87\% | 0.02\% | 0.09\% | 0.28\% | 0.13\% | 0.09\% | 0.30\% |
| CLF (2010) | \% | 1 | 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 | \# | 245 | 135 | 110 | 17 | 8 | 76 | 58 | 8 | 17 | 32 | 29 | 0 | 0 | 1 | 0 | 1 | -2 |
| Ratio Change | \% | 0.00\% | 0.05\% | -0.05\% | 0.23\% | 0.04\% | -0.49\% | -0.13\% | -0.09\% | -0.23\% | 0.38\% | 0.33\% | 0.00\% | 0.00\% | 0.01\% | -0.01\% | 0.02\% | -0.06\% |
| Net Change | \% | 5.52\% | 5.62\% | 5.40\% | 14.66\% | 7.48\% | 4.24\% | 5.00\% | 3.60\% | 3.40\% | 12.50\% | 11.79\% | 0.00\% | 0.00\% | 8.33\% | 0.00\% | 33.33\% | -12.50\% |
| PERMANENT |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Prior FY | \# | 4310 | 2321 | 1989 | 112 | 103 | 1741 | 1139 | 215 | 491 | 237 | 233 | 1 | 2 | 12 | 6 | 3 | 15 |
|  | \% | 100\% | 53.85\% | 46.15\% | 2.60\% | 2.39\% | 40.39\% | 26.43\% | 4.99\% | 11.39\% | 5.50\% | 5.41\% | 0.02\% | 0.05\% | 0.28\% | 0.14\% | 0.07\% | 0.35\% |
| Current FY | \# | 4582 | 2473 | 2109 | 132 | 111 | 1829 | 1199 | 222 | 512 | 272 | 266 | 1 | 2 | 13 | 6 | 4 | 13 |
|  | \% | 100\% | 53.97\% | 46.03\% | 2.88\% | 2.42\% | 39.92\% | 26.17\% | 4.85\% | 11.17\% | 5.94\% | 5.81\% | 0.02\% | 0.04\% | 0.28\% | 0.13\% | 0.09\% | 0.28\% |
| Difference | \# | 272 | 152 | 120 | 20 | 8 | 88 | 60 | 7 | 21 | 35 | 33 | 0 | 0 | 1 | 0 | 1 | -2 |
| Ratio Change | \% | 0.00\% | 0.12\% | -0.12\% | 0.28\% | 0.03\% | -0.48\% | -0.26\% | -0.14\% | -0.22\% | 0.44\% | 0.40\% | 0.00\% | 0.00\% | 0.01\% | -0.01\% | 0.02\% | -0.06\% |
| Net Change | \% | 6.31\% | 6.55\% | 6.03\% | 17.86\% | 7.77\% | 5.05\% | 5.27\% | 3.26\% | 4.28\% | 14.77\% | 14.16\% | 0.00\% | 0.00\% | 8.33\% | 0.00\% | 33.33\% | -13.33\% |
| TEMPORARY |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Prior FY | \# | 130 | 81 | 49 | 4 | 4 | 51 | 20 | 7 | 9 | 19 | 13 | 0 | 2 | 0 | 0 | 0 | 1 |
|  | \% | 100\% | 62.31\% | 37.69\% | 3.08\% | 3.08\% | 39.23\% | 15.38\% | 5.38\% | 6.92\% | 14.62\% | 10.00\% | 0.00\% | 1.54\% | 0.00\% | 0.00\% | 0.00\% | 0.77\% |
| Current FY | \# | 103 | 64 | 39 | 1 | 4 | 39 | 18 | 8 | 5 | 16 | 9 | 0 | 2 | 0 | 0 | 0 | 1 |
|  | \% | 100\% | 62.14\% | 37.86\% | 0.97\% | 3.88\% | 37.86\% | 17.48\% | 7.77\% | 4.85\% | 15.53\% | 8.74\% | 0.00\% | 1.94\% | 0.00\% | 0.00\% | 0.00\% | 0.97\% |
| Difference | \# | -27 | -17 | -10 | -3 | 0 | -12 | -2 | 1 | -4 | -3 | -4 | 0 | 0 | 0 | 0 | 0 | 0 |
| Ratio Change | \% | 0.00\% | -0.17\% | 0.17\% | -2.11\% | 0.81\% | -1.37\% | 2.09\% | 2.38\% | -2.07\% | 0.92\% | -1.26\% | 0.00\% | 0.40\% | 0.00\% | 0.00\% | 0.00\% | 0.20\% |
| Net Change | \% | -20.77\% | -20.99\% | -20.41\% | -75.00\% | 0.00\% | -23.53\% | -10.00\% | 14.29\% | -44.44\% | -15.79\% | -30.77\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |

Table A-2: REGIONAL OFFICES AND DIVISIONS-DISTRIBUTION BY RACE/ETHNICITY AND SEX PERMANENT WORKFORCE-PAY PERIOD 201621

| PERMANENT EMPLOYEES |  | TOTAL EMPLOYEES |  |  | RACE/ETHNICITY |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  |  |  |  | Non-Hispanic or Latino |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  | Hispanic or Latino |  | White |  | Black or African American |  | Asian |  | Native Hawaiian or Other Pacific Islander |  | American Indian or Alaska Native |  | Two or more races |  |
|  |  | All | male | female | male | female | male | female | male | female | male | female | male | female | male | female | male | female |
| TOTAL FY | \# | 4582 | 2473 | 2109 | 132 | 111 | 1829 | 1199 | 222 | 512 | 272 | 266 | 1 | 2 | 13 | 6 | 4 | 13 |
|  | \% | 100\% | 53.97\% | 46.03\% | 2.88\% | 2.42\% | 39.92\% | 26.17\% | 4.85\% | 11.17\% | 5.94\% | 5.81\% | 0.02\% | 0.04\% | 0.28\% | 0.13\% | 0.09\% | 0.28\% |
| 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\% |
| HQ | \# | 2920 | 1537 | 1383 | 70 | 57 | 1108 | 751 | 165 | 396 | 180 | 164 | 1 | 2 | 10 | 4 | 3 | 9 |
|  | \% | 100\% | 52.64\% | 47.36\% | 2.40\% | 1.95\% | 37.95\% | 25.72\% | 5.65\% | 13.56\% | 6.16\% | 5.62\% | 0.03\% | 0.07\% | 0.34\% | 0.14\% | 0.10\% | 0.31\% |
| NYRO | \# | 404 | 224 | 180 | 14 | 14 | 175 | 110 | 7 | 29 | 27 | 26 | 0 | 0 | 1 | 0 | 0 | 1 |
|  | \% | 100\% | 55.45\% | 44.55\% | 3.47\% | 3.47\% | 43.32\% | 27.23\% | 1.73\% | 7.18\% | 6.68\% | 6.44\% | 0.00\% | 0.00\% | 0.25\% | 0.00\% | 0.00\% | 0.25\% |
| CHRO | \# | 239 | 140 | 99 | 5 | 7 | 122 | 57 | 6 | 25 | 7 | 10 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 58.58\% | 41.42\% | 2.09\% | 2.93\% | 51.05\% | 23.85\% | 2.51\% | 10.46\% | 2.93\% | 4.18\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| LARO | \# | 167 | 87 | 80 | 8 | 7 | 52 | 39 | 4 | 13 | 23 | 21 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 52.10\% | 47.90\% | 4.79\% | 4.19\% | 31.14\% | 23.35\% | 2.40\% | 7.78\% | 13.77\% | 12.57\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| BRO | \# | 151 | 84 | 67 | 2 | 0 | 70 | 51 | 4 | 5 | 7 | 11 | 0 | 0 | 0 | 0 | 1 | 0 |
|  | \% | 100\% | 55.63\% | 44.37\% | 1.32\% | 0.00\% | 46.36\% | 33.77\% | 2.65\% | 3.31\% | 4.64\% | 7.28\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.66\% | 0.00\% |
| PLRO | \# | 136 | 79 | 57 | 3 | 3 | 59 | 42 | 11 | 10 | 6 | 2 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 58.09\% | 41.91\% | 2.21\% | 2.21\% | 43.38\% | 30.88\% | 8.09\% | 7.35\% | 4.41\% | 1.47\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| FWRO | \# | 121 | 69 | 52 | 4 | 3 | 56 | 43 | 6 | 4 | 3 | 1 | 0 | 0 | 0 | 0 | 0 | 1 |
|  | \% | 100\% | 57.02\% | 42.98\% | 3.31\% | 2.48\% | 46.28\% | 35.54\% | 4.96\% | 3.31\% | 2.48\% | 0.83\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.83\% |
| SFRO | \# | 124 | 64 | 60 | 4 | 2 | 42 | 30 | 3 | 5 | 14 | 20 | 0 | 0 | 1 | 1 | 0 | 2 |
|  | \% | 100\% | 51.61\% | 48.39\% | 3.23\% | 1.61\% | 33.87\% | 24.19\% | 2.42\% | 4.03\% | 11.29\% | 16.13\% | 0.00\% | 0.00\% | 0.81\% | 0.81\% | 0.00\% | 1.61\% |
| ARO | \# | 103 | 64 | 39 | 4 | 1 | 48 | 18 | 11 | 18 | 1 | 1 | 0 | 0 | 0 | 1 | 0 | 0 |
|  | \% | 100\% | 62.14\% | 37.86\% | 3.88\% | 0.97\% | 46.60\% | 17.48\% | 10.68\% | 17.48\% | 0.97\% | 0.97\% | 0.00\% | 0.00\% | 0.00\% | 0.97\% | 0.00\% | 0.00\% |
| MIRO | \# | 101 | 61 | 40 | 18 | 12 | 38 | 16 | 3 | 7 | 2 | 5 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 60.40\% | 39.60\% | 17.82\% | 11.88\% | 37.62\% | 15.84\% | 2.97\% | 6.93\% | 1.98\% | 4.95\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| DRO | \# | 99 | 55 | 44 | 0 | 4 | 52 | 37 | 0 | 0 | 2 | 3 | 0 | 0 | 1 | 0 | 0 | 0 |
|  | \% | 100\% | 55.56\% | 44.44\% | 0.00\% | 4.04\% | 52.53\% | 37.37\% | 0.00\% | 0.00\% | 2.02\% | 3.03\% | 0.00\% | 0.00\% | 1.01\% | 0.00\% | 0.00\% | 0.00\% |
| SLRO | \# | 17 | 9 | 8 | 0 | 1 | 7 | 5 | 2 | 0 | 0 | 2 | 0 | 0 | 0 | 0 | 0 | 0 |
|  |  | 100\% | 52.94\% | 47.06\% | 0.00\% | 5.88\% | 41.18\% | 29.41\% | 11.76\% | 0.00\% | 0.00\% | 11.76\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |

Table A3-1: OCCUPATIONAL CATEGORIES-DISTRIBUTION BY RACE/ETHNICITY AND SEX PERMANENT WORKFORCE-PAY PERIOD 201621

| Occupational Categories |  | TOTAL EMPLOYEES |  |  | RACE/ETHNICITY |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  | Non-Hispanic or Latino |
|  |  | Hispanic or Latino | White |  | Black or African American |  | Asian |  | Native Hawaiian or Other Pacific Islander |  | American Indian or Alaska Native |  | Two or more races |  |
|  |  | AII | male | female | male | female | male | female | male | female | male | female | male | female | male | female | male | female |
| Officials and Managers |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Executive/Senior Level | \# |  |  |  | 142 | 89 | 53 | 3 | 0 | 80 | 43 | 3 | 4 | 3 | 5 | 0 | 1 | 0 | 0 | 0 | 0 |
|  | \% |  |  |  | 100\% | 62.68\% | 37.32\% | 2.11\% | 0.00\% | 56.34\% | 30.28\% | 2.11\% | 2.82\% | 2.11\% | 3.52\% | 0.00\% | 0.70\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Mid-level | \# | 403 | 234 | 169 | 10 | 4 | 199 | 125 | 11 | 20 | 14 | 19 | 0 | 0 | 0 | 0 | 0 | 1 |
|  | \% | 100\% | 58.06\% | 41.94\% | 2.48\% | 0.99\% | 49.38\% | 31.02\% | 2.73\% | 4.96\% | 3.47\% | 4.71\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.25\% |
| First-Level | \# | 358 | 234 | 124 | 16 | 4 | 171 | 73 | 16 | 30 | 26 | 17 | 1 | 0 | 4 | 0 | 0 | 0 |
|  | \% | 100\% | 65.36\% | 34.64\% | 4.47\% | 1.12\% | 47.77\% | 20.39\% | 4.47\% | 8.38\% | 7.26\% | 4.75\% | 0.28\% | 0.00\% | 1.12\% | 0.00\% | 0.00\% | 0.00\% |
| Other | \# | 5 | 3 | 2 | 0 | 0 | 2 | 2 | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 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\% | 0.00\% | 0.00\% |
| Officials and Managers TOTAL | \# | 908 | 560 | 348 | 29 | 8 | 452 | 243 | 30 | 54 | 44 | 41 | 1 | 1 | 4 | 0 | 0 | 1 |
|  | \% | 100\% | 61.67\% | 38.33\% | 3.19\% | 0.88\% | 49.78\% | 26.76\% | 3.30\% | 5.95\% | 4.85\% | 4.52\% | 0.11\% | 0.11\% | 0.44\% | 0.00\% | 0.00\% | 0.11\% |
| Professionals Program Work | \# | 2585 | 1453 | 1132 | 70 | 63 | 1145 | 757 | 90 | 120 | 142 | 181 | 0 | 1 | 4 | 4 | 2 | 6 |
|  | \% | 100\% | 56.21\% | 43.79\% | 2.71\% | 2.44\% | 44.29\% | 29.28\% | 3.48\% | 4.64\% | 5.49\% | 7.00\% | 0.00\% | 0.04\% | 0.15\% | 0.15\% | 0.08\% | 0.23\% |
| Professionals Business / Financial Administration | \# | 939 | 430 | 509 | 32 | 33 | 219 | 174 | 86 | 257 | 86 | 37 | 0 | 0 | 5 | 2 | 2 | 6 |
|  | \% | 100\% | 45.79\% | 54.21\% | 3.41\% | 3.51\% | 23.32\% | 18.53\% | 9.16\% | 27.37\% | 9.16\% | 3.94\% | 0.00\% | 0.00\% | 0.53\% | 0.21\% | 0.21\% | 0.64\% |
| Administrative Support Workers | \# | 150 | 30 | 120 | 1 | 7 | 13 | 25 | 16 | 81 | 0 | 7 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 20.00\% | 80.00\% | 0.67\% | 4.67\% | 8.67\% | 16.67\% | 10.67\% | 54.00\% | 0.00\% | 4.67\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |

Table A3-2: OCCUPATIONAL CATEGORIES-DISTRIBUTION BY RACE/ETHNICITY AND SEX PERMANENT WORKFORCE-PAY PERIOD 201621

| Occupational Categories |  | TOTAL EMPLOYEES |  |  | RACE/ETHNICITY |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  | Hispanic or Latino |  | Non-Hispanic or Latino |  |  |  |  |  |  |  |  |  |  |  |
|  |  | White | Black or African American |  | Asian |  | Native Hawaiian or Other Pacific Islander |  | American Indian or Alaska Native |  | Two or more races |  |
|  |  | All | male | female | male | female | male | female | male | female | male | female | male | female | male | female | male | female |
| Officials and Managers |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Executive/Senior Level | \# |  |  | 142 | 89 | 53 | 3 | 0 | 80 | 43 | 3 | 4 | 3 | 5 | 0 | 1 | 0 | 0 | 0 | 0 |
|  | \% | 3.10\% | 3.60\% | 2.51\% | 2.27\% | 0.00\% | 4.37\% | 3.59\% | 1.35\% | 0.78\% | 1.10\% | 1.88\% | 0.00\% | 50.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Mid-level | \# | 403 | 234 | 169 | 10 | 4 | 199 | 125 | 11 | 20 | 14 | 19 | 0 | 0 | 0 | 0 | 0 | 1 |
|  | \% | 8.80\% | 9.46\% | 8.01\% | 7.58\% | 3.60\% | 10.88\% | 10.43\% | 4.95\% | 3.91\% | 5.15\% | 7.14\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 7.69\% |
| First-Level | \# | 358 | 234 | 124 | 16 | 4 | 171 | 73 | 16 | 30 | 26 | 17 | 1 | 0 | 4 | 0 | 0 | 0 |
|  | \% | 7.81\% | 9.46\% | 5.88\% | 12.12\% | 3.60\% | 9.35\% | 6.09\% | 7.21\% | 5.86\% | 9.56\% | 6.39\% | 100\% | 0.00\% | 30.77\% | 0.00\% | 0.00\% | 0.00\% |
| Other | \# | 5 | 3 | 2 | 0 | 0 | 2 | 2 | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 0.11\% | 0.12\% | 0.09\% | 0.00\% | 0.00\% | 0.11\% | 0.17\% | 0.00\% | 0.00\% | 0.37\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Officials and Managers TOTAL | \# | 908 | 560 | 348 | 29 | 8 | 452 | 243 | 30 | 54 | 44 | 41 | 1 | 1 | 4 | 0 | 0 | 1 |
|  | \% | 19.82\% | 22.64\% | 16.50\% | 21.97\% | 7.21\% | 24.71\% | 20.27\% | 13.51\% | 10.55\% | 16.18\% | 15.41\% | 100\% | 50.00\% | 30.77\% | 0.00\% | 0.00\% | 7.69\% |
| Professionals Program Work | \# | 2585 | 1453 | 1132 | 70 | 63 | 1145 | 757 | 90 | 120 | 142 | 181 | 0 | 1 | 4 | 4 | 2 | 6 |
|  | \% | 56.42\% | 58.75\% | 53.67\% | 53.03\% | 56.76\% | 62.60\% | 63.14\% | 40.54\% | 23.44\% | 52.21\% | 68.05\% | 0.00\% | 50.00\% | 30.77\% | 66.67\% | 50.00\% | 46.15\% |
| Professionals - <br> Business / Financial Administration | \# | 939 | 430 | 509 | 32 | 33 | 219 | 174 | 86 | 257 | 86 | 37 | 0 | 0 | 5 | 2 | 2 | 6 |
|  | \% | 20.49\% | 17.39\% | 24.13\% | 24.24\% | 29.73\% | 11.97\% | 14.51\% | 38.74\% | 50.20\% | 31.62\% | 13.91\% | 0.00\% | 0.00\% | 38.46\% | 33.33\% | 50.00\% | 46.15\% |
| Administrative Support Workers | \# | 150 | 30 | 120 | 1 | 7 | 13 | 25 | 16 | 81 | 0 | 7 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 3.27\% | 1.21\% | 5.69\% | 0.76\% | 6.31\% | 0.71\% | 2.09\% | 7.21\% | 15.82\% | 0.00\% | 2.63\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Total Workforce | \# | 4582 | 2473 | 2109 | 132 | 111 | 1829 | 1199 | 222 | 512 | 272 | 266 | 1 | 2 | 13 | 6 | 4 | 13 |
|  | \% | 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 EEO 715 Application for pay period 201621, downloaded on 11/07/2016.
Table A4-1: PARTICIPATION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX-PERMANENT EMPLOYEES-PAY PERIOD 201621

| SK, SO, AND RELATED GRADES |  | TOTAL EMPLOYEES |  |  | RACE/ETHNICITY |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  | Hispanic or Latino |  | Non-Hispanic or Latino |  |  |  |  |  |  |  |  |  |  |  |
|  |  | White | Black or African American |  | Asian |  | Native Hawaiian or Other Pacific Islander |  | American Indian or Alaska Native |  | Two or more races |  |
|  |  | All | male | female | male | female | male | female | male | female | male | female | male | female | male | female | male | female |
| SK-02 | \# |  |  | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 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 |
|  | \% | 100.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-04 | \# | 4 | 2 | 2 | 0 | 0 | 1 | 0 | 1 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 50.00\% | 50.00\% | 0.00\% | 0.00\% | 25.00\% | 0.00\% | 25.00\% | 50.00\% | 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 |
|  | \% | 100.00\% | 33.33\% | 66.67\% | 0.00\% | 0.00\% | 0.00\% | 33.33\% | 33.33\% | 33.33\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-06 | \# | 10 | 3 | 7 | 0 | 0 | 2 | 1 | 1 | 6 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 30.00\% | 70.00\% | 0.00\% | 0.00\% | 20.00\% | 10.00\% | 10.00\% | 60.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-07 | \# | 74 | 14 | 60 | 1 | 5 | 5 | 10 | 8 | 40 | 0 | 5 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 18.92\% | 81.08\% | 1.35\% | 6.76\% | 6.76\% | 13.51\% | 10.81\% | 54.05\% | 0.00\% | 6.76\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-08 | \# | 21 | 0 | 21 | 0 | 1 | 0 | 3 | 0 | 16 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 0.00\% | 100.00\% | 0.00\% | 4.76\% | 0.00\% | 14.29\% | 0.00\% | 76.19\% | 0.00\% | 4.76\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-09 | \# | 79 | 25 | 4 | 3 | 3 | 12 | 10 | 8 | 38 | 1 | 1 | 0 | 0 | 0 | 0 | 1 | 2 |
|  | \% | 100.00\% | 31.65\% | 68.35\% | 3.80\% | 3.80\% | 15.19\% | 12.66\% | 10.13\% | 48.10\% | 1.27\% | 1.27\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 1.27\% | 2.53\% |
| SK-10 | \# | 2 | 0 | 2 | 0 | 0 | 0 | 1 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 0.00\% | 100.00\% | 0.00\% | 0.00\% | 0.00\% | 50.00\% | 0.00\% | 50.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-11 | \# | 158 | 57 | 101 | 6 | 11 | 34 | 36 | 12 | 46 | 5 | 8 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 36.08\% | 63.92\% | 3.80\% | 6.96\% | 21.52\% | 22.78\% | 7.59\% | 29.11\% | 3.16\% | 5.06\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-12 | \# | 288 | 108 | 180 | 7 | 10 | 62 | 67 | 26 | 82 | 12 | 18 | 0 | 0 | 1 | 1 | 0 | 2 |
|  | \% | 100.00\% | 37.50\% | 62.50\% | 2.43\% | 3.47\% | 21.53\% | 23.26\% | 9.03\% | 28.47\% | 4.17\% | 6.25\% | 0.00\% | 0.00\% | 0.35\% | 0.35\% | 0.00\% | 0.69\% |
| SK-13 | \# | 446 | 217 | 229 | 14 | 10 | 124 | 103 | 40 | 86 | 35 | 29 | 0 | 0 | 3 | 1 | 1 | 0 |
|  | \% | 100.00\% | 48.65\% | 51.35\% | 3.14\% | 2.24\% | 27.80\% | 23.09\% | 8.97\% | 19.28\% | 7.85\% | 6.50\% | 0.00\% | 0.00\% | 0.67\% | 0.22\% | 0.22\% | 0.00\% |
| SK-14 | \# | 2071 | 1158 | 913 | 59 | 57 | 871 | 579 | 84 | 125 | 140 | 142 | 0 | 0 | 3 | 2 | 1 | 8 |
|  | \% | 100.00\% | 55.92\% | 44.08\% | 2.85\% | 2.75\% | 42.06\% | 27.96\% | 4.06\% | 6.04\% | 6.76\% | 6.86\% | 0.00\% | 0.00\% | 0.14\% | 0.10\% | 0.05\% | 0.39\% |
| SK-15 | \# | 364 | 245 | 119 | 17 | 4 | 182 | 73 | 15 | 27 | 26 | 15 | 1 | 0 | 4 | 0 | 0 | 0 |
|  | \% | 100.00\% | 67.31\% | 32.69\% | 4.67\% | 1.10\% | 50.00\% | 20.05\% | 4.12\% | 7.42\% | 7.14\% | 4.12\% | 0.27\% | 0.00\% | 1.10\% | 0.00\% | 0.00\% | 0.00\% |
| SK-16 | \# | 515 | 315 | 200 | 12 | 6 | 253 | 148 | 12 | 19 | 35 | 24 | 0 | 1 | 2 | 2 | 1 | 0 |
|  | \% | 100.00\% | 61.17\% | 38.83\% | 2.33\% | 1.17\% | 49.13\% | 28.74\% | 2.33\% | 3.69\% | 6.80\% | 4.66\% | 0.00\% | 0.19\% | 0.39\% | 0.39\% | 0.19\% | 0.00\% |
| SK-17 | \# | 400 | 236 | 164 | 10 | 4 | 201 | 122 | 11 | 19 | 14 | 18 | 0 | 0 | 0 | 0 | 0 | 1 |
|  | \% | 100.00\% | 59.00\% | 41.00\% | 2.50\% | 1.00\% | 50.25\% | 30.50\% | 2.75\% | 4.75\% | 3.50\% | 4.50\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.25\% |
| All other (Non-SK, NonSO) | \# | 5 | 3 | 2 | 0 | 0 | 2 | 2 | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 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\% | 0.00\% | 0.00\% |
| Senior Officer | \# | 142 | 89 | 53 | 3 | 0 | 80 | 43 | 3 | 4 | 3 | 5 | 0 | 1 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 62.68\% | 37.32\% | 2.11\% | 0.00\% | 56.34\% | 30.28\% | 2.11\% | 2.82\% | 2.11\% | 3.52\% | 0.00\% | 0.70\% | 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 EEO 715 Application for pay period 201621, downloaded on 11/07/2016.
Table A4-1: PARTICIPATION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX-TEMPORARY EMPLOYEES-PAY PERIOD 201621

| SK, SO, AND RELATED GRADES |  | TOTAL EMPLOYEES |  |  | RACE/ETHNICITY |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  | Non-Hispanic or Latino |
|  |  | Hispanic or Latino | White |  | Black or African American |  | Asian |  | Native Hawaiian or Other Pacific Islander |  | American Indian or Alaska Native |  | Two or more races |  |
|  |  | All | male | female | male | female | male | female | male | female | male | female | male | female | male | female | male | female |
| SK-02 | \# |  |  |  | 1 | 0 | 1 | 0 | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% |  |  |  | 100.00\% | 0.00\% | 100.00\% | 0.00\% | 0.00\% | 0.00\% | 100.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-03 | \# | 2 | 2 | 0 | 0 | 0 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 100.00\% | 0.00\% | 0.00\% | 0.00\% | 100.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-04 | \# | 4 | 2 | 2 | 0 | 0 | 1 | 0 | 1 | 1 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 50.00\% | 50.00\% | 0.00\% | 0.00\% | 25.00\% | 0.00\% | 25.00\% | 25.00\% | 0.00\% | 25.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-05 | \# | 6 | 4 | 2 | 0 | 0 | 1 | 0 | 3 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 66.67\% | 33.33\% | 0.00\% | 0.00\% | 16.67\% | 0.00\% | 50.00\% | 33.33\% | 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 |
|  | \% | 100.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-07 | \# | 3 | 1 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 1 | 1 | 0 | 0 | 0 | 0 | 0 | 1 |
|  | \% | 100.00\% | 33.33\% | 66.67\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 33.33\% | 33.33\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 33.33\% |
| SK-08 | \# | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 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 |
|  | \% | 100.00\% | 0.00\% | 100.00\% | 0.00\% | 100.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-10 | \# | 1 | 0 | 1 | 0 | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 0.00\% | 100.00\% | 0.00\% | 0.00\% | 0.00\% | 100.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-11 | \# | 8 | 4 | 4 | 0 | 1 | 2 | 1 | 1 | 1 | 1 | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 50.00\% | 50.00\% | 0.00\% | 12.50\% | 25.00\% | 12.50\% | 12.50\% | 12.50\% | 12.50\% | 12.50\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-12 | \# | 4 | 2 | 2 | 0 | 1 | 2 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 50.00\% | 50.00\% | 0.00\% | 25.00\% | 50.00\% | 25.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-13 | \# | 2 | 0 | 2 | 0 | 0 | 0 | 0 | 0 | 1 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 0.00\% | 100.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 50.00\% | 0.00\% | 50.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-14 | \# | 28 | 19 | 9 | 0 | 0 | 9 | 6 | 1 | 0 | 9 | 3 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 67.86\% | 32.14\% | 0.00\% | 0.00\% | 32.14\% | 21.43\% | 3.57\% | 0.00\% | 32.14\% | 10.71\% | 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 |
|  | \% | 100.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-16 | \# | 27 | 18 | 9 | 0 | 1 | 13 | 5 | 1 | 0 | 4 | 2 | 0 | 1 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 66.67\% | 33.33\% | 0.00\% | 3.70\% | 48.15\% | 18.52\% | 3.70\% | 0.00\% | 14.81\% | 7.41\% | 0.00\% | 3.70\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-17 | \# | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| All other (Non-SK, Non-SO) | \# | 9 | 7 | 2 | 1 | 0 | 4 | 2 | 1 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 77.78\% | 22.22\% | 11.11\% | 0.00\% | 44.44\% | 22.22\% | 11.11\% | 0.00\% | 11.11\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Senior Officer | \# | 7 | 5 | 2 | 0 | 0 | 5 | 1 | 0 | 0 | 0 | 0 | 0 | 1 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 71.43\% | 28.57\% | 0.00\% | 0.00\% | 71.43\% | 14.29\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 4.29\% | 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 EEO 715 Application for pay period 201621, downloaded on 11/07/2016.

Table A4-2: PARTICIPATION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX PERMANENT WORKFORCE-PAY PERIOD 201621

| SK, SO, AND RELATED GRADES |  | TOTAL EMPLOYEES |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  | 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 | , |  |
|  | \% | 0.00\% | 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 |  |
|  | \% | 0.00\% | 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 |  | 4 | 2 | 2 | 0 | , | 1 | 0 |  | \% | \% | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 0.09\% | 0.08\% | 0.09\% | 0.00\% | 0.00\% | 0.05\% | 0.00\% | 0.45\% | 0.39\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-05 | \# | 3 | 1 |  | 0 | 0 | 0 |  |  | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 0.07\% | 0.04\% | 0.09\% | 0.00\% | 0.00\% | 0.00\% | 0.08\% | 0.45\% | 0.20\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-06 | \# | 10 | 3 | 7 | 0 | 0 | 2 | 1 |  | 6 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |  |
|  | \% | 0.22\% | 0.12\% | 0.33\% | 0.00\% | 0.00\% | 0.11\% | 0.08\% | 0.45\% | 1.17\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-07 | \# | 74 | 14 | 60 | 1 | 5 | 5 | 10 |  | 40 | 0 | 5 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 1.62\% | 0.57\% | 2.84\% | 0.76\% | 4.50\% | 0.27\% | 0.83\% | 3.60\% | 7.81\% | 0.00\% | 1.88\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-08 | \# | 21 | 0 | 21 | 0 |  | 0 | 3 |  | 16 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 0.46\% | 0.00\% | 1.00\% | 0.00\% | 0.90\% | 0.00\% | 0.25\% | 0.00\% | 3.13\% | 0.00\% | 0.38\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-09 | \# | 79 | 25 | 54 | 3 |  | 12 | 10 |  | 38 | 1 | 1 | 0 | 0 |  | 0 | 1 | 2 |
|  | \% | 1.72\% | 1.01\% | 2.56\% | 2.27\% | 2.70\% | 0.66\% | 0.83\% | 3.60\% | 7.42\% | 0.37\% | 0.38\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 25.00\% | 15.38\% |
| SK-10 | \# | 2 | 0 | 2 | 0 | 0 | 0 | 1 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 0.04\% | 0.00\% | 0.09\% | 0.00\% | 0.00\% | 0.00\% | 0.08\% | 0.00\% | 0.20\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-11 | \# | 158 | 57 | 101 | 6 | 11 | 34 | 36 | 12 | 46 |  | 8 | 0 | 0 | 0 | 0 | 0 | , |
|  | \% | 3.45\% | 2.30\% | 4.79\% | 4.55\% | 9.91\% | 1.86\% | 3.00\% | 5.41\% | 8.98\% | 1.84\% | 3.01\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-12 | \# | 288 | 108 | 180 | 7 | 10 | 62 | 67 | 26 | 82 | 12 | 18 | 0 | 0 | 1 | 1 | 0 | 2 |
|  | \% | 6.29\% | 4.37\% | 8.53\% | 5.30\% | 9.01\% | 3.39\% | 5.59\% | 11.71\% | 16.02\% | 4.41\% | 6.77\% | 0.00\% | 0.00\% | 7.69\% | 16.67\% | 0.00\% | 15.38\% |
| SK-13 | \# | 446 | 217 | 229 | 14 | 10 | 124 | 103 | 40 | 86 | 35 | 29 | 0 | 0 | 3 | 1 | - 1 | 0 |
|  | \% | 9.73\% | 8.77\% | 10.86\% | 10.61\% | 9.01\% | 6.78\% | 8.59\% | 18.02\% | 16.80\% | 12.87\% | 10.90\% | 0.00\% | 0.00\% | 23.08\% | 16.67\% | 25.00\% | 0.00\% |
| SK-14 | \# | 2071 | 1158 | 913 | 59 | 57 | 871 | 579 | 84 | 125 | 140 | 142 | 0 | 0 | 3 | 2 | 1 | 8 |
|  | \% | 45.20\% | 46.83\% | 43.29\% | 44.70\% | 51.35\% | 47.62\% | 48.29\% | 37.84\% | 24.41\% | 51.47\% | 53.38\% | 0.00\% | 0.00\% | 23.08\% | 33.33\% | 25.00\% | 61.54\% |
| SK-15 | \# | 364 | 245 | 119 | 17 | 4 | 182 | 73 | 15 | 27 | 26 | 15 |  | 0 | 4 | 0 | 0 | 0 |
|  | \% | 7.94\% | 9.91\% | 5.64\% | 12.88\% | 3.60\% | 9.95\% | 6.09\% | 6.76\% | 5.27\% | 9.56\% | 5.64\% | 100.00\% | 0.00\% | 30.77\% | 0.00\% | 0.00\% | 0.00\% |
| SK-16 | \# | 515 | 315 | 200 | 12 |  | 253 | 148 | 12 | 19 | 35 | 24 | 0 | 1 |  | 2 | 1 | 0 |
|  | \% | 11.24\% | 12.74\% | 9.48\% | 9.09\% | 5.41\% | 13.83\% | 12.34\% | 5.41\% | 3.71\% | 12.87\% | 9.02\% | 0.00\% | 50.00\% | 15.38\% | 33.33\% | 25.00\% | 0.00\% |
| SK-17 | \# | 400 | 236 | 164 | 10 | \% | 201 | 122 | 11 | 19 | 14 | 18 | 0 | \% | 0 | 0 | 00\% | \% |
|  | \% | 8.73\% | 9.54\% | 7.78\% | 7.58\% | 3.60\% | 10.99\% | 10.18\% | 4.95\% | 3.71\% | 5.15\% | 6.77\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 7.69\% |
| $\begin{array}{\|l\|} \hline \text { All other } \\ \text { (Non-SK, Non-SO) } \\ \hline \end{array}$ | \# |  | 3 |  | 0 |  |  |  |  |  |  | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 0.11\% | 0.12\% | 0.09\% | 0.00\% | 0.00\% | 0.11\% | 0.17\% | 0.00\% | 0.00\% | 0.37\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Senior Officer | \# | 142 | 89 | 53 | - 3 | , | 80 | 43 |  |  | , | 5 | 0 | 1 | 0 | 0 | 0 | 0 |
|  | \% | 3.10\% | 3.60\% | 2.51\% | 2.27\% | 0.00\% | 4.37\% | 3.59\% | 1.35\% | 0.78\% | 1.10\% | 1.88\% | 0.00\% | 50.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| TOTAL | \# | 4582 $100.00 \%$ | 2473 | 2109 $100.00 \%$ | 132 $100.00 \%$ | 100.00\% | 1829 | 1199 | 222 | 512 | 272 | 266 | 1 | \% | 13 | 6 | 4 | 13 |
|  | \% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | NOTES: Percentages computed down columns and NOT across rows. Total calculations shown may not match that derived from detail data presented due to rounding.

Table A4-2: PARTICIPATION RATES WITHIN GRADES BY RACE/ETHNICITY AND SEX TEMPORARY WORKFORCE-PAY PERIOD 201621

| SK, SO, AND RELATED GRADES |  | TOTAL EMPLOYEES |  |  | RACE/ETHNICITY |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  | Non-Hispanic or Latino |
|  |  | Hispanic or Latino | White |  | Black or African American |  | Asian |  | Native Hawaiian or Other Pacific Islander |  | American Indian or Alaska Native |  | Two or more races |  |
|  |  | All | male | female | male | female | male | female | male | female | male | female | male | female | male | female | male | female |
| SK-02 | \# |  |  |  | 1 | 0 | 1 | 0 | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% |  |  |  | 0.97\% | 0.00\% | 2.56\% | 0.00\% | 0.00\% | 0.00\% | 5.56\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-03 | \# | 2 | 2 | 0 | 0 | 0 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 1.94\% | 3.13\% | 0.00\% | 0.00\% | 0.00\% | 5.13\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-04 | \# | 4 | 2 | 2 | 0 | 0 | 1 | 0 | 1 | 1 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 3.88\% | 3.13\% | 5.13\% | 0.00\% | 0.00\% | 2.56\% | 0.00\% | 12.50\% | 20.00\% | 0.00\% | 11.11\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-05 | \# | 6 | 4 | 2 | 0 | 0 | 1 | 0 | 3 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 5.83\% | 6.25\% | 5.13\% | 0.00\% | 0.00\% | 2.56\% | 0.00\% | 37.50\% | 40.00\% | 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 |
|  | \% | 0.00\% | 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 | \# | 3 | 1 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 1 | 1 | 0 | 0 | 0 | 0 | 0 | 1 |
|  | \% | 2.91\% | 1.56\% | 5.13\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 6.25\% | 11.11\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 100.00\% |
| SK-08 | \# | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-09 | \# | 1 | 0 | 1 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 0.97\% | 0.00\% | 2.56\% | 0.00\% | 25.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-10 | \# | 1 | 0 |  | 0 | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 0.97\% | 0.00\% | 2.56\% | 0.00\% | 0.00\% | 0.00\% | 5.56\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-11 | \# | 8 | 4 | 4 | 0 | 1 | 2 | 1 | 1 | 1 | 1 | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 7.77\% | 6.25\% | 10.26\% | 0.00\% | 25.00\% | 5.13\% | 5.56\% | 12.50\% | 20.00\% | 6.25\% | 11.11\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-12 | \# | 4 | 2 | 2 | 0 | 1 | 2 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 3.88\% | 3.13\% | 5.13\% | 0.00\% | 25.00\% | 5.13\% | 5.56\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-13 | \# | 2 | 0 | 2 | 0 | 0 | 0 | 0 | 0 | 1 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 1.94\% | 0.00\% | 5.13\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 20.00\% | 0.00\% | 11.11\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-14 | \# | 28 | 19 | 9 | 0 | 0 | 9 | 6 | 1 | 0 | 9 | 3 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 27.18\% | 29.69\% | 23.08\% | 0.00\% | 0.00\% | 23.08\% | 33.33\% | 12.50\% | 0.00\% | 56.25\% | 33.33\% | 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 |
|  | \% | 0.00\% | 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 | \# | 27 | 18 | 9 | 0 | 1 | 13 | 5 | 1 | 0 | 4 | 2 | 0 | 1 | 0 | 0 | 0 | 0 |
|  | \% | 26.21\% | 28.13\% | 23.08\% | 0.00\% | 25.00\% | 33.33\% | 27.78\% | 12.50\% | 0.00\% | 25.00\% | 22.22\% | 0.00\% | 50.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| SK-17 | \# | 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\% |
| $\begin{aligned} & \hline \text { All other } \\ & \text { (Non-SK, Non-SO) } \end{aligned}$ | \# | 9 | 7 | 2 | 1 | 0 | 4 | 2 | 1 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 8.74\% | 10.94\% | 5.13\% | 100.00\% | 0.00\% | 10.26\% | 11.11\% | 12.50\% | 0.00\% | 6.25\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Senior Officer | \# | 7 | 5 | 2 | 0 | 0 | 5 |  | 0 | 0 | 0 | 0 | 0 | 1 | 0 | 0 | 0 | 0 |
|  | \% | 6.80\% | 7.81\% | 5.13\% | 0.00\% | 0.00\% | 12.82\% | 5.56\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 50.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| TOTAL | \# | 103 | 64 | 39 | 1 | 4 | 39 | 18 | 8 | 5 | 16 | 9 | 0 | 2 | 0 | 0 | 0 | 1 |
|  | \% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% | 100.00\% |

NOTE: 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 EEO 715 Application for pay period 201621 , downloaded on 11/07/2016.
Table A6: PARTICIPATION RATES FOR MAJOR OCCUPATIONS-DISTRIBUTION BY RACE/ETHNICITY AND SEX PERMANENT WORKFORCE-PAY PERIOD 201621

| Job Title/Series |  | TOTAL EMPLOYEES |  |  | RACE/ETHNICITY |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  | Non-Hispanic or Latino |
|  |  | Hispanic or Latino | White |  | Black or African American |  | Asian |  | Native Hawaiian or Other Pacific Islander |  | American Indian or Alaska Native |  | Two or more races |  |
|  |  | All | male | female | male | female | male | female | male | female | male | female | male | female | male | female | male | female |
|  | \# |  |  |  | 98 | 70 | 28 | 2 | 3 | 53 | 15 | 4 | 0 | 10 | 10 | 0 | 0 | 1 | 0 | 0 | 0 |
| 0110 Economist | \% |  |  |  | 100\% | 71.43\% | 28.57\% | 2.04\% | 3.06\% | 54.08\% | 15.31\% | 4.08\% | 0.00\% | 10.20\% | 10.20\% | 0.00\% | 0.00\% | 1.02\% | 0.00\% | 0.00\% | 0.00\% |
| Occupational CLF |  | 100\% | 67.07\% | 32.93\% | 3.34\% | 1.85\% | 55.79\% | 25.20\% | 2.84\% | 2.66\% | 4.46\% | 3.02\% | 0.00\% | 0.05\% | 0.47\% | 0.13\% | 0.18\% | 0.02\% |
|  | \# | 940 | 532 | 408 | 29 | 28 | 414 | 256 | 34 | 49 | 53 | 71 | 0 | 0 | 2 | 1 | 0 | 3 |
| 0510 Accountant | \% | 100\% | 56.60\% | 43.40\% | 3.09\% | 2.98\% | 44.04\% | 27.23\% | 3.62\% | 5.21\% | 5.64\% | 7.55\% | 0.00\% | 0.00\% | 0.21\% | 0.11\% | 0.00\% | 0.32\% |
| Occupational CLF |  | 100\% | 39.91\% | 60.09\% | 2.19\% | 3.93\% | 31.79\% | 44.23\% | 2.49\% | 5.66\% | 3.06\% | 5.49\% | 0.02\% | 0.06\% | 0.19\% | 0.43\% | 0.17\% | 0.29\% |
|  | \# | 1954 | 1091 | 863 | 43 | 36 | 899 | 628 | 57 | 79 | 88 | 114 | 0 | 1 | 3 | 3 | 1 | 2 |
| Attorney | \% | 100\% | 55.83\% | 44.17\% | 2.20\% | 1.84\% | 46.01\% | 32.14\% | 2.92\% | 4.04\% | 4.50\% | 5.83\% | 0.00\% | 0.05\% | 0.15\% | 0.15\% | 0.05\% | 0.10\% |
| Occupational CLF |  | 100\% | 66.70\% | 33.30\% | 2.52\% | 1.85\% | 59.68\% | 26.68\% | 2.13\% | 2.60\% | 1.82\% | 1.74\% | 0.02\% | 0.01\% | 0.31\% | 0.23\% | 0.22\% | 0.18\% |
| 1831 Securities | \# | 290 | 196 | 94 | 17 | 2 | 142 | 54 | 10 | 17 | 26 | 20 | 0 | 0 | 0 | 0 | 1 | 1 |
| Compliance Examining | \% | 100\% | 67.59\% | 32.41\% | 5.86\% | 0.69\% | 48.97\% | 18.62\% | 3.45\% | 5.86\% | 8.97\% | 6.90\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.34\% | 0.34\% |
| Occupational CLF |  | 100\% | 54.75\% | 45.25\% | 3.06\% | 3.65\% | 44.11\% | 28.34\% | 3.57\% | 8.71\% | 3.69\% | 3.96\% | 0.00\% | 0.00\% | 0.08\% | 0.31\% | 0.24\% | 0.27\% |

Table A6: PARTICIPATION RATES FOR MAJOR OCCUPATIONS-DISTRIBUTION BY RACE/ETHNICITY AND SEX TEMPORARY WORKFORCE-PAY PERIOD 201621

| Job Title/Series |  | TOTAL EMPLOYEES |  |  | RACE/ETHNICITY |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  |  |  |  | Hispanic or Latino |  | Non-Hispanic or Latino |  |  |  |  |  |  |  |  |  |  |  |
|  |  |  |  |  | White | Black or African American |  | Asian |  | Native Hawaiian or Other Pacific Islander |  | American Indian or Alaska Native |  | Two or more races |  |
|  |  | All | male | female |  |  | male | female | male | female | male | female | male | female | male | female | male | female | male | female |
| 0110 Economist | \# | 20 | 14 | 6 | 1 | 0 | 8 | 3 | 0 | 0 | 5 | 3 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 70.00\% | 30.00\% | 5.00\% | 0.00\% | 40.00\% | 15.00\% | 0.00\% | 0.00\% | 25.00\% | 15.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Occupational CLF |  | 100\% | 67.07\% | 32.93\% | 3.34\% | 1.85\% | 55.79\% | 25.20\% | 2.84\% | 2.66\% | 4.46\% | 3.02\% | 0.00\% | 0.05\% | 0.47\% | 0.13\% | 0.18\% | 0.02\% |
| 0510 Accountant | \# | 14 | 8 | 6 | 0 | 1 | 6 | 4 | 0 | 0 | 2 | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 57.14\% | 42.86\% | 0.00\% | 7.14\% | 42.86\% | 28.57\% | 0.00\% | 0.00\% | 14.29\% | 7.14\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Occupational CLF |  | 100\% | 39.91\% | 60.09\% | 2.19\% | 3.93\% | 31.79\% | 44.23\% | 2.49\% | 5.66\% | 3.06\% | 5.49\% | 0.02\% | 0.06\% | 0.19\% | 0.43\% | 0.17\% | 0.29\% |
| 0905 General Attorney | \# | 12 | 8 | 4 | 0 | 0 | 7 | 2 | 1 | 0 | 0 | 1 | 0 | 1 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 66.67\% | 33.33\% | 0.00\% | 0.00\% | 58.33\% | 16.67\% | 8.33\% | 0.00\% | 0.00\% | 8.33\% | 0.00\% | 8.33\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Occupational CLF <br> 1831 Securities <br> Compliance <br> Examining |  | 100\% | 66.70\% | 33.30\% | 2.52\% | 1.85\% | 59.68\% | 26.68\% | 2.13\% | 2.60\% | 1.82\% | 1.74\% | 0.02\% | 0.01\% | 0.31\% | 0.23\% | 0.22\% | 0.18\% |
|  | \# | 5 | 5 | 0 | 0 | 0 | 2 | 0 | 0 | 0 | 3 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 100.00\% | 0.00\% | 0.00\% | 0.00\% | 40.00\% | 0.00\% | 0.00\% | 0.00\% | 60.00\% | 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\% | 0.24\% | 0.27\% |

[^8]Table A7: APPLICANT FLOW DATA FOR MAJOR OCCUPATIONS BY RACE/ETHNICITY AND SEX CLOSING DATES IN FY 2016 (10/01/2015 THROUGH 09/30/2016)

|  |  | TOTAL* |  |  | RACE/ETHNICITY |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  | Hispanic or Latino |  | Non-Hispanic or Latino |  |  |  |  |  |  |  |  |  |  |  |
|  |  | White | Black or African American |  | Asian |  | Native Hawaiian or Other Pacific Islander |  | American Indian or Alaska Native |  | Two or more races |  |
|  |  | All | male | female | male | female | male | female | male | female | male | female | male | female | male | female | male | female |
| Job Title/Series: Economist (0110) In FY 2016, 22 economists were selected. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Total Received | \# |  |  | 299 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Voluntarily Identified | \# | 177 | 125 | 52 | 13 | 5 | 74 | 22 | 16 | 10 | 21 | 13 | 0 | 0 | 1 | 2 | 0 | 0 |
|  | \% | 100\% | 70.62\% | 29.38\% | 7.34\% | 2.82\% | 41.81\% | 12.43\% | 9.04\% | 5.65\% | 11.86\% | 7.34\% | 0.00\% | 0.00\% | 0.56\% | 1.13\% | 0.00\% | 0.00\% |
| Qualified of those Identified | \# | 104 | 75 | 29 | 7 | 3 | 42 | 15 | 12 | 7 | 13 | 4 | 0 | 0 | 1 | 0 | 0 | 0 |
|  | \% | 100\% | 72.12\% | 27.88\% | 6.73\% | 2.88\% | 40.38\% | 14.42\% | 11.54\% | 6.73\% | 12.50\% | 3.85\% | 0.00\% | 0.00\% | 0.96\% | 0.00\% | 0.00\% | 0.00\% |
| Selected of those Identified | \# | 11 | 8 | 3 | 0 | 0 | 5 | 1 | 2 | 1 | 0 | 1 | 0 | 0 | 1 | 0 | 0 | 0 |
|  | \% | 100\% | 72.73\% | 27.27\% | 0.00\% | 0.00\% | 45.45\% | 9.09\% | 18.18\% | 9.09\% | 0.00\% | 9.09\% | 0.00\% | 0.00\% | 9.09\% | 0.00\% | 0.00\% | 0.00\% |
| Occupational CLF | \% | 100\% | 67.07\% | 32.93\% | 3.34\% | 1.85\% | 55.79\% | 25.20\% | 2.84\% | 2.66\% | 4.46\% | 3.02\% | 0.00\% | 0.05\% | 0.47\% | 0.13\% | 0.18\% | 0.02\% |
| Job Title/Series: General Attorney (0905) In FY 2016, 146 attorneys were selected. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Total Received | \# | 9299 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Voluntarily Identified | \# | 5509 | 3338 | 2171 | 376 | 229 | 2010 | 989 | 468 | 542 | 352 | 348 | 22 | 7 | 51 | 29 | 59 | 27 |
|  | \% | 100\% | 60.59\% | 39.41\% | 6.83\% | 4.16\% | 36.49\% | 17.95\% | 8.50\% | 9.84\% | 6.39\% | 6.32\% | 0.40\% | 0.13\% | 0.93\% | 0.53\% | 1.07\% | 0.49\% |
| Qualified of those Identified | \# | 4188 | 2529 | 1659 | 266 | 156 | 1563 | 784 | 320 | 384 | 278 | 287 | 20 | 4 | 32 | 25 | 50 | 19 |
|  | \% | 100\% | 60.39\% | 39.61\% | 6.35\% | 3.72\% | 37.32\% | 18.72\% | 7.64\% | 9.17\% | 6.64\% | 6.85\% | 0.48\% | 0.10\% | 0.76\% | 0.60\% | 1.19\% | 0.45\% |
| Selected of those Identified | \# | 86 | 41 | 45 | 2 | 2 | 32 | 35 | 1 | 2 | 6 | 6 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 47.67\% | 52.33\% | 2.33\% | 2.33\% | 37.21\% | 40.70\% | 1.16\% | 2.33\% | 6.98\% | 6.98\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Occupational CLF | \% | 100\% | 66.70\% | 33.30\% | 2.52\% | 1.85\% | 59.68\% | 26.68\% | 2.13\% | 2.60\% | 1.82\% | 1.74\% | 0.02\% | 0.01\% | 0.31\% | 0.23\% | 0.22\% | 0.18\% |

*This table contains data for both permanent and temporary positions.
NOTE: Total calculations shown may not match that derived from detail data presented due to rounding. Source: USAStaffing Applicant Flow Certificate Data, downloaded on $11 / 07 / 2016$.
Table A7: APPLICANT FLOW DATA FOR MAJOR OCCUPATIONS BY RACE/ETHNICITY AND SEX CLOSING DATES IN FY 2016 (10/01/2015 THROUGH 09/30/2016) Continued

*This table contains data for both permanent and temporary positions.
NOTE: Total calculations shown may not match that derived from detail data presented due to rounding. Source: USAStaffing Applicant Flow Certificate Data, downloaded on 11/07/2016
Table A8: NEW HIRES BY TYPE OF APPOINTMENT-DISTRIBUTION BY RACE/ETHNICITY AND SEX FY 2016 (10/01/2015 THROUGH 09/30/2016)

| Employment Tenure |  |  |  |  | RACE/ETHNICITY |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  | TOTAL |  |  | Non-Hispanic or Latino |  |  |  |  |  |  |  |  |  |  |  |  |  |
|  |  | Hispanic or Latino | White |  | Black or African American |  | Asian |  | Native Hawaiian or Other Pacific Islander |  | American Indian or Alaska Native |  | Two or more races |  |
|  |  | All | male | female | male | female | male | female | male | female | male | female | male | female | male | female | male | female |
| Permanent | \# |  |  |  | 400 | 218 | 182 | 17 | 7 | 145 | 104 | 20 | 33 | 34 | 37 | 0 | 0 | 1 | 1 | 1 | 0 |
|  | \% | 100\% | 54.50\% | 45.50\% | 4.25\% | 1.75\% | 36.25\% | 26.00\% | 5.00\% | 8.25\% | 8.50\% | 9.25\% | 0.00\% | 0.00\% | 0.25\% | 0.25\% | 0.25\% | 0.00\% |
| Temporary | \# | 44 | 28 | 16 | 2 | 3 | 17 | 8 | 3 | 1 | 6 | 3 | 0 | 0 | 0 | 0 | 0 | 1 |
|  | \% | 100\% | 63.64\% | 36.36\% | 4.55\% | 6.82\% | 38.64\% | 18.18\% | 6.82\% | 2.27\% | 13.64\% | 6.82\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 2.27\% |
| TOTAL | \# | 444 | 246 | 198 | 19 | 10 | 162 | 112 | 23 | 34 | 40 | 40 | 0 | 0 | 1 | 1 | 1 | 1 |
|  | \% | 100\% | 55.41\% | 44.59\% | 4.28\% | 2.25\% | 36.49\% | 25.23\% | 5.18\% | 7.66\% | 9.01\% | 9.01\% | 0.00\% | 0.00\% | 0.23\% | 0.23\% | 0.23\% | 0.23\% |
| CLF | \% | 100\% | 51.86\% | 48.14\% | 5.17\% | 4.79\% | 38.33\% | 34.03\% | 5.49\% | 6.53\% | 1.97\% | 1.93\% | 0.07\% | 0.07\% | 0.55\% | 0.53\% | 0.26\% | 0.28\% |

NOTE: Total calculations shown may not match that derived from detail data presented due to rounding. Source: Datamart EEO 715 Application for pay period 201621, downloaded on 11/07/2016.
Table A9: SELECTIONS FOR INTERNAL COMPETITIVE PROMOTIONS FOR MAJOR OCCUPATIONS BY RACE/ETHNICITY AND SEX-FY 2016 (10/01/2015 THROUGH 09/30/2016)

|  |  | TOTAL |  |  | RACE/ETHNICITY |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  | Hispanic or Latino |  | Non-Hispanic or Latino |  |  |  |  |  |  |  |  |  |  |  |
|  |  | White | Black or African American |  | Asian |  | Native Hawaiian or Other Pacific Islander |  | American Indian or Alaska Native |  | Two or more races |  |
|  |  | All | male | female | male | female | male | female | male | female | male | female | male | female | male | female | male | female |
| Job Title/Series: Economist (0110) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Total Applications Received | \# |  |  | 9 | 6 | 3 | 0 | 0 | 6 | 2 | 0 | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 66.67\% | 33.33\% | 0.00\% | 0.00\% | 66.67\% | 22.22\% | 0.00\% | 0.00\% | 0.00\% | 11.11\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Qualified | \# | 8 | 5 | 3 | 0 | 0 | 5 | 2 | 0 | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 62.50\% | 37.50\% | 0.00\% | 0.00\% | 62.50\% | 25.00\% | 0.00\% | 0.00\% | 0.00\% | 12.50\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Selected | \# | 5 | 2 | 3 | 0 | 0 | 2 | 2 | 0 | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 40.00\% | 60.00\% | 0.00\% | 0.00\% | 40.00\% | 40.00\% | 0.00\% | 0.00\% | 0.00\% | 20.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Relevant Applicant Pool* | \% | 100.00\% | 70.00\% | 30.00\% | 0.00\% | 3.33\% | 51.67\% | 10.00\% | 0.00\% | 0.00\% | 18.33\% | 16.67\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Job Title/Series: General Attorney (0905) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Total Applications Received | \# | 652 | 410 | 242 | 22 | 13 | 325 | 160 | 34 | 23 | 26 | 41 | 0 | 0 | 3 | 5 | 0 | 0 |
|  | \% | 100.00\% | 62.88\% | 37.12\% | 3.37\% | 1.99\% | 49.85\% | 24.54\% | 5.21\% | 3.53\% | 3.99\% | 6.29\% | 0.00\% | 0.00\% | 0.46\% | 0.77\% | 0.00\% | 0.00\% |
| Qualified | \# | 577 | 364 | 213 | 21 | 10 | 293 | 144 | 31 | 18 | 16 | 36 | 0 | 0 | 3 | 5 | 0 | 0 |
|  | \% | 100.00\% | 63.08\% | 36.92\% | 3.64\% | 1.73\% | 50.78\% | 24.96\% | 5.37\% | 3.12\% | 2.77\% | 6.24\% | 0.00\% | 0.00\% | 0.52\% | 0.87\% | 0.00\% | 0.00\% |
| Selected | \# | 76 | 40 | 36 | 2 | 2 | 33 | 26 | 1 | 3 | 4 | 5 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 52.63\% | 47.37\% | 2.63\% | 2.63\% | 43.42\% | 34.21\% | 1.32\% | 3.95\% | 5.26\% | 6.58\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Relevant Applicant Pool | \% | 100.00\% | 55.33\% | 44.67\% | 2.16\% | 2.09\% | 44.92\% | 31.85\% | 3.20\% | 4.25\% | 4.81\% | 6.10\% | 0.00\% | 0.06\% | 0.18\% | 0.18\% | 0.06\% | 0.12\% |

[^9]Table A9: SELECTIONS FOR INTERNAL COMPETITIVE PROMOTIONS FOR MAJOR OCCUPATIONS BY RACE/ ETHNICITY AND SEX-FY 2016 (10/01/2015 THROUGH 09/30/2016) Continued

|  |  | TOTAL |  |  | RACE/ETHNICITY |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  | Hispanic or Latino |  | Non-Hispanic or Latino |  |  |  |  |  |  |  |  |  |  |  |
|  |  | White | Black or African American |  | Asian |  | Native Hawaiian or Other Pacific Islander |  | American Indian or Alaska Native |  | Two or more races |  |
|  |  | All | male | female | male | female | male | female | male | female | male | female | male | female | male | female | male | female |
| Job Title/Series: Accounting (0510) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Total Applications Received | \# |  |  | 113 | 82 | 31 | 8 | 0 | 43 | 17 | 5 | 7 | 25 | 7 | 0 | 0 | 1 | 0 | 0 | 0 |
|  | \% | 100.00\% | 72.57\% | 27.43\% | 7.08\% | 0.00\% | 38.05\% | 15.04\% | 4.42\% | 6.19\% | 22.12\% | 6.19\% | 0.00\% | 0.00\% | 0.88\% | 0.00\% | 0.00\% | 0.00\% |
| Qualified | \# | 95 | 65 | 30 | 6 | 0 | 42 | 16 | 5 | 7 | 11 | 7 | 0 | 0 | 1 | 0 | 0 | 0 |
|  | \% | 100.00\% | 68.42\% | 31.58\% | 6.32\% | 0.00\% | 44.21\% | 16.84\% | 5.26\% | 7.37\% | 11.58\% | 7.37\% | 0.00\% | 0.00\% | 1.05\% | 0.00\% | 0.00\% | 0.00\% |
| Selected | \# | 26 | 19 | 7 | 2 | 0 | 12 | 6 | 1 | 0 | 4 | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 73.08\% | 26.92\% | 7.69\% | 0.00\% | 46.15\% | 23.08\% | 3.85\% | 0.00\% | 15.38\% | 3.85\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Relevant Applicant Pool* | \% | 100.00\% | 59.14\% | 40.86\% | 3.67\% | 2.51\% | 44.98\% | 25.27\% | 3.32\% | 5.11\% | 6.99\% | 7.62\% | 0.00\% | 0.00\% | 0.18\% | 0.09\% | 0.00\% | 0.27\% |
| Job Title/Series: Securities Compliance Examining (1831) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Total Applications Received | \# | 281 | 197 | 84 | 32 | 8 | 108 | 44 | 13 | 15 | 44 | 17 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 70.11\% | 29.89\% | 11.39\% | 2.85\% | 38.43\% | 15.66\% | 4.63\% | 5.34\% | 15.66\% | 6.05\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Qualified | \# | 257 | 178 | 79 | 28 | 7 | 102 | 44 | 6 | 13 | 42 | 15 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 69.26\% | 30.74\% | 10.89\% | 2.72\% | 39.69\% | 17.12\% | 2.33\% | 5.06\% | 16.34\% | 5.84\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Selected | \# | 18 | 10 | 8 | 1 | 0 | 5 | 3 | 1 | 4 | 3 | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100.00\% | 55.56\% | 44.44\% | 5.56\% | 0.00\% | 27.78\% | 16.67\% | 5.56\% | 22.22\% | 16.67\% | 5.56\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Relevant Applicant Pool | \% | 100.00\% | 69.87\% | 30.13\% | 5.13\% | 0.00\% | 52.56\% | 19.87\% | 3.85\% | 3.21\% | 8.33\% | 7.05\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |

*"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: Datamart for pay period 201621, downloaded on 11/07/2016.
Table A10: NON-COMPETITIVE PROMOTIONS-TIME IN GRADE-DISTRIBUTION BY RACE/ETHNICITY AND SEX PAY PERIOD 201621

| TYPE OF APPOINTMENT |  | TOTAL |  |  | RACE/ETHNICITY |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  | Non-Hispanic or Latino |
|  |  | Hispanic or Latino | White |  | Black or African American |  | Asian |  | Native Hawaiian or Other Pacific Islander |  | American Indian or Alaska Native |  | Two or more races |  |
|  |  | All | male | female | male | female | male | female | male | female | male | female | male | female | male | female | male | female |
| Total Employees Eligible for Career Ladder Promotion | \# |  |  |  | 443 | 238 | 205 | 20 | 15 | 160 | 100 | 26 | 51 | 31 | 38 | 0 | 1 | 0 | 0 | 1 | 0 |
|  | \% |  |  |  | 100\% | 53.72\% | 46.28\% | 4.51\% | 3.39\% | 36.12\% | 22.57\% | 5.87\% | 11.51\% | 7.00\% | 8.58\% | 0.00\% | 0.23\% | 0.00\% | 0.00\% | 0.23\% | 0.00\% |
| Time in grade in excess of minimum |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| 1-12 months | \# | 19 | 13 | 6 | 0 | 1 | 10 | 3 | 1 | 2 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 68.42\% | 31.58\% | 0.00\% | 5.26\% | 52.63\% | 15.79\% | 5.26\% | 10.53\% | 10.53\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| 13-24 months | \# | 3 | 1 | 2 | 0 | 0 | 1 | 1 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 33.33\% | 66.67\% | 0.00\% | 0.00\% | 33.33\% | 33.33\% | 0.00\% | 33.33\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| 25+ months | \# | 4 | 2 | 2 | 0 | 0 | 1 | 0 | 1 | 2 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 50.00\% | 50.00\% | 0.00\% | 0.00\% | 25.00\% | 0.00\% | 25.00\% | 50.00\% | 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 EEO 715 Application for pay period 201621 , downloaded on $11 / 07 / 2016$.
Table A11: INTERNAL SELECTIONS FOR SENIOR LEVEL POSITIONS (SK-13 THROUGH SK-17) BY RACE/ETHNICITY AND SEX-FY 2016 (10/01/2015 THROUGH 09/30/2016)

|  |  | TOTAL |  |  | RACE/ETHNICITY |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  | Non-Hispanic or Latino |
|  |  | Hispanic or Latino | White |  | Black or African American |  | Asian |  | Native Hawaiian or Other Pacific Islander |  | American Indian or Alaska Native |  | Two or more races |  |
|  |  | All | male | female | male | female | male | female | male | female | male | female | male | female | male | female | male | female |
| Grade of Vacancy: SK-13 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Total Applications Received | \# |  |  |  | 73 | 26 | 47 | 0 | 5 | 13 | 11 | 8 | 25 | 5 | 3 | 0 | 0 | 0 | 1 | 0 | 2 |
|  | \% |  |  |  | 100\% | 35.62\% | 64.38\% | 0.00\% | 6.85\% | 17.81\% | 15.07\% | 10.96\% | 34.25\% | 6.85\% | 4.11\% | 0.00\% | 0.00\% | 0.00\% | 1.37\% | 0.00\% | 2.74\% |
| Qualified | \# | 39 | 15 | 24 | 0 | 1 | 7 | 6 | 7 | 12 | 1 | 2 | 0 | 0 | 0 | 1 | 0 | 2 |
|  | \% | 100\% | 38.46\% | 61.54\% | 0.00\% | 2.56\% | 17.95\% | 15.38\% | 17.95\% | 30.77\% | 2.56\% | 5.13\% | 0.00\% | 0.00\% | 0.00\% | 2.56\% | 0.00\% | 5.13\% |
| Selected | \# | 9 | 2 | 7 | 0 | 1 | 2 | 1 | 0 | 3 | 0 | 2 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 22.22\% | 77.78\% | 0.00\% | 11.11\% | 22.22\% | 11.11\% | 0.00\% | 33.33\% | 0.00\% | 22.22\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Relevant Applicant Pool * |  | 100\% | 37.67\% | 62.33\% | 2.40\% | 3.77\% | 21.92\% | 23.29\% | 8.90\% | 28.08\% | 4.11\% | 6.16\% | 0.00\% | 0.00\% | 0.34\% | 0.34\% | 0.00\% | 0.68\% |
| Grade of Vacancy: SK-14 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Total Applications | \# | 152 | 84 | 68 | 4 | 5 | 32 | 26 | 17 | 25 | 28 | 10 | 0 | 0 | 1 | 2 | 2 | 0 |
| Received | \% | 100\% | 55.26\% | 44.74\% | 2.63\% | 3.29\% | 21.05\% | 17.11\% | 11.18\% | 16.45\% | 18.42\% | 6.58\% | 0.00\% | 0.00\% | 0.66\% | 1.32\% | 1.32\% | 0.00\% |
| Qualified | \# | 125 | 65 | 60 | 2 | 4 | 27 | 22 | 14 | 22 | 19 | 10 | 0 | 0 | 1 | 2 | 2 | 0 |
|  | \% | 100\% | 52.00\% | 48.00\% | 1.60\% | 3.20\% | 21.60\% | 17.60\% | 11.20\% | 17.60\% | 15.20\% | 8.00\% | 0.00\% | 0.00\% | 0.80\% | 1.60\% | 1.60\% | 0.00\% |
| Selected | \# | 26 | 10 | 16 | 1 | 1 | 4 | 7 | 2 | 6 | 3 | 2 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 38.46\% | 61.54\% | 3.85\% | 3.85\% | 15.38\% | 26.92\% | 7.69\% | 23.08\% | 11.54\% | 7.69\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Relevant Applicant Pool |  | 100\% | 48.44\% | 51.56\% | 3.13\% | 2.23\% | 27.68\% | 22.99\% | 8.93\% | 19.42\% | 7.81\% | 6.70\% | 0.00\% | 0.00\% | 0.67\% | 0.22\% | 0.22\% | 0.00\% |
| Grade of Vacancy: SK-16 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Total Applications | \# | 458 | 308 | 150 | 15 | 10 | 215 | 102 | 32 | 14 | 43 | 23 | 0 | 0 | 3 | 1 | 0 | 0 |
| Received | \% | 100\% | 67.25\% | 32.75\% | 3.28\% | 2.18\% | 46.94\% | 22.27\% | 6.99\% | 3.06\% | 9.39\% | 5.02\% | 0.00\% | 0.00\% | 0.66\% | 0.22\% | 0.00\% | 0.00\% |
| Qualified | \# | 375 | 248 | 127 | 15 | 7 | 188 | 88 | 28 | 9 | 14 | 22 | 0 | 0 | 3 | 1 | 0 | 0 |
|  | \% | 100\% | 66.13\% | 33.87\% | 4.00\% | 1.87\% | 50.13\% | 23.47\% | 7.47\% | 2.40\% | 3.73\% | 5.87\% | 0.00\% | 0.00\% | 0.80\% | 0.27\% | 0.00\% | 0.00\% |
| Selected | \# | 47 | 30 | 17 | 3 | 2 | 21 | 12 | 1 | 1 | 5 | 2 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 63.83\% | 36.17\% | 6.38\% | 4.26\% | 44.68\% | 25.53\% | 2.13\% | 2.13\% | 10.64\% | 4.26\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Relevant Applicant Pool |  | 100\% | 57.73\% | 42.27\% | 3.09\% | 2.48\% | 43.12\% | 26.72\% | 4.06\% | 6.17\% | 7.11\% | 6.50\% | 0.04\% | 0.00\% | 0.28\% | 0.08\% | 0.04\% | 0.32\% |
| Grade of Vacancy: SK-15 \& SK-17 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Total Applications Received | \# | 669 | 437 | 232 | 48 | 15 | 286 | 131 | 31 | 45 | 70 | 38 | 0 | 0 | 2 | 1 | 0 | 2 |
|  | \% | 100\% | 65.32\% | 34.68\% | 7.17\% | 2.24\% | 42.75\% | 19.58\% | 4.63\% | 6.73\% | 10.46\% | 5.68\% | 0.00\% | 0.00\% | 0.30\% | 0.15\% | 0.00\% | 0.30\% |
| Qualified | \# | 605 | 393 | 212 | 40 | 12 | 267 | 124 | 20 | 42 | 64 | 32 | 0 | 0 | 2 | 1 | 0 | 1 |
|  | \% | 100\% | 64.96\% | 35.04\% | 6.61\% | 1.98\% | 44.13\% | 20.50\% | 3.31\% | 6.94\% | 10.58\% | 5.29\% | 0.00\% | 0.00\% | 0.33\% | 0.17\% | 0.00\% | 0.17\% |
| Selected | \# | 83 | 47 | 36 | 4 | 1 | 33 | 22 | 3 | 8 | 7 | 5 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 56.63\% | 43.37\% | 4.82\% | 1.20\% | 39.76\% | 26.51\% | 3.61\% | 9.64\% | 8.43\% | 6.02\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Relevant Applicant Pool |  | 100\% | 58.40\% | 41.60\% | 2.93\% | 2.26\% | 44.19\% | 26.99\% | 3.76\% | 5.69\% | 7.12\% | 6.19\% | 0.03\% | 0.07\% | 0.30\% | 0.13\% | 0.07\% | 0.27\% |

[^10]Source: Datamart for pay period 201621, downloaded on 11/07/2016.
Table A12: PARTICIPATION IN CAREER DEVELOPMENT-DISTRIBUTION BY RACE/ETHNICITY AND SEX FY 2016 (10/01/2015 THROUGH 09/30/2016)

|  |  | TOTAL |  |  | RACE/ETHNICITY |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  | Non-Hispanic or Latino |
|  |  | Hispanic or Latino | White |  | Black or African American |  | Asian |  | Native Hawaiian or Other Pacific Islander |  | American Indian or Alaska Native |  | Two or more races |  |
|  |  | All | male | female | male | female | male | female | male | female | male | female | male | female | male | female | male | female |
| Career Development Programs for SK 5-12 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Slots | \# |  |  |  | 2 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Relevant Pool* | \% |  |  |  | 100\% | 33.28\% | 66.72\% | 2.58\% | 5.02\% | 18.09\% | 20.06\% | 9.12\% | 35.41\% | 3.04\% | 5.32\% | 0.00\% | 0.00\% | 0.15\% | 0.15\% | 0.15\% | 0.76\% |
| Applied | \# | 2 | 1 | 1 | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 50.00\% | 50.00\% | 0.00\% | 0.00\% | 50.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 50.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Participants | \# | 2 | 1 | 1 | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 50.00\% | 50.00\% | 0.00\% | 0.00\% | 50.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 50.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Career Development Programs for SK 13-14 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Slots | \# | 58 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Relevant Pool | \% | 100\% | 54.73\% | 45.27\% | 2.87\% | 2.63\% | 39.42\% | 27.01\% | 4.91\% | 8.32\% | 7.22\% | 6.87\% | 0.00\% | 0.00\% | 0.24\% | 0.12\% | 0.08\% | 0.31\% |
| Applied | \# | 83 | 33 | 50 | 1 | 4 | 23 | 21 | 6 | 15 | 3 | 7 | 0 | 0 | 0 | 0 | 0 | 3 |
|  | \% | 100\% | 39.76\% | 60.24\% | 1.20\% | 4.82\% | 27.71\% | 25.30\% | 7.23\% | 18.07\% | 3.61\% | 8.43\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 3.61\% |
| Participants | \# | 58 | 26 | 32 | 1 | 2 | 19 | 14 | 4 | 10 | 2 | 4 | 0 | 0 | 0 | 0 | 0 | 2 |
|  | \% | 100\% | 44.83\% | 55.17\% | 1.72\% | 3.45\% | 32.76\% | 24.14\% | 6.90\% | 17.24\% | 3.45\% | 6.90\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 3.45\% |
| Career Development Programs for SK 15, 17 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Slots | \# | 16 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Relevant Pool | \% | 100\% | 62.96\% | 37.04\% | 3.53\% | 1.05\% | 50.13\% | 25.52\% | 3.40\% | 6.02\% | 5.24\% | 4.32\% | 0.13\% | 0.00\% | 0.52\% | 0.00\% | 0.00\% | 0.13\% |
| Applied | \# | 24 | 9 | 15 | 1 | 0 | 6 | 9 | 0 | 4 | 2 | 2 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 37.50\% | 62.50\% | 4.17\% | 0.00\% | 25.00\% | 37.50\% | 0.00\% | 16.67\% | 8.33\% | 8.33\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |
| Participants | \# | 16 | 5 | 11 | 1 | 0 | 3 | 8 | 0 | 2 | 1 | 1 | 0 | 0 | 0 | 0 | 0 | 0 |
|  | \% | 100\% | 31.25\% | 68.75\% | 6.25\% | 0.00\% | 18.75\% | 50.00\% | 0.00\% | 12.50\% | 6.25\% | 6.25\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% |

*"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: SEC and Datamart for pay period 201621, downloaded on $11 / 07 / 2016$.
Table A13: EMPLOYEE RECOGNITION AND AWARDS-DISTRIBUTION BY RACE/ETHNICITY AND SEX PERMANENT WORKFORCE-FY 2016 (10/01/2015 THROUGH 09/30/2016)

| Awards |  | TOTAL |  |  | RACE/ETHNICITY |  |  |  |  |  |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  | Hispanic or Latino |  | Non-Hispanic or Latino |  |  |  |  |  |  |  |  |  |  |  |
|  |  | White | Black or African American |  | Asian |  | Native Hawaiian or Other Pacific Islander |  | American Indian or Alaska Native |  | Two or more races |  |
|  |  | All | male | female | male | female | male | female | male | female | male | female | male | female | male | female | male | female |
| Time-Off Awards: 1-9 hours |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Total Time-Off Awards Given | \# |  |  | 1456 | 726 | 730 | 52 | 35 | 526 | 438 | 52 | 169 | 95 | 80 | 0 | 0 | 1 | 3 | 0 | 5 |
|  | \% | 100\% | 49.86\% | 50.14\% | 3.57\% | 2.40\% | 36.13\% | 30.08\% | 3.57\% | 11.61\% | 6.52\% | 5.49\% | 0.00\% | 0.00\% | 0.07\% | 0.21\% | 0.00\% | 0.34\% |
| Total Hours |  | 9933 | 5012 | 4921 | 358 | 218 | 3615 | 3018 | 371 | 1086 | 660 | 542 | 0 | 0 | 8 | 20 | 0 | 37 |
| Average Hours |  | 7 | 7 | 7 | 7 | 6 | 7 | 7 | 7 | 6 | 7 | 7 | 0 | 0 | 8 | 7 | 0 | 7 |
| Time-Off Awards: 9+ hours |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Total Time-Off Awards Given | \# | 1007 | 505 | 502 | 38 | 30 | 370 | 313 | 31 | 93 | 63 | 62 | 0 | 0 | 2 | 4 | 1 | 0 |
|  | \% | 100\% | 50.15\% | 49.85\% | 3.77\% | 2.98\% | 36.74\% | 31.08\% | 3.08\% | 9.24\% | 6.26\% | 6.16\% | 0.00\% | 0.00\% | 0.20\% | 0.40\% | 0.10\% | 0.00\% |
| Total Hours |  | 19127 | 9628 | 9499 | 672 | 569 | 7171 | 5936 | 569 | 1731 | 1164 | 1195 | 0 | 0 | 36 | 68 | 16 | 0 |
| Average Hours |  | 19 | 19 | 19 | 18 | 19 | 19 | 19 | 18 | 19 | 18 | 19 | 0 | 0 | 18 | 17 | 16 | 0 |
| Cash Awards: \$100-\$500 |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Total Cash Awards Given | \# | 1001 | 473 | 528 | 18 | 25 | 336 | 273 | 63 | 177 | 48 | 49 | 1 | 0 | 4 | 1 | 3 | 3 |
|  | \% | 100\% | 47.25\% | 52.75\% | 1.80\% | 2.50\% | 33.57\% | 27.27\% | 6.29\% | 17.68\% | 4.80\% | 4.90\% | 0.10\% | 0.00\% | 0.40\% | 0.10\% | 0.30\% | 0.30\% |
| Total Amount |  | \$427,891 | \$205,896 | \$221,995 | \$7,900 | \$10,153 | \$146,996 | \$114,570 | \$26,100 | \$73,694 | \$21,150 | \$22,128 | \$500 | \$0 | \$1,750 | \$500 | \$1,500 | \$950 |
| Average Amount |  | \$427 | \$435 | \$420 | \$439 | \$406 | \$437 | \$420 | \$414 | \$416 | \$441 | \$452 | \$500 | 0 | \$438 | \$500 | \$500 | \$317 |
| Cash Awards: \$501+ |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Total Cash Awards Given | \# | 3666 | 2073 | 1593 | 115 | 90 | 1606 | 975 | 131 | 317 | 212 | 188 | 1 | 4 | 8 | 7 | 0 | 12 |
|  | \% | 100\% | 56.55\% | 43.45\% | 3.14\% | 2.45\% | 43.81\% | 26.60\% | 3.57\% | 8.65\% | 5.78\% | 5.13\% | 0.03\% | 0.11\% | 0.22\% | 0.19\% | 0.00\% | 0.33\% |
| Total Amount |  | \$5,102,669 | \$2,868,992 | \$2,233,677 | \$154,352 | \$122,687 | \$2,236,641 | \$1,408,713 | \$158,199 | \$385,744 | \$306,800 | \$277,479 | \$1,200 | \$13,750 | \$11,800 | \$8,600 | \$0 | \$16,704 |
| Average Amount |  | \$1,392 | \$1,384 | \$1,402 | \$1,342 | \$1,363 | \$1,393 | \$1,445 | \$1,208 | \$1,217 | \$1,447 | \$1,476 | \$1,200 | \$3,438 | \$1,475 | \$1,229 | 0 | \$1,392 |
| Quality Step Increases (QSI) (N/A) |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Total QSIs <br> Awarded | \# | 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\% |
| 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 EEO 715 Application data as of pay period 201621, downloaded on 11/07/2016. |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |

Table B1: TOTAL WORKFORCE-DISTRIBUTION BY DISABILITY [OPM FORM 256 SELF-IDENTIFICATION CODES] PAY PERIOD 201521 TO 201621

| Employment Tenure |  | TOTAL | Total by Disability Status |  |  |  | Detail for Targeted Disabilities |  |  |  |  |  |  |  |  |
| :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: | :---: |
|  |  |  | No <br> Disability <br> [05] | Not <br> Identified <br> [01] | Disability [06-98] | Targeted Disability | Hearing [16/17 or 18] | $\begin{array}{\|l\|} \text { Vision } \\ {[23 / 25 \text { or }} \\ \hline 21] \\ \hline \end{array}$ | Missing Extremities [28, 32-38 or 30] | Partial <br> Paralysis <br> [64-68 or <br> 69] | Complete Paralysis [71-78 or 79] | Epilepsy <br> [82] | Severe Intellectual Disability [90] | Psychiatric Disability [91] | Dwarfism [92] |
| TOTAL |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Prior FY | \# | 4440 | 3962 | 231 | 247 | 42 | 8 | 4 | 2 | 2 | 3 | 7 | 1 | 14 | 1 |
|  | \% | 100.00\% | 89.23\% | 5.20\% | 5.56\% | 0.95\% | 0.18\% | 0.09\% | 0.05\% | 0.05\% | 0.07\% | 0.16\% | 0.02\% | 0.32\% | 0.02\% |
| Current FY | \# | 4685 | 4147 | 246 | 292 | 46 | 8 | 3 | 2 | 3 | 3 | 6 | 1 | 19 | 1 |
|  | \% | 100.00\% | 88.52\% | 5.25\% | 6.23\% | 0.98\% | 0.17\% | 0.06\% | 0.04\% | 0.06\% | 0.06\% | 0.13\% | 0.02\% | 0.41\% | 0.02\% |
| Difference | \# | 245 | 185 | 15 | 45 | 4 | 0 | -1 | 0 | 1 | 0 | -1 | 0 | 5 | 0 |
| Ratio Change | \% | 0.00\% | -0.72\% | 0.05\% | 0.67\% | 0.04\% | -0.01\% | -0.03\% | 0.00\% | 0.02\% | 0.00\% | -0.03\% | 0.00\% | 0.09\% | 0.00\% |
| Net Change | \% | 5.52\% | 4.67\% | 6.49\% | 18.22\% | 9.52\% | 0.00\% | -25.00\% | 0.00\% | 50.00\% | 0.00\% | -14.29\% | 0.00\% | 35.71\% | 0.00\% |
| Federal Goal | \% |  |  |  |  | 2.00\% |  |  |  |  |  |  |  |  |  |
| PERMANENT |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Prior FY | \# | 4310 | 3848 | 221 | 241 | 41 | 8 | 4 | 2 | 2 | 3 | 6 | 1 | 14 | 1 |
|  | \% | 100.00\% | 89.28\% | 5.13\% | 5.59\% | 0.95\% | 0.19\% | 0.09\% | 0.05\% | 0.05\% | 0.07\% | 0.14\% | 0.02\% | 0.32\% | 0.02\% |
| Current FY | \# | 4582 | 4058 | 237 | 287 | 45 | 8 | 3 | 2 | 3 | 3 | 6 | 1 | 18 | 1 |
|  | \% | 100.00\% | 88.56\% | 5.17\% | 6.26\% | 0.98\% | 0.17\% | 0.07\% | 0.04\% | 0.07\% | 0.07\% | 0.13\% | 0.02\% | 0.39\% | 0.02\% |
| Difference | \# | 272 | 210 | 16 | 46 | 4 | 0 | -1 | 0 | 1 | 0 | 0 | 0 | 4 | 0 |
| Ratio Change | \% | 0.00\% | -0.72\% | 0.04\% | 0.67\% | 0.03\% | -0.01\% | -0.03\% | 0.00\% | 0.02\% | 0.00\% | -0.01\% | 0.00\% | 0.07\% | 0.00\% |
| Net Change | \% | 6.31\% | 5.46\% | 7.24\% | 19.09\% | 9.76\% | 0.00\% | -25.00\% | 0.00\% | 50.00\% | 0.00\% | 0.00\% | 0.00\% | 28.57\% | 0.00\% |
| TEMPORARY |  |  |  |  |  |  |  |  |  |  |  |  |  |  |  |
| Prior FY | \# | 130 | 114 | 10 | 6 | 1 | 0 | 0 | 0 | 0 | 0 | 1 | 0 | 0 | 0 |
|  | \% | 100.00\% | 87.69\% | 7.69\% | 4.62\% | 0.77\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.77\% | 0.00\% | 0.00\% | 0.00\% |
| Current FY | \# | 103 | 89 | 9 | 5 | 1 | 0 | 0 | 0 | 0 | 0 | 0 | 0 | 1 | 0 |
|  | \% | 100.00\% | 86.41\% | 8.74\% | 4.85\% | 0.97\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.97\% | 0.00\% |
| Difference | \# | -27 | -25 | -1 | -1 | 0 | 0 | 0 | 0 | 0 | 0 | -1 | 0 | 1 | 0 |
| Ratio Change | \% | 0.00\% | -1.28\% | 1.05\% | 0.24\% | 0.20\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | -0.77\% | 0.00\% | 0.97\% | 0.00\% |
| Net Change | \% | -20.77\% | -21.93\% | -10.00\% | -16.67\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | 0.00\% | -100.00\% | 0.00\% | 0.00\% | 0.00\% |

NOTE: Total calculations shown may not match that derived from detail data presented due to rounding. Source: Datamart EEO 715 Application for pay period 201621 , downloaded on 11/07/2016.


OFFICE OF EQUAL EMPLOYMENT OPPORTUNITY
U.S. Securities and Exchange Commission

100 F Street NE
Washington, DC 20549



[^0]:    1 The SEC previously submitted the FY 2016462 Report to the Equal Employment Opportunity Commission (EEOC).

[^1]:    2 Much of the data for this report was pulled on November 7, 2016, from Datamart, the SEC's Human Resource Information System (HRIS), for pay period 21 of 2016.

[^2]:    3 The EEOC has identified nine targeted disabilities: (1) hearing; (2) vision; (3) missing extremities; (4) partial paralysis; (5) complete paralysis; (6) epilepsy; (7) severe intellectual disability; (8) psychiatric disability; and (9) dwarfism. This population is a subset of the employees with disabilities.

[^3]:    4 SEC FY 2016462 Report: Part I, D.2; Part II, B; and Part VI, B. 2

[^4]:    5 In FY 2016, the SEC identified the Information Technology (IT) Specialist occupation as an MCO. OEEO is working with DataMart to include the IT Specialist occupation in the data tables for the FY 2017 MD-715 Report

[^5]:    See Tables A9 and B9.

[^6]:    7 For purposes of FEVS, OPM defines a large agency as one with 800 or more employees or all cabinet-level departments/ agencies (Source: The Keys to Unlocking Engagement: An Analysis of the Conditions that Drive Employee Engagement: Technical Report 2016; downloaded on 12/21/2016 from https://www.fedview.opm.gov/2016FILES/Keys_Unlocking_ Engagement.pdf).

    8 The Partnership for Public Service defines a mid-size agency as one with at least 1000 and not more than 14,999 employees (Source: Partnership for Public Service; Best Places to Work; Methodology; accessed on 12/22/2016 from http://bestplacestowork.org/BPTW/about/methodology.php).

[^7]:    * Data has been redacted to protect individual privacy.

[^8]:    NOTE: Total calculations shown may not match that derived from detail data presented due to rounding. Source: Datamart EEO 715 Application for pay period 201621, downloaded on 11/07/2016.

[^9]:    "Relevant Applicant Pool" = all employees in the next lower pay grade and in all series that qualify them for the position announced.

[^10]:    NOTES: There were no internal vacancy announcements for Senior Officer positions in FY 2016. Total calculations shown may not match that derived from detail data presented due to rounding

